

UNIVERSITY OF SOUTHAMPTON

**Performance, Analysis, and Interpretation
in Sibelius's Fifth Symphony**

by

Bethany Laura Lowe

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ABSTRACT

FACULTY OF ARTS

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The relationship between performance and analysis has been a topic of much debate in recent musicological studies. This thesis addresses this issue from both theoretical and practical perspectives, using the first movement of Sibelius's Fifth Symphony as a case study. The first chapter establishes a conceptual model for the relationship between these two disciplines which incorporates 'interpretation' as an additional, mediatory element. This resolves several ideological and musical problems, and provides a schema for all activities which aim to relate both disciplines. The second chapter explores the reception of Sibelius's Fifth Symphony in a sample of analytical writings, and considers their contrasting structural insights, using an investigation of metaphorical writing. Thus the pertinent structural issues of this piece are established prior to the third chapter, which combines both previous approaches in an analytical investigation of 41 recorded performances of Sibelius's Fifth Symphony. Various methodological and philosophical issues relevant to this discipline are clarified, before the recordings are examined through the tempo outlines which were found through an application of empirical methodology. The structural insights in these recordings are explored and categorised, and the possible connections between these performances, analytical writings, and accompanying programme notes are considered.

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Each of the constituent parts of this thesis recognises a member of my immediate family. To my mother, the scholar, I dedicate the first chapter; the second chapter is for my nan, the ideologue, who remembers the thirties; to my father, the musician, I dedicate the third chapter, for spending hours playing me the (very different) records that he loved; and the graphs are for my sister, the artist, in remembrance of the ‘wiggly lines’.

Finally, I dedicate this thesis as a whole to myself, in recognition of all the hard work I put into it.

Introduction

This thesis is a contribution both to the discipline of performance analysis, and to studies in the music of Jean Sibelius. Each is studied independently and in the light of the other, and in this sense the thesis is cumulative: Chapter One examines performance analysis, Chapter Two develops an approach to Sibelius's Fifth Symphony, and Chapter Three (the final chapter) explores the intersection between these two fields of endeavour.

Performance analysis traditionally prefers to use simple, restricted pieces as material¹, and has only recently begun to consider large symphonic works; it is now of an age where it can tackle the complexities of twentieth-century music. The stretching of these methodologies necessitated by their application to the music of Sibelius causes a significant development of their interpretative potential. Sibelius studies itself is an area whose popularity seems to peak every 30 years or so; though its hey-days were in the mid-1930s and mid-1960s², a more recent wave of activity has sought new insights in fresh approaches such as linear voice-leading analysis, source studies, new-musicological hermeneutics, and reception studies³. Though briefly touched upon in existing literature,

¹ There has been a particular focus on what might be labelled the 'piano toccata' repertoire: for example, Bach's C major Prelude from WTC1 (in Nicholas Cook's 'Structure and Performance Timing'), and Debussy's 'Doctor Gradus ad Parnassum' (in Sarah Martin, *Analysing Musical Recordings*, p.113-129; full references are given in the Bibliography). Such pieces are easy to analyse because of the regular quaver/semiquaver note onsets in the right hand which mark out the timing skeleton of the music (see also Vaughan, *Musical Analysis and Performance*, p.91). Also, the choice of piano music allows the use of MIDI keyboards in controlled studies to produce readily-available data, a feature which is so far impossible with orchestral music.

² The 1930s included the pioneering *Sibelius* and *Sibelius: The Symphonies* by Cecil Gray, analytical essays by Donald Francis Tovey, and Constant Lambert's appreciation in *Music Ho!*, whilst the 1960s marked Sibelius's centenary with, amongst others, Robert Layton's Master Musicians *Sibelius* and Robert Simpson's *Sibelius and Nielsen*. Each peak of scholarly activity was accompanied by broader critical appreciation and performance activity in the musical community as a whole. See, respectively, Laura Gray's article 'Sibelius and England', p.281-9, and Fabian Dahlström's report 'Sibelius Research', p.299-300, both in *The Sibelius Companion*, ed. Goss.

³ For example, linear voice-leading analysis in Veijo Murtomäki's *Symphonic Unity*, source studies and new-musicological hermeneutics in James Hepokoski's *Sibelius: Symphony No. 5*, and reception studies in the work of Glenda Dawn Goss (e.g. *Jean Sibelius and Olin Downes: Music, Friendship, Criticism*

a more thorough investigation of structural aspects of performances enables a reopening of Sibelian issues which seemed stale or dead.

Each of the ensuing chapters presents its own methodology, justifications, and/or introduction to relevant literature, since each takes a different approach (theoretical, critical, and interpretative respectively) and develops a different stance. Suffice it here to consider a small number of crucial sources which are relevant to the thesis and its aims as a whole – and to make representative mention of the rest.

The central position statement which follows (taking the place of a more extensive literature review) therefore concerns itself primarily with writings that cover at least two of the three areas of Sibelius, analysis, and recorded performances. The most important sources, as might be expected, are those which tackle all three. James Hepokoski's book *Sibelius: Symphony No. 5*, primarily an analytical and source-based investigation of the piece, contains a final chapter which compares the tempos of seven representative recordings. Though it is encouraging to see such material presented and interpreted in a general monograph, the restricted methodology used⁴ and the small size of the sample mean that the conclusions drawn cannot be extensive. Eric Kujawsky, whose dissertation *Double-Perspective Movements* is principally a discussion of the question of analytical movement division, includes in his subtitle reference to both conducting issues and to the orchestral music of Sibelius. Unfortunately, the passage of this work where all three areas overlap is small and confined to a few practical suggestions for tempo management.

Those writings which attempt to connect analysis and recorded performances - though not connected with the music of Sibelius - inform the discussion in Chapter One (and also provide a methodological support for Chapter Three). The practice of drawing out performance data into the analytical sphere is exemplified by Sarah Martin's thesis *Analyzing Musical Recordings*, whose major case study applies tempo methodologies to Beethoven's Third Symphony. The thesis is also one of those which tackles the important question of the relationship between analysis and performance. Additional applications

(Boston: Northeastern University Press, 1995)) and Laura Gray (e.g. 'Sibelius in England' and 'The Symphony in the Mind of God').

⁴ This earlier methodology, based on the use of a mechanical metronome, is discussed in section 3.1.2, under the heading 'Alternative Methodologies'.

of tempo analysis include Nicholas Cook's 'The Conductor and the Theorist', which correlates a particular performance style with a specific analytical approach, and Jose Bowen's 'Tempo, Duration and Flexibility', an investigation of large samples of symphonic music from Mozart to Mahler, focussing on stylistic aspects but also on how they affect structure. Victoria Vaughan's pedagogically-based thesis *Music Analysis and Performance* provides a selection of approaches to the intersection of these two disciplines, and hence gives a perspective to the studies mentioned above⁵.

Analytical studies of the music of Sibelius (which do not necessarily invoke a performance perspective) are central to Chapter Two of this study. A representative sample would have to include the rest of Hepokoski's monograph, which is a thorough and imaginative analytical exegesis of the Fifth Symphony. The tradition of literature prior to this runs from Cecil Gray in 1935 up to Tim Howell in 1985, and is for the most part a relatively homogenous investigation of keys, themes, and forms. Adjuncts to these studies are those that consider the reception of the works of Sibelius, which also constitute a background to Chapter Two. Laura Gray's doctoral thesis on the reception of Sibelius as a symphonist in Britain is the most relevant here, and refers to musical as well as aesthetic aspects of his style. Of biographical studies on Sibelius, the most extensive is the English translation of Eric Tawaststjerna's multi-volume work, and the most useful for more general purposes is the first part of Robert Layton's book *Sibelius*⁶.

Writings that examine Sibelius's music through the study of recordings (irrespective of analytical content) constitute invaluable sources for the present study, and its third chapter in particular. Risto Väisänen's study of 'Problems in Performance Studies of Sibelius's Orchestral Works' examines tempo data from various orchestral works in the light of style change and the contribution of different editions. Despite also using a limited metronome-based methodology, it contains much useful discussion about performance traditions in this repertory. Guy Thomas's *The Symphonies of Jean Sibelius*:

⁵ Literature reviews of performance-related writings can be found in many of the sources discussed in Chapter One, including Martin, *Analyzing Musical Recordings*, which includes a thorough study of Dunsby's *Performing Music* and all the articles in Rink's *The Practice of Performance*, as well as Caroline Palmer's 'Music Performance', which focusses on psychological articles.

⁶ A fuller bibliography of works on Sibelius can be found in Dahlström's 'Sibelius Research' of 1996, which provides an update to Fred Blum's *Jean Sibelius: An International Bibliography* of 1965. For more details one may consult Glenda Dawn Goss's *Jean Sibelius: A Guide to Research* (New York and London: Garland, 1989).

A Discography and Discussion from 1989 constitutes a basic tool for anyone working with recordings of Sibelius's symphonies. The discography itself is essential, and the discussion which accompanies it includes some observations on recording processes and individual recordings. The conclusions that are developed in Chapter Three of the present study are informed by these sources.

Chapter One: Interpretation

1.1 Overview

This chapter discusses the relationship between musical analysis and musical performance, an issue which has been much under debate in the field of performance studies. Despite this debate, the nature of the connection between them has been more assumed than concretely established. Reading between the lines of each major contribution to the topic, one can determine something of the model that is motivating the writer, a model which is rarely made explicit. Attacks on other writers for their point of view have been based on criticising the outcomes of that writer's understanding of the relationship, rather than on identifying his or her formulation of the relationship itself. A clear understanding of the nature of the connection is necessary whether one wishes to determine the role of analysis with respect to performance, or to consider the role of performance with respect to analysis. Equally, the clarity of the model is important whether the question is being discussed in abstract, aesthetic terms or whether it is being applied to practical situations such as teaching analysis in conservatoires, empirical study of performances, or the critical exegesis of either analyses or recorded performances.

The key aspects of the theory developed here are the relation between the constituent elements of Performance, Analysis and Interpretation¹; the exact nature of the element labelled Interpretation; and the process of realisation which intervenes between them. A section is devoted to each of these in the current chapter. Since each of them is dependent on the others, an overview of the theory will first appear to allow the reader to gain a basic understanding of its main points, before these aspects are elaborated in more detail. The process of understanding in this chapter must therefore be a cyclic one.

Unlike several writers on the topic, I do not believe that analysis exists in some conceptual sense prior to performance. The (somewhat self-aggrandising) assumption on the part of analysts that it does necessarily inform or control performance derives from falsely conflating two separate elements under the same name. Firstly, the fully-formed intellectual discipline studied (for example) in universities, and referring to technical

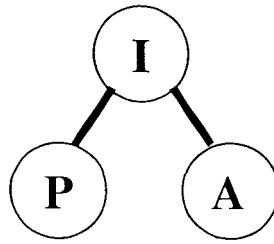
¹ I have capitalised these three terms throughout this chapter, when they appear in the specialised senses being developed here. Likewise, in diagrams, the abbreviations P, A, and I will sometimes be employed for the sake of concision.

musical concepts using written or diagrammatic means; this is properly known as ‘analysis’ and so will here be labelled ‘analysis₁’, or ‘Analysis’. Secondly, the non-verbal and nebulous though often strongly propulsive internal concept that can guide a performance, and represents our idea of a piece of music: this could be provisionally labelled ‘analysis₂’, since it is frequently referred to with the same name. Since the latter more elusive element is distinct from the former, and (I will argue) not actually analysis in the sense that this is normally understood, I prefer to rename it ‘Interpretation’ in order to fully distinguish it. This distinction is summarised in the following table:

Concept		Brief description		Preferred term
‘analysis ₁ ’	=	specialist discipline	=	Analysis
‘analysis ₂ ’	=	nebulous guiding image	=	Interpretation

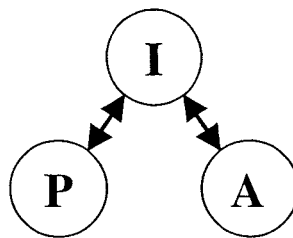
The Interpretation can include many aspects that are outside the scope of an Analysis in the technical, concrete sense. It could be a visual image of structure, an emotion arising at a particular point, or even a physical sensation of energy or excitement. One type of Interpretation might be exemplified by thoughts such as ‘something new begins here’, ‘continuity through this section’, ‘this is an important moment’ - or, rather, their non-verbal equivalents – along with a range of more emotional, holistic, or elusive possibilities. Such sentiments could be expressed in a Performance, or they could be expressed in an Analysis, but in each case the language is not transparent, and the right means of expression must be sought out. For instance, the sense of wishing to emphasise an important moment in the music might be expressed analytically as a ‘quaver-tailed’ note on a Schenkerian graph, or by a mathematical equation showing how the moment appears at a point of Golden Section. Alternatively, it might be expressed in performance, with a gradual crescendo to that point, a sudden sforzando, or a significant change of timbre. Either discipline, therefore, can produce a feeling of focus on a particular point in the music, whilst at the same time each of these choices will suggest subtle differences of inflection to the overall concept.

Due to its internal, general nature, the concept of Interpretation has no closer links with formal Analysis (in the sense of ‘analysis₁’) than it does with the process of Performance. The relation between the three areas, I(nterpretation), P(erformance), and A(nalysis), could be represented in this way:



This is the fundamental representation of the relationship between performance and analysis that will be referred to throughout this chapter. It shows that an I(nterpretation) may exist prior to a P(erformance), or prior to an A(nalysis). Thus when I suggest that a performance, or an analysis, asserts such-and-such, I am referring to an Interpretational concept of this kind. In this way, an Analysis and a Performance can be related, albeit indirectly, in that each may express the same Interpretational concept. Analytical concepts and Performance features, I contend, do not translate directly into one another, and this is the reason that I have shown no line linking ‘P’ and ‘A’ across the bottom of the diagram. Rather they must be filtered through a central area of understanding (the Interpretation) and re-expressed in the appropriate format.

A fuller version of the above diagram acknowledges that the Interpretation concept is itself shaped by external influences.



This diagram uses arrows to represent the flow of influence, which are shown pointing towards the I as well as leading away from it. This shows that at any given time the Interpretation held by an individual is not of pure cognitive origin, existing on some kind of ideal plane uninflected by musical realities, but instead is a result of all the influences upon an individual up until that time. Thus a person’s central vision of a piece of music (I) will be freely inflected by all the performances of that piece (P) which he or she has heard up until then, and of all the other analyses, comments or descriptions of the piece (A) which he or she has encountered. This is true of an analyst as well as a performer, and indeed a listener, critic, sound engineer, choreographer, or person engaged with a

piece of music in any other conceivable role. Of course no musician is a passive receptacle for all these experiences, merely allowing them to make an 'imprint' on him or her – firstly, the weight which the individual accords to each influence, and the positive response they have to it, will determine how much they allow that experience to mould their conception²; and secondly, each person may take a different impression from a certain stimulus, as the process of perception gives vastly differing results depending on each person's expectations and approach to the stimulus. The separation of the Interpretation from Performance and Analysis by lines in this system illustrates this quality of the process of perception. Equally, the downward direction of the lines between the Interpretation and each of the other two elements represent the realisation process, which uses the distinct languages of Performance, or Analysis (for example) to realise a person's Interpretation concept in a form that is perceptible to another person. Since the expressive vocabulary possessed by an individual will vary from performer to performer, or from analyst to analyst, this further diversifies the result.

Although this study focusses primarily on the role of analyses and performances, there are manifold other categories of experience which could have an impact upon the Interpretation. So for instance someone's Interpretation of a Mozart sonata movement (I) might be inflected by not only the recording of the same piece in their parents' collection (P), or a desire to project a certain middle-ground motive in the texture (A), but also the experience of playing an eighteenth-century fortepiano (another form of P); the memory of a trip to Vienna taken several years ago; the recreational drugs someone recently took which enhanced the perception of textural detail in the piece; or any number of things no matter how seemingly irrelevant to the rational mind. A central Interpretation can also reveal itself in many ways other than as an Analysis or a Performance: certain creative

² This speculation breaks down the false dichotomy between performers, who are thought to follow traditions, and analysts, who are considered to think entirely independently. These caricatures have been found scattered throughout the performance literature, and surprisingly are as popular with those who support performers (for example Martin, 'Analysing Musical Recordings', p.44, where she suggests that, in contrast to analytical writing, 'all performance involves some degree of passive interpretation') as with those who deprecate them. The false dichotomy is naïve with respect to both analysts and performers, since both groups are exposed to lots of external ideas and traditions which they must either accept, or reject. This is as true of an instrumental student at a music college, as it is of a young analyst learning methodologies. Even being physically shown, for example, how to place the bow differently on the strings in order to make a contrasting sound, though it begins by altering the Performance, in private practice will either be assimilated into the Interpretation (which will be inflected accordingly), or else quietly lost.

people may be inspired by their vision of the music (I) to compose an Abstract Expressionist painting, write a reflective mood-based poem, dance energetically around the room, or undertake some other non-musical activity to express that experience. This is shown by the circular diagram in Example 1-1 (where P₁, P₂, P₃ etc. represent different performances, and A₁, A₂, A₃ etc. different analyses). Despite being outside the scope of this investigation, all of these forms of activity, and many others, are equally valid forms of realisation of the Interpretation.

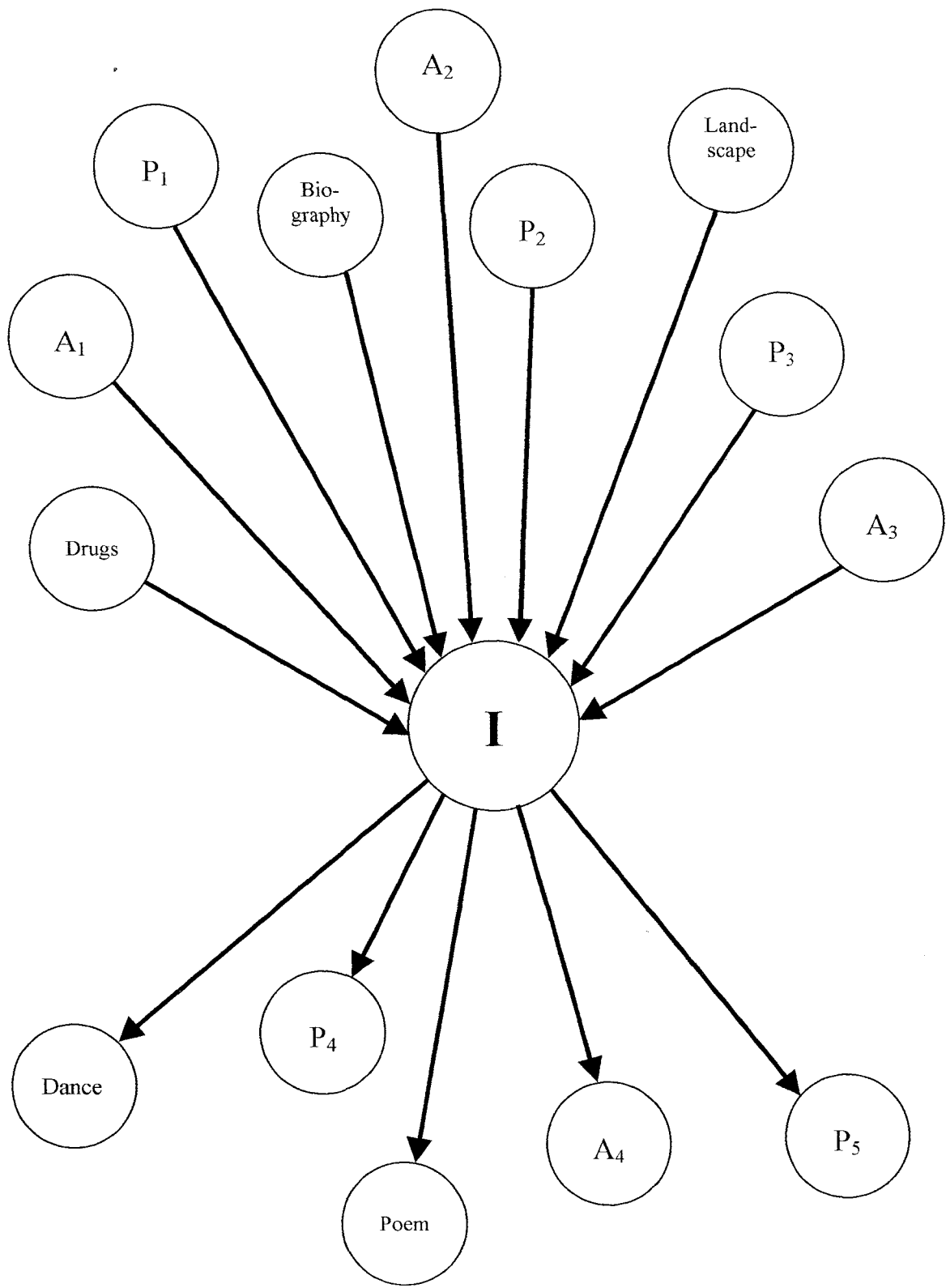
Furthermore, the realm of the individual piece, as considered above, is a miniature part of the whole field of experiences, both musical and non-musical. Someone's understanding of a 'sonata-form' type of movement will be informed by their previous experiences of similar movements, as to treat each piece in isolation would be inappropriate (and also a somewhat less than human way to proceed). If this diagram is expanded to include the 'I' of more than one member of a musical community (shown as I₁, I₂, I₃ etc.), the resulting network begins to look rather complicated: see Example 1-2. This is the field of connections that must be considered if examining the reception patterns between writers' and performers' activity in a given period of music history. The other diagrams above, which concentrate on the the mind of a single individual at any one time, merely focus on a sample portion of this possible field.

I have included all these expanded versions of the simple main diagram in order to show that my scheme chooses to focus on particular aspects of musical life, without ignoring its complexities. The main diagram above of the three elements, A, I, and P, is an condensation of all these larger diagrams, putting aside temporarily the extra-musical aspects and focusing on the relation between Analysis, Performance, and Interpretation. It contains the implication of many superimposed A's and P's - as well as other aspects - continually inflecting the central I, which in turn may produce any number of expressions of itself. The process illustrated in the simple main diagram re-enacts itself at every moment that a person is engaged with the understanding of a piece of music.

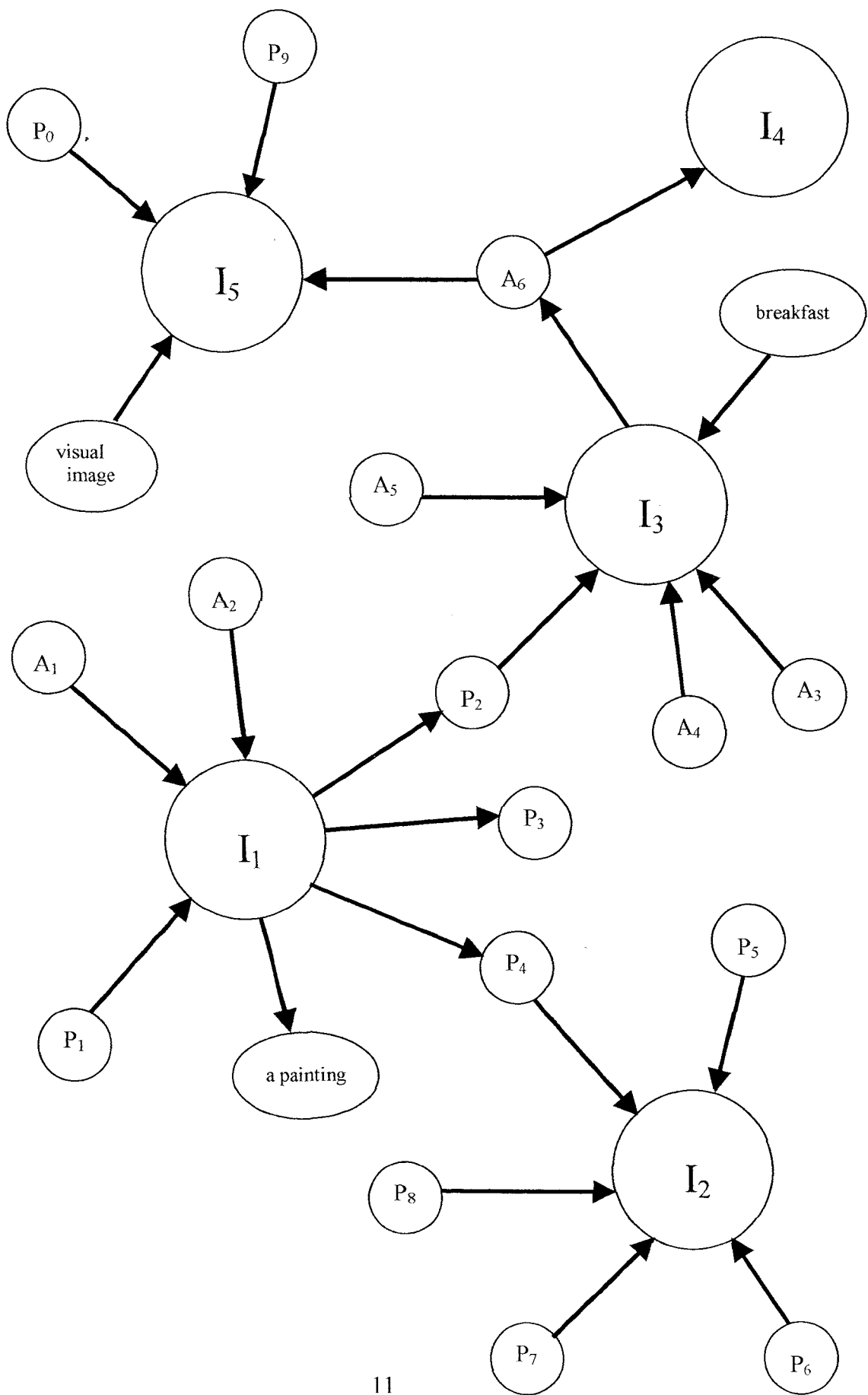
1.2 The Relation between Analysis and Performance

It is possible to find faulty versions of the basic three-way diagram of the relationship between performance and analysis implied by the performance analysis literature: specifically, a two-way and an elided three-way version. These will be discussed in the following sections.

Example 1-1: Circular diagram of the relation between Interpretation and other elements



Example 1-2: Field diagram of the wider relation between Interpretation and other elements



Two-way schemes

To overlook the existence of the third aspect of the relationship between Analysis, Performance, and Interpretation leads to serious misunderstandings - not least the ideological deprecation of the performer for which certain writers on the topic have been criticised. This problem appears because commentators recognise the existence of a higher, guiding concept in performance, but mistakenly assume that this concept is analysis (thus taking a position which Nicholas Cook has described as hegemonic³).

Wallace Berry's insistence that analytical insights should be reflected in performance make him, for many, the definitive 'prescriptive', or 'authoritarian', writer on performance and analysis⁴. Indeed, several writers have contributed lengthy rebuttals of his position, virtually founding the new area of performance/analysis studies on review articles alone⁵. In his book *Musical Structure and Performance*, Berry is widely considered to exaggerate the extent to which performers' inherent intellectual resources are inadequate, since he claims that 'the purely spontaneous, unknowing and unquestioned impulse is not enough to inspire convincing performance', and refers solemnly to 'how frequently and how deeply musical realization can suffer from the performer's failure [...] to explore in probing analysis those problems of interpretive choice which every artist faces'⁶. That is, his proposed solution to performers' perceived problem is to impose analytical study on them - not recognising that there are many sources from which 'interpretive' wisdom might be drawn.

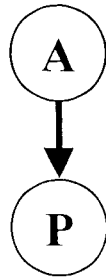
Berry's dubious formulation of the relationship between these elements could be represented by a simplified, two-way version of my triangular three-way diagram:

³ Cook, 'Analysing Performance and Performing Analysis', p.241.

⁴ 'Prescriptive': taken from Cook, 'Analysing Performance', p.240; 'authoritarian', taken from Rink, 'Playing in Time', p.254.

⁵ Reviewers of Berry's book *Musical Structure and Performance* who have gone on to make a contribution to the field of performance studies include Eric Clarke, John Rink, Joel Lester, and Steve Larson and Cynthia Folio (all review articles), as well as Nicholas Cook in his article 'Analysing Performance and Performing Analysis'.

⁶ Berry, *Musical Structure and Performance*, p.217-218 and p.2.



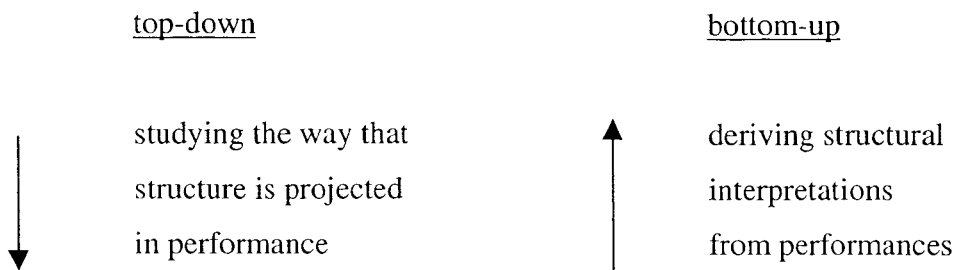
In Berry's scheme, analysis is placed above performance in influence and authority, and furthermore it is assumed that there is a direct path of influence from one to the other. This is how he can recommend that analytical insights should be reflected directly in performance - and also assume that there are some analytical insights that can or should not have an impact on a performance. Since Berry does not acknowledge the mediatory role of the Interpretation, he does not recognise the subtle process whereby any kind of insight can be digested and have a disparate (and perhaps untraceable) effect on musical activity. Furthermore, the single-headed arrow in the diagram above represents the fact that influence is only seen to flow one way by Berry – *from* analysis, *to* performance – and not in the opposite direction.

Sarah Martin criticises Berry and other writers for taking a so-called top-down approach to the relation between analysis and performance⁷. An approach is 'top-down' when it focusses on 'the way that an analytical text is projected in performance and on the way that performances of a work converge upon this analysis'⁸. The term and its opposite, 'bottom-up', are juxtaposed as follows⁹:

⁷ Martin, *Analysing Musical Recordings*, p.42.

⁸ Martin, *Analysing Musical Recordings*, p.20.

⁹ abstracted from Martin, *Analysing Musical Recordings*, p.33.



Martin uses this scheme extensively to categorise writers on the topic, and recommends that a combination of both approaches is needed¹⁰. According to this scheme, analysis and notions of structure are placed at the ‘top’, and performance is placed at the ‘bottom’. Thus, a top-down approach is one that leads from analysis (A) to performance (P), and a bottom-up approach leads from performance (P) to analysis (A).



Martin’s recommendation that writers combine a bottom-up approach with their top-down approach, in order to validate performers and their experience, is laudable. But I suggest that the terminology she adopts is self-defeating. By accepting a term such as ‘bottom-up’ for a performer-based approach, performers are placed firmly at the bottom of the hierarchy, with analysts above them. This raises the question of what the relation between them should be, by assuming that performers occupy a subordinate position. In my own work I therefore reject the terminology ‘top-down’ and ‘bottom-up’, instead preferring a ‘side-to-side’ approach where both disciplines are on the same level. I retain, however, the spatial metaphor of ‘above’ and ‘below’ which is implied in this distinction, since it is useful to illustrate other writers’ hierarchical assumptions on the matter. I shall use similar graphic imagery in order to attempt a shorthand depiction of how each writer sees the relation between Analysis, Performance and any other key terms which enter their discussion, by visually rearranging the terms on the page.

¹⁰ Martin, *Analysing Musical Recordings*, p.42.

Writers who fully embrace the prescriptive two-way arrangement are few, but might include Janet Schmalfeldt, whose article 'On the Relation of Analysis to Performance' establishes a prescriptive relationship between these two elements thinly disguised as a more equal, symmetrical relationship. The article begins by emphasising the hierarchy, with performers at the bottom and analysts at the top: 'Performance students at colleges and universities [in the USA] today depend especially upon the theorist-analyst,' she claims, 'for general knowledge about musical structure and compositional technique'¹¹. There may be a grain of truth in this comment, in that performance students may take lessons from theorist-analysts as well as other specialists¹², but it is a one-sided depiction of the relationship with which to begin the article, and certainly does not mention a situation where performers might be senior to or have something to contribute to analysts.

The layout of Schmalfeldt's article suggests that a more interactive relationship between analysis and performance is going to be developed. She assumes the role of an Analyst giving an account of a Beethoven Bagatelle in the first half of the essay, to which in the role of a Performer she then responds. In the second half of the essay, though, the roles are reversed, and the Performer gives an account of a different Bagatelle to which the Analyst responds. This pattern seems to give a symmetrical relationship between, and equal respect to, each of the two protagonists - but, in fact, the analyst is the one giving the answers in both cases, producing a scheme as follows:

First half:

A → P (Analyst instructs Performer)

Second half:

P ← A (Performer draws on Analyst)

¹¹ Schmalfeldt, 'On the Relation of Analysis to Performance', p.1.

¹² For *general* knowledge about structure and compositional technique, the performance student is more likely to depend on their instrumental teacher, and regard the fare provided by analytical classes as somewhat exotic and supplementary to their regular diet.

In the second half the performer asks questions of the analyst, rather than supplying her with advice. The approach is therefore one of 'problem-solving' for the performer, a subtle way in which to suggest that the performer is dependent upon the analyst¹³.

Catherine Nolan, like Schmalfeldt, presents an artificially symmetrical relationship between analysis and performance. The relationship, Nolan claims, is a didactic one - although she argues that it can be viewed two ways: the analyst as mentor, and the analyst as servant¹⁴. The latter position obtains because analysts can be called upon to make utilitarian suggestions for performers; however, the subservient implications of that position seem unlikely, since Nolan has already framed the performer as the analyst's 'apprentice', and this is her dominant mode of discussion of the relationship. Whilst Schmalfeldt's title suggests its bias ('the relation of analysis to performance'), Nolan's is more neutral ('the relationship of analysis and performance') but she still fails to recognise that analysis might draw on performance too¹⁵. The fake symmetry of each discussion disguises the fact that they present a 'top-down' equation just like those mentioned above.

Jerrold Levinson's scheme labels the two halves of his dichotomy as Performative Interpretations and Critical Interpretations. The former is, approximately, a performance; the latter includes explanation of a work's features as well as elucidation of its inner workings, so can be taken to combine within the same category a more prose-based critical style alongside music analysis. As is evident from his terminology, he considers both 'PI' and 'CI' to be a form of Interpretation, thereby putting the two activities on a level with each other, rather than in a hierarchy. He also considers 'reading' the relationship both ways: trying to express a CI through a PI, and trying to read a PI in order to uncover a CI.

¹³ Joel Lester has identified another asymmetry in the dialogue of this article: '[Schmalfeldt's] pianist-persona is learning to play the pieces, but it is obvious from her prose that her analyst-persona has studied them long and hard' (Lester, 'Performance and Analysis: Interaction and Interpretation', p.198, n.1).

¹⁴ Nolan, 'Reflections on the Relationship of Analysis and Performance', p.112.

¹⁵ Titles of such articles can reveal the author's perspective on this issue: Joel Lester's 'Performance and Analysis: Interaction and Interpretation', and Nicholas Cook's 'Analyzing Performance, and Performing Analysis' both recognise the genuinely interactive potential between the two disciplines, and this is reflected in each of the titles.



This makes his approach more symmetrical than that of the previous writers.

There are problems with this scheme, however: the binary division is not as clear as it initially seems from his early definitions; in particular, Levinson is forced to experiment with moving the dividing line between the two areas in order to make the scheme make sense. He proposes several alternative conceptions of PI as opposed to CI and what it might be able to include, since he is unsure to what extent a PI can include thoughts about how the piece is to be performed, or whether such ideas (being thoughts) should be put into the CI area. He thus cuts the cake in different ways, from a minimalist conception of the PI (which contains no intention whatever), through his preferred lean conception (where the performer endorses the reading), a semi-lean conception (a performance embodies the performer's grasp of a piece's structure), to a rich conception (the performer commands a CI of the piece which he can relate to the PI)¹⁶. Much discussion is generated by Levinson about which qualities go into which of the two categories, though he is less concerned about the final placement of the division than that the two categories are kept arbitrarily separate.

The discussion places into the PI category some aspects of musical practice which in fact are common to CI as well. These include the (supposedly performative) questions of whether repeats should always be taken (which is the topic of at least one analytical article¹⁷), and which chords should be emphasised when notation does not specify (a favourite topic of Schenkerian approaches to music). Since these aspects therefore belong to CI as well as PI, they should rather be placed in an overlapping area between the two categories. It is even more pressing that most of the issues which Levinson places in the CI category be shared in a central Interpretation area, particularly those concerning mood. For example, discussing the precarious relationship between CI and PI in a sample rehearsal of the Andante from Bach's Sonata No. 2 for solo violin, he commentates:

Now I start to reconceive the piece as *more plaintive and soulful* than before, one whose untroubled first half conceals the seeds of distress which are to flower later

¹⁶ Levinson, 'Performative vs. Critical Interpretation', p.46-48.

¹⁷ Dunsby, 'The Formal Repeat', p.198-207. Dunsby argues that the repeated sections contribute to the form of the work.

[this is claimed to be a 'CI']. I try out a slower, more deliberate tempo, and perhaps a less legato phrasing throughout [this is the 'PI']¹⁸.

In my own terminology, the former, mood-based quality constitutes a neutral Interpretation (not a CI). There is nothing so challenging or elusive about being able to realise it as a Performance, since in this way the process of realisation does not cross some central boundary as it does in Levinson's two-part scheme (from CI to PI). Nothing about the qualities of being plaintive or soulful belongs exclusively on the 'critical' side of interpretation, since an emotional state is equally the property of performers, listeners, and analysts/writers alike. Levinson perhaps makes this mistake because he assumes that qualities such as 'plaintive' and 'soulful' inhere in the words used to describe them, and not in the experiences themselves¹⁹.

Levinson's scheme undermines itself, with a point that he makes right at the beginning of his discussion. He admits that 'the first mode of PI [...] indeed borders on and invariably intersects with CI, i.e. formulating a view of what a work means or expresses and how it hangs together at various levels'²⁰. His temporary solution is to rule that activity out of the category of PI, saying that he is concerned only with a narrow category called 'realizational PI'. Such aspects, instead of being arbitrarily put on one side of the divide or another, should clearly be shared in a central area of 'interpretation' on which both performance and criticism can draw. The initial scheme developed by Levinson is inconclusive because there are not enough categories into which to put the types of musical activities that he considers. The fluctuation of the central barrier separating the two categories is simply an unfortunate result of the inadequacy of a two-part scheme with no common category.

Elided trichotomies

Richard Evans' paper, 'The Role of Musical Analysis within Performance', rests upon a philosophical attempt to provide definitions for the key terms of the title. The unusual clarity with which his position is spelt out is useful because it enables an explicit critique to be made of it. Evans establishes some preparatory binary oppositions, namely 'analysis/synthesis', and 'pure/applied', showing not only his interest in oppositional

¹⁸ Levinson, 'Performative vs. Critical Interpretation', p.57-59 (emphasis added).

¹⁹ His verbal bias will be discussed in section 1.3 below.

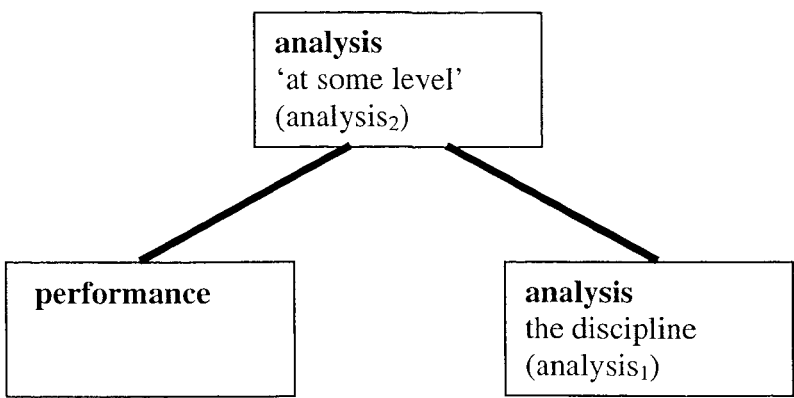
²⁰ Levinson, 'Performative vs. Critical Interpretation', p.34.

relationships in themselves, but also his intention to line up these dichotomies with the basic dichotomy of ‘analysis/performance’ which is the subject of his paper. The main opposition between ‘analysis’ and ‘performance’ is elaborated with some eleven pairs of contrasting features, the fifth of which is as follows:

Analysis	Performance
Does not require performance	Requires analysis (at some level)

This asymmetry is striking, and requires some unpicking of the key terms in order to understand it.

Evans’s definition of analysis throughout his paper is a specific rather than a general one, based on a concrete end product of a diagram or text, and requiring a university training to execute²¹. As such it corresponds to ‘analysis₁’ as defined in my initial section 1.1, the formal discipline of Analysis. However in his claim that ‘performance requires analysis’ he is using the term in quite the other sense, that of ‘analysis₂’ (or ‘Interpretation’), the general conceptual motivating force, which does not exist as an end product or involve university training; this is signalled by the fact that he appends the disclaimer ‘at some level’ to the word in the list of claims, illustrating his discomfort with the terminology. This analysis₂ is then placed over the discipline of performance:



The elision of the two terms, analysis₁ and analysis₂, enables Evans to imply in his title that the former (disciplinary Analysis) has a ‘role’ within Performance which is in fact

²¹ Evans, ‘The Role of Musical Analysis within Performance’, supplementary material, p.1.

only held by the latter (the more generalised concept he is struggling to describe). This is the crucial elision which enables over-inflated claims to be made for disciplinary Analysis in the sphere of Performance.

Janet Schmalfeldt likewise claims that ‘whereas the analyst can speak and write about a work without having to perform it, the performer’s presentation will, for better or worse, reflect his “analysis”’²². The inverted commas around the word indicate the writer’s awareness that this is not a satisfactory usage, and like Evans’s appendage ‘... at some level’ serve as a disclaimer for the writer. Such usage provides us with a clue that elision is taking place. The “analysis” mentioned in this quote, and the genuine Analysis considered in the rest of the article, slide into each other, with the same consequent over-statement of the role of Analysis found in Evans’ paper.

Another example of the same process would be: ‘The vast terminological gulf between analysts and performers blinds us to the fact that good performers are continually engaged in a process of “analysis”’²³. Rink is keen to stress that performers too analyse, and hopes to empower them by claiming so. However, this usage still suffers from the problems of elision. The inverted commas (or disclaimer) in each of these cases imply that the thing enclosed by them is not real analysis, but a weak form or inadequate version of something else. It is more helpful to give the thing a name in its own right: if the name of the activity is not drawn from the opposing field, it is far easier for performers to own it too. This is why I have suggested a third term, Interpretation, for this general usage and why I consider that writers who pull in the term *analysis* to do double duty for both are not doing any favour to performers at all.

A particularly interesting situation arises when performers discuss aspects of a piece during an instrumental lesson, or during ensemble rehearsal, where the various kinds of discourse may seem to break down the clear barriers being established in this

²² Schmalfeldt, ‘On the Relation of Analysis to Performance’, p.1. Tim Howell takes exactly the opposite view of mutual dependence from Evans and Schmalfeldt: ‘Most analysts respect and rely on the performer’s art as forming a crucial part of their own, whereas performers tend to view analysis either with considerable suspicion or as a complete irrelevance’ (Howell, ‘Analysis and Performance: The Search for a Middleground’, p.693). This generalisation is closer to the truth: the amount of influence which formative performances have upon the Interpretation of a piece in the mind of a music analyst is generally ignored, in the transcendent belief that they are directly analysing some idealised conception of the score. (See Joel Lester’s controversy with Carl Schachter, in Lester, ‘Performance and Analysis: Interaction and Interpretation’, p.203-5.)

²³ Rink, Review of Berry, p.323.

theory. Is there a special kind of ‘performers’ analysis’ which should broaden and blur the category of Analysis that has been so strictly established? Elaine Goodman has worked extensively on the conversations held between cellists and pianists whilst rehearsing a duo piece, with the aim of categorising their utterances. Although their comments move freely between different types of discussion, each falls nonetheless into one of the three modes of Interpretation, Performance, and Analysis: for instance the directly parametric comments ‘keep it to the same dynamic’ and ‘I prefer it slower’²⁴ are clearly simple suggestions for Performative Realisation. More metaphorical comments like ‘it’s sad’, or a comparison to frustrated screaming, or a series of arches drawn in the air²⁵, fall under the heading of Interpretative statements; the only clearly Analytical discourse is found in the linear ascents isolated by Goodman as a correlate to the musicians’ (Performative) rubato choices²⁶. Hence what is thought of as ‘performers’ analysis’ may be characterised by a free mix of modes in quick succession²⁷.

This categorisation is true of other notated instances of performers’ discourse, for example the modes of teaching typical of the violin pedagogue Josef Gingold, as transcribed by Krausz. Krausz groups the teacher’s recommendations into two categories, the first of which includes the length of bow to use, how to render gracenotes, where to slide into a new position, and other practical suggestions that I would describe as part of Performative Realisation – how to get *from* a musical intention *to* a sounding result, using a particular means, the classical violin. The second category is clearly Interpretative, with all the emotional and non-literal qualities already explored: Gingold exhorts students to ‘live with’ the instrument, ‘cry at every shift’, play ‘with taste’, or

²⁴ Goodman, ‘Performers’ Discourses’, supplementary material, p.1 and p.4.

²⁵ Goodman, ‘Performers’ Discourses’, supplementary material, p.4 and p.1.

²⁶ Goodman, ‘Performers’ Discourses’, supplementary material, p.3.

²⁷ There is a fourth category of music-related utterance often found in instrumental lessons, of the type ‘don’t forget to play B-flat, as the key-signature says’. This is itself does not constitute part of Analytical discourse, since it observes a mere fact, and requires no creative decision-making. It could perhaps be categorised as a Notation-based comment, within Dunsby’s scheme of Notation-Theory-Performance presented at the end of this section (Dunsby, ‘Acts of Recall’, p.12). Using this tool, Rink’s definition of ‘performance analysis’ can similarly be broken down into its constituent modes: ‘considered study [I] of the score [Notation] with particular attention to contextual functions [A?] and means of projecting them [P-realisation]’ (Rink, Review of Berry, p.323). The Interpretation element of this admirable project is outlined further within the discussion of ‘shape’, under the heading ‘Developing the Interpretation concept’ in section 1.3.

even ‘be mindful of the construction of the piece as a whole’²⁸. Such encouragements are clearly separate from giving the students Schenkerian analyses to play from²⁹ – which nonetheless is a highly interesting pedagogical method and, in its broader sense of increasing students’ musical awareness and self-reliance, highly laudable. To distinguish clearly the three aspects of musical discourse as I have done is not to privilege any of them over the others, or suggest that they should not engage in a rich interaction with each other in any number of possible ways.

In his ‘Guest Editorial’ on the performance and analysis of music, Dunsby identifies and labels the three aspects of the basic three-way relation I have been developing here. He makes a distinction which is fundamental to my scheme, namely ‘a rather simple distinction, one which is often overlooked, between interpretation and performance’³⁰. Having explicitly distinguished an interpretation from a performance, Dunsby proceeds to distinguish an interpretation from an analysis, thus making a three-way distinction:

A particular analysis may well lead to the conviction that a particular kind of interpretation is essential, *but how to convey that interpretation to the listener in performance is another matter*³¹.

He gives the example of Maurizio Pollini’s rendering of Beethoven’s *Waldstein* Sonata, where the unusual harmonic scheme of the second subject (A) suggests that this material be emphasised (I) and how Pollini hence ‘consciously or unconsciously’ chose to use dull and singing tones in order to make a contrast (P)³². This suggests that a central, conceptual area, which Dunsby has labelled an interpretation, is necessary to process the results of an analytical observation, and furthermore that information in this area remains to be concretely realised (‘convey[ed]’) before it can be expressed in a performance.

From these distinctions, it is clear that Dunsby recognises that a process of realisation intervenes between interpretation and performance. This invaluable observation would give a diagram which in my terms may be represented as follows:

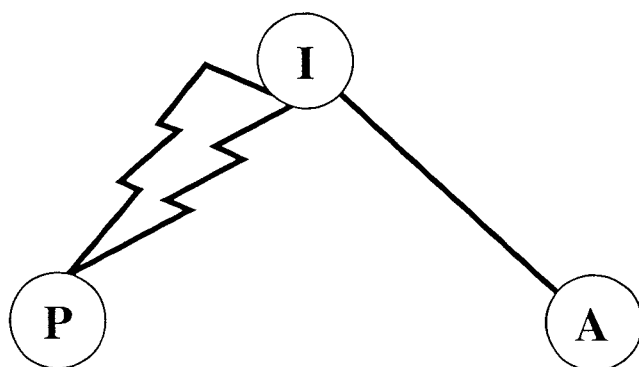
²⁸ Krausz, ‘Rightness and Reasons’, p.78.

²⁹ as Victoria Vaughan did: see Vaughan, *Music Analysis and Performance*, p.73-85.

³⁰ Dunsby, Guest Editorial, p.7.

³¹ Dunsby, Guest Editorial, p.7, emphasis added.

³² Dunsby, Guest Editorial, p.9.



The zigzag line from interpretation to performance shows that there is friction in the process from interpretation to performance. This represents the realisation process, demonstrating that performance is not a transparent language. Although Dunsby clearly recognises the friction of the path from Interpretation to Performance, needing a realisation process to intervene, he does not so emphasise the similar friction of the process between Analysis and Interpretation in this article, saying simply that one ‘may lead to’ the other. He agrees with Schenker that ‘all evidence needed to assimilate a composition is to be found in a score’ and explicitly recognises only the realisation process from I to P subsequent to this³³. This risks pulling the interpretation very closely over to the side of the analysis:



whereas an application of the same useful idea of realisation on the other side of the diagram (between I and A) would produce a clearer formulation of the whole relationship.

There are two reasons why writers might put less emphasis on the realisation process between Analysis and Interpretation. One is that many of them are professional analysts, and as such the languages of analysis are second nature to them. Thus they can express Interpretational thoughts with ease in Analytical guise, and read off from Analytical writings other people’s Interpretations as if the language itself were transparent. But however accomplished one is as an analyst, the languages of analysis are

³³ Dunsby, Guest Editorial, p.7.

not transparent, because they each have their own strengths, weaknesses and assumptions, and are therefore incapable of expressing every possible thought that can be held in the head. There is still a process of friction between A and I (absorption/perception) and between I and A (realisation).

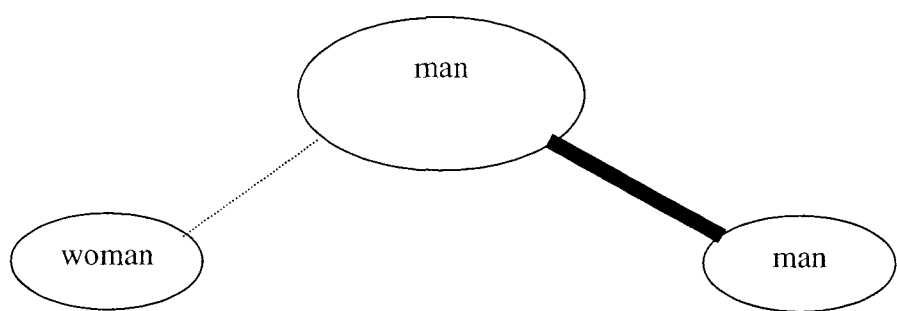
The other reason that the realisation process between A and I receives less attention in the literature is that many writers choose to move in only one direction round the pattern, from A to I to P, considering how one is to express analytical percepts in performance. If they were instead, or additionally, considering aspects of the opposite process, for example how exactly we might express performance insights (P) in abstract interpretational form (I), and trying to form these nebulous notions (I) into analytical language (A), then such writers would be more quickly forced to consider the limitations and peculiarities of the analytical methods we have at our disposal, since analysis would form the final link in the chain, and not the first. This would lead to a consideration of the frictional process between A and I, and a better formulation of the relationship between them. In the current work, consideration of this reverse direction round the diagram been necessitated by the case study in Chapter Three, where the starting point has been specific recorded performances. The important realisation process will be further considered in the final section of this chapter.

The theory of elision, and the faulty diagram above showing Analysis₁, Analysis₂ and Performance (see page 19), are derived in outline from an article by Douglas Hofstadter entitled 'Changes in Default Words and Images'³⁴. The article investigates how the choice of terminology affects a listener's assumptions and behaviour, focussing specifically on the use of gender-related terms. In common parlance it is widely assumed, for example, that the generic use of the word 'Man' includes women equally with men and is not a discriminatory usage, when it appears in such commonplace expressions as 'the descent of man', 'a dog is a man's best friend', and so on. However, Hofstadter cites experiments to show that this is not entirely the case: for example a group of subjects asked to choose pictures to illustrate the concept of 'Industrial Man', 'Social Man' (and other concepts) chose predominantly males, whilst a control group given a neutral title of 'Industrial Life', 'Society', etc, chose a much more varied selection of pictures³⁵.

³⁴ The focus of Hofstadter's work is in investigating quirks of human thought, in order to aid the development of a realistic model for artificial intelligence.

³⁵ Hofstadter, 'Changes in Default Words and Images', p.151.

Whilst from context one can often tell whether the generic sense of all humans, or the specific sense of males only, is meant (women would not be expected to enter a public toilet marked ‘Men’, for instance), Hofstadter argues that in the majority of cases there remains significant ambiguity: ‘When a generic term and a [specific] term coincide, there is the possibility of mental blurring on the part of the listeners, and even on the part of the speaker’³⁶. For instance, if one hears a newsreader refer to ‘the four-man crew of next month’s space shuttle flight’, it is not clear whether all four are actually males, or whether one should allow for at least one woman in the crew. To describe this situation, Hofstadter coined the term ‘the slippery slope of sexism’, illustrating it thus³⁷:



Hofstadter considers that the slippery slope process works to the advantage of the specific sub-group whose name was identical with the generic, the ‘unmarked’ group:

Each slippery slope involves a little triangle, at the apex of which is a supposed generic, and the bottom two corners of which consist of [opposed specific] terms. Along one side of each triangle runs a diagonal line [...] Along that line, connotations slosh back and forth freely in the minds of listeners and speakers and readers and writers. [...] The essence of the typical slippery slope is this: it establishes a firm ‘handshake’ between the generic and the masculine, in such a way that the feminine term is left out in the cold. The masculine inherits the

³⁶ Hofstadter, ‘Changes in Default Words and Images’, p.151. Hofstadter somewhat unconventionally uses the term ‘marked’ where I have substituted ‘specific’ here. The ‘marked term’ is, correctly, not both but only one of the two specific terms, and the other one from that intended by Hofstadter (the women in this example). ‘Men’ as a specific use would be the *unmarked* term (see Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*, p.34-35). My substitution of ‘[opposed specific] terms’ for Hofstadter’s original ‘oppositely marked terms’ in the excerpt below is for the same reason.

³⁷ Hofstadter, ‘Changes in Default Words and Images’, p.152.

abstract power of the generic, and the generic inherits the power that comes with specific imagery³⁸.

The process benefits the specific, unmarked group of men by marking them as ‘standard, ordinary, somehow proper’; by contrast women are made to seem ‘special, deviant, exceptional’³⁹. The ‘marked’ group (that is, women) according to Hofstadter ‘have to fight their way back into imagery as just-plain *people*’⁴⁰.

The faulty diagram of the analysis-and-performance relation mirrors the same schema. The use of the term *analysis* by writers such as Evans to represent both a general interpretational process of thinking about music (the generic), and the intellectual institutional activity of analysis (the unmarked specific), establishes a ‘firm handshake’ between them. This operates to the detriment of performance which is now the term ‘left out in the cold’ (the marked specific)⁴¹.

³⁸ Hofstadter, ‘Changes in Default Words and Images’, p.153-4.

³⁹ Hofstadter, ‘Changes in Default Words and Images’, p.155.

⁴⁰ Hofstadter, ‘Changes in Default Words and Images’, p.154, emphasis in original.

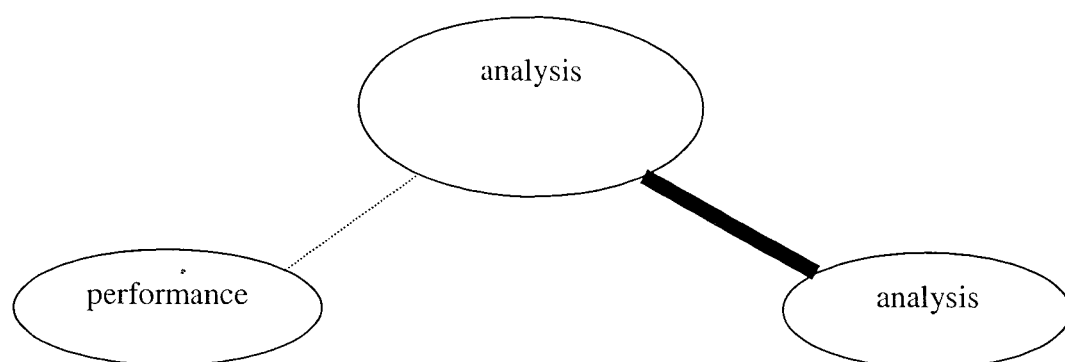
⁴¹ I would not claim that there is genuinely a ‘genderisation’ of the two disciplines of performance and analysis; that is, I do not think it adds to our wisdom on the topic to consider performance as ‘feminised’ and analysis as ‘masculinised’ in some quasi-New-Musicological manner. There are some possible correlations between the disciplines and the respective gender stereotypes, for example in that

- analysis = intellectual = ‘male’
- performance = physical = ‘female’

But equally there are aspects (as are invariably found with such homologies) which can be read the other way around:

- performance = extrovert, heroic = ‘male’
- analysis = domestic, narrative = ‘female’

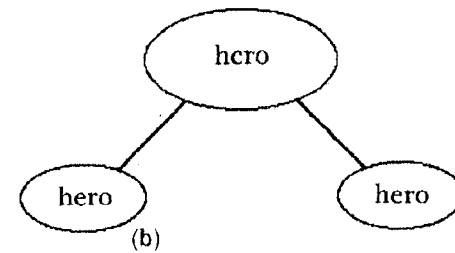
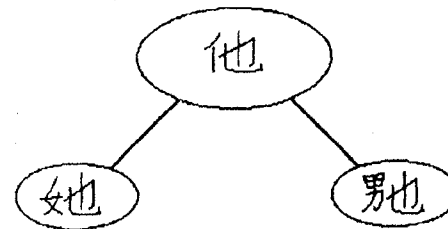
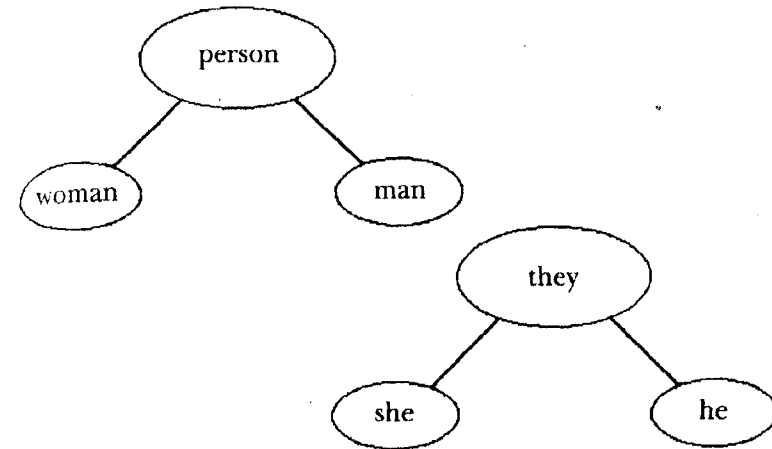
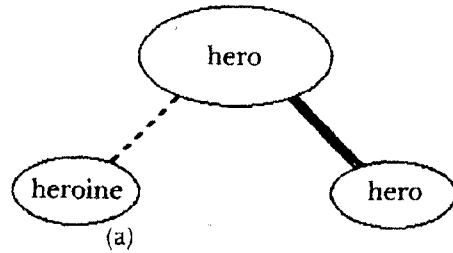
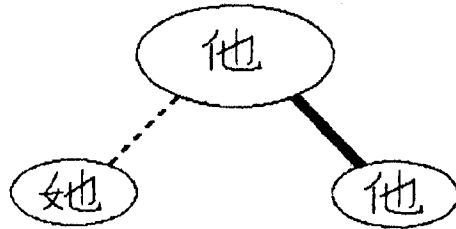
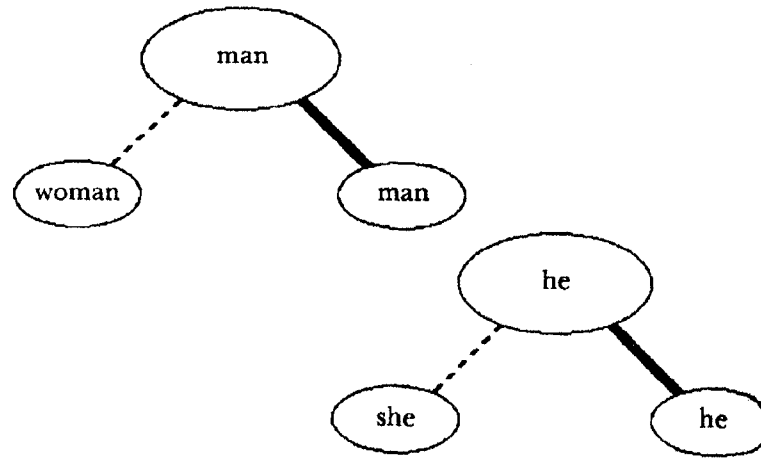
thus undermining any glib identification of disciplines with genders. Hence this discussion will proceed on the assumption that the relation between Analysis and Performance in performance studies only resembles that which obtains *within* the gender system of men and women, and resist any attempt to map ‘A’ and ‘P’ *across* the systems to the individual gender types.



The ‘unmarked specific’ activity, disciplinary analysis, is that which benefits from the lack of conceptual clarity, in the same way as the group of men in the first example was said to benefit. The ‘marked specific’ term, performance, has a much weaker link (shown as a dotted line) with what is actually general musical thought at the top of the diagram, hinting that disciplinary analysis is (depending on the exact understanding of the generic term) more inherently thoughtful than performance. This, of course, is exactly the type of assumption that needs to be avoided, since it is such an assumption on the part of writers such as Berry and Schmalfeldt which has so aggravated their readers and reviewers, and caused the latter to claim that the discipline of performance analysis has no respect for performers.

There are several linguistic solutions to the problem, and they are illustrated on the right-hand side of Hofstadter’s diagram, reproduced in Example 1-3. The first solution is to replace the generic: thus ‘man’ as a generic is replaced by the inclusive ‘person’ (similarly, the dubiously-generic pronoun ‘he’ can be replaced by the plural-derived ‘they’). In either case the specific terms ‘woman/man’ (or ‘she/he’) are unaffected. The second solution is recommended for the Chinese characters in the next example, where the generic character indicates ‘person’ and the unprivileged specific character is an increasingly-popular neologism indicating ‘female person’. Here the best response is to ‘distinguish unmarked specific’, using the new character in the bottom right to indicate ‘male person’ - a convention which the Chinese have unfortunately yet to adopt. The third solution, ‘standardise marked specific’, reflects the fact that a ‘marked’ usage for one specific group may be removed if the distinction is unimportant: in this case, no-one needs or wants to describe a brave act as ‘heroic’ rather than ‘heroic’, so the generic term (‘hero / heroic’) is extended to cover both specifics.

Example 1-3: Hofstadter's diagrams of the 'slippery slope'



What is the best solution in the case of the musicological discussion over the word ‘analysis’? We can use these three solutions as possible models. The first solution, ‘replace generic’, would necessitate replacing the ambiguous generic use of *analysis* with a third, neutral term, one that could pertain easily to either of the two specific terms (compare the use of ‘person / they’ above). The second solution, ‘distinguish unmarked specific’, would demand a new distinct term for the written discipline of analysis, and has been partly adopted here with the term ‘disciplinary analysis’. (A full version of this solution would demand that this term be adopted in all analytical writings, including those that do not consider performance – so this is clearly impractical on the largest scale.) The third solution, ‘standardise marked specific’, has been attempted by some writers in local cases, for example Rink who claims that in certain cases ‘the performance becomes an *act of analysis*’⁴²; in this way, all three terms become the same, ‘analysis’⁴³. However, this is not a solution applicable in a wider context when our aim is to distinguish different activities since performance could no longer be identified in discussion.

The first solution to the problem is clearly preferable. The idea of a general pattern of abstract musical thought is relatively new, and there have been only tentative attempts to name it. For this solution, a neutral generic term must be found which can equally well be a feature of performance as of analysis. What internal mental activity is common to both forms of realisation, and could also be used as a generic term to describe either of them? Various terms such as ‘concept’ or ‘essence’ would be possible, but the former retains the flaw of pertaining more naturally to the field of analysis, and the latter is unnecessarily vague; similar arguments apply to most of the other available candidates⁴⁴.

⁴² Rink, ‘Playing in Time’, p.270 (emphasis in original).

⁴³ Rink also speculates that ‘perhaps the *best* analysis of a work is its performance’ (Rink, Review of Berry, p.328, emphasis in original). One hopes that the performers are flattered. However, there are conditions attached: ‘assuming that the performers have clearly thought through the piece and that listeners are able to infer analytical content by means of ‘structural hearing’, which is a necessary prerequisite to communication’ (Rink, Review of Berry, p.328). These conditions put the performers (and the listeners too) firmly back in the area of analytical dominance.

⁴⁴ Dunsby glosses the concept as an ‘understanding’, as discussed below in section 1.3. This is a helpful term as either an analyst or a performer (or a listener) may be thought to ‘understand’ a piece; however, these understandings may be thought to be different in either case, whereas I am searching for a term which will emphasise what each musician’s thoughts may have in common.

I have chosen the term *interpretation* which has the advantage of being a familiar word whose common meaning is close to that which I intend by it. Either an analysis, or a performance, could be said to represent the ‘interpretation’ of the person who produced it. The term can well indicate the holistic grasp of a piece of music, which may consist of many constituent details; but for the purposes of this investigation it can equally be considered as a generic term relating to both performance and analysis. It indicates that which is found in both of them – and hence can also be used as a name for a third, internal element of musical behaviour, distinguished from both analysis and performance in their specific manifestations, as Dunsby has identified in the discussion above.

The idea of conceiving relationships as trichotomies, rather than a dichotomies, is gaining ground at the end of the twentieth century as people become increasingly reluctant to accept the oppositional nature of dichotomies. Whilst investigating the nature of musical reality, Dunsby has confessed his ‘deep distrust of twos rather than threes’⁴⁵ and experimented with a division into notation, theory, and performance⁴⁶. Such a trichotomy is not directly congruent with the one presented here, but neither is it contradictory, since it merely focusses on a different part of the ‘field diagram’ shown in Example 1.1. One of the most famous trichotomies of music theory is the ‘tripartition’ of neutral, poietic, and esthetic levels introduced by Nattiez. The semiological division of the ‘total musical fact’ into structures/configurations, acts of composition, and acts of perception respectively⁴⁷ is too important to be subsumed into the current theory; nonetheless, it has something to offer it. Following Molino, it insists that a score, a performance, or an analysis does not ‘transmit’ meaning from author/performer to audience, since ‘the esthetic and the poietic process do not necessarily correspond’⁴⁸. This point has been recognised in the theory of realisation expounded above.

Such three-way relationships allow a more subtle look at the elements of musical behaviour, free from the restraint of ‘either/or’ frameworks. It is the element of the Interpretation which characterises the particular trichotomy espoused and developed in this chapter.

⁴⁵ Dunsby, ‘Fortenotes’, p.181.

⁴⁶ Dunsby, ‘Acts of Recall’, p.12.

⁴⁷ Nattiez, *Music and Discourse*, p.3.

⁴⁸ Nattiez, *Music and Discourse*, p.17.

1.3 The Interpretation

The Interpretational thoughts which go on in the mind prior to, and during, the performance of a piece of music – for example – are often nebulous and elusive. They are often non-verbal, and may also be non-diagrammatic. They do not often take the same forms as finished or publishable items of musical analysis. They may even have a bodily basis in some cases. This section begins with a discussion about the nature of the Interpretation using a case study, and then examines the literature for related topics that demonstrate the possibilities and breadth of the concept.

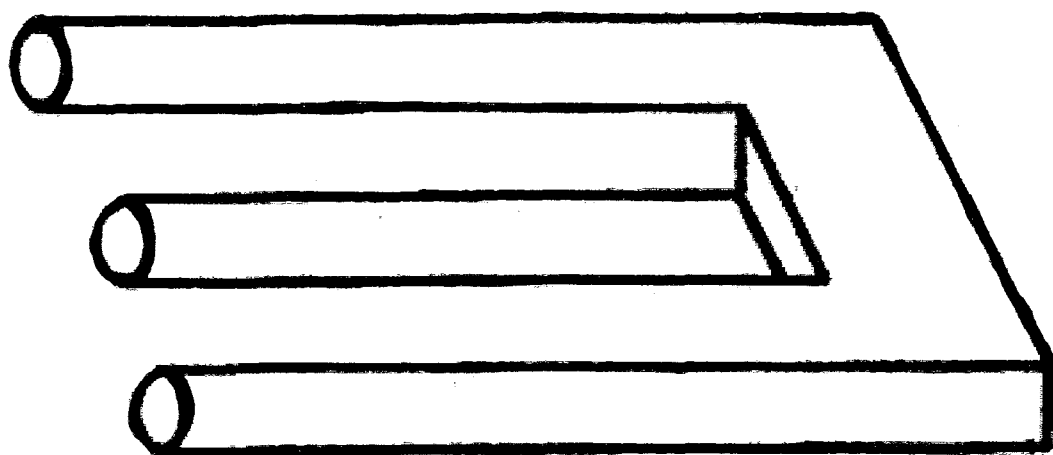
The Interpretation needs a realisation in order to be tangible. Ideas which express a clear interpretation may nonetheless take some effort to express either in clear-cut analytical form, or in a clearly-expressive performance; and certain ideas which are strongly motivating still may not fit well into analytical language or with performance mechanisms. These latter two processes, Analysis and Performance, exemplify the methods of realisation, which are separable from the concept of the Interpretation. The Interpretation is abstract and exists in the mind. The methods of realisation are physical processes each with its own conventions, eventuating in a tangible product.

It is well known that the mind can imagine geometrical figures which it is not possible to construct: for example Shuster's Conundrum⁴⁹, shown on Example 1-4. Here the mental image constitutes the Interpretation, and the rules of woodwork the realisation process that would enable the object to be built. It is similarly possible that a musical Interpretation may exist with utmost clarity in the mind, and yet be (almost) impossible to realise. For example, I strongly perceive three layers of music in the right hand of Cole Porter's song 'You're the Top' (Example 1-5), the first one decorative and dissonant, the second smooth and melodic, and the third plain and accompanimental. This prompted to my mind an image consisting of coloured bands in space (see Example 1-5). Yet my attempts to express this image in a finished disciplinary form have not been entirely successful. I imagined that such a 'layered' perception would be easy to express in a 'stratified' prolongational analysis, in imitation of Cone's famous fold-out analysis of Stravinsky's *Symphonies of Wind Instruments*⁵⁰. This intention was thwarted, however,

⁴⁹ taken from Peter Eldin, *Things Aren't What they Seem* (London and Sydney: Pan Books, 1978), p.71.

⁵⁰ Cone, 'Stravinsky: The Progress of a Method'. I am using the term 'stratification' in Cone's sense, not in the rhythmic sense developed by Maury Yeston in his book *The Stratification of Musical Rhythm*.

Example 1-4: Shuster’s Conundrum – an impossible-to-realise object



Example 1-5: Cole Porter's 'You're the Top', score with annotations

REFRAIN

E^b B° E^b E° B^b7 B^b6

You're the top!
You're the top!

You're the Col - os - se - um,
You're Ma - hat - ma Chan - di.

E^b Cm $G7$

You're the top!
You're the top!

You're the Louvr' Mu - se - um,
You're Na - po - leon bran - dy,

A^b $Fm7$ B^b7 $Fm7$ B^b E^b B^b

You're a mel - o - dy — From a sym - pho - ny — by
You're the pur - ple light — Of a sum - mer night — in

Cm D Gm $C9$ $F7$ B^b9 E°

Strauss, You're a Ben - del bon - net, A Shake - speare son - net, You're Micky Mouse...
Spain, You're the Na - tion'l Gall' - ry, You're Gar - bo's sal - 'ry, You're cel - o - phane, —

Layer 1

Layer 2

Layer 3

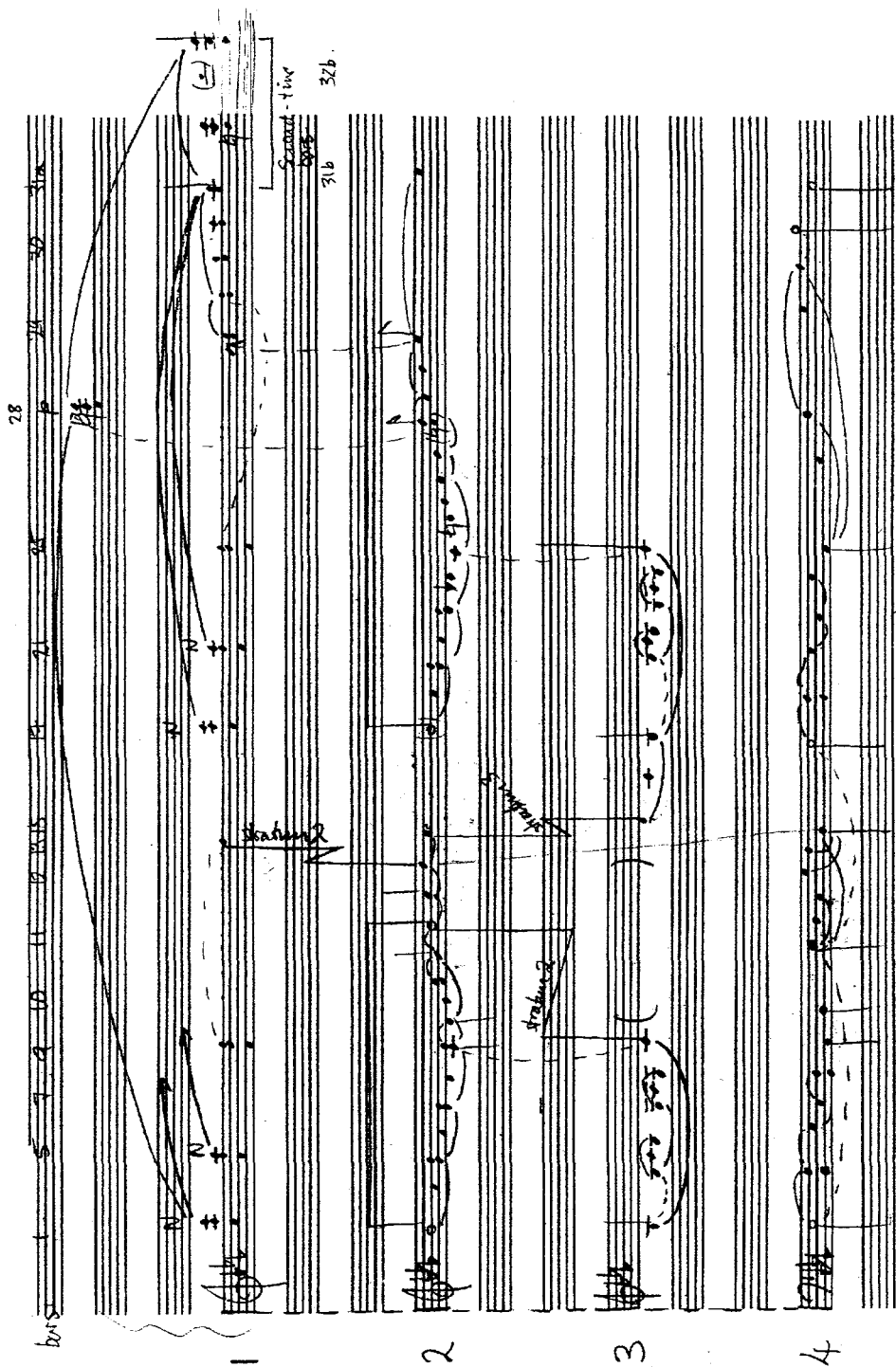
by the demands of the analytical method that the layers either remain separate or converge in an orderly manner, and that certain rules of prolongation and unfolding are followed. The makeshift analytical result is shown in Example 1-6⁵¹, whereas the layers I had originally perceived behave more messily and are less specific about detailed points. However this failure to express itself in analysis did not diminish the force of the original interpretational perception.

Equally, I had only limited success in expressing this perception in solo piano performance. For the middle stratum, which would be doubled by the voice in a sung performance, I played melodically, with full tone, as legato as reasonably possible; the upper, dissonant stratum, which first attracted my attention by its incongruence with the rest of the musical material, was rendered sharply, dug into the keys but short in duration, as suggested by the staccato marking; and for the lower stratum (below the stave), I played lightly and neutrally, as if in accompaniment. I tried to realise the movement between 'layers' with as much discreet clarity as possible, with either a slight crescendo or else a tiny emphasis on the arrival at the new layer. I experimented with different combinations of realisation methods, and also tried thinking hard about expressing the layers whilst exerting no particular control over the manner of realisation. It is possible that my skills as a pianist at the necessary speed were too restricted to succeed at this. However, even with a highly-skilled performer, the realisation process from Interpretation to Performance would, nonetheless, not be a straightforward one; the original idea comes with no special guidelines for its expression in concrete form. The fact that the result did not entirely do justice to the original concept is due at least in part to the frictional nature of realisation.

Cases where the Interpretation is difficult to realise show the separability of the Interpretation from the Realisation process which culminates in an Analysis or a Performance. In the example above, my desired Interpretation was clear enough, and yet the attempts to realise it in Analytical or Performative forms were less than successful. This is because each of these activities has grammatical constraints and set conventions of representation, as well as physical restrictions on what is possible. These constraints constitute the Realisation process of the chosen activity (which is discussed more in

⁵¹ The attempt at analysis was originally presented as part of Bethany Lowe, 'Problematics in the Formal Analysis of Tin Pan Alley Songs' (M.Mus. diss.: University of London, 1995), see Example 19 and commentary on p.39-42. 'Unfoldings' between the staves represent a surface movement between two of the three upper structural voices described above.

Example 1-6: Stratified analysis of 'You're the Top'



section three below). The final product (an A, a P or some other) will reflect the Interpretation, filtered through, supplemented by and continually reinflected by the chosen mode of realisation. The initial Interpretation itself is subject to no such realisation process, and can take any form⁵².

The scenario explored above constitutes only one possible example of an Interpretation concept. An Interpretation need not be spatial, or diagrammatic, as it was in this example; more, contrasting, examples will be given in the course of this section. The balance of elements in an Interpretation will depend greatly on an individual's way(s) of construing music and on their response to a particular piece of music, since it is a catch-all category that can include any percepts that relate to the musical experience. Most often it is pluralistic, as the mind moves evanescently from one image or sensation to another.

For those who consider that my model of the Interpretation is too abstract, too static, and hence perhaps less suited to performers, I would emphasise its quality of being 'continually reinflected'. Schmalfeldt has noted that the performer's 'view' of the work is constantly altered in a feedback process between the intention and the resulting sound:

Just one false move - a finger placed too heavily (or too lightly) on the key, an arm motion that misses its target - can force the performer to adjust the fine points of his strategy; suddenly new decisions must be made, and with these a new 'view' may be born⁵³.

I would suggest that this process of performance feedback is more positive a process than Schmalfeldt suggests: the experience of performance can cast new light on a piece in many ways. Not only the mistakes, but the gaps between conscious intentions in one's

⁵² By describing an Interpretation concept, one does not necessarily realise it. The impossible triangle described above exists in the mind, but without there being such a physical construction - nor would it be possible to give an account of its angles or proportions. Likewise, by telling you that I imagined a three-layered image of a song, I have not produced a Performance which expresses that Interpretation. Neither have I produced an Analysis of it, though this is slightly harder to distinguish. A proper Analysis of the song would give a full account of the behaviour of the imagined layers employing technical conventions of representation, or at least making detailed references to the score. The Interpretation I conveyed had none of these things, instead, I used the simplest devices possible to encourage the reader to share my percept. The Interpretation is any pre-realisation manner of thought which is already present in all those who think about or experience music.

⁵³ Schmalfeldt, 'On the Relation of Analysis to Performance', p.28.

own performance provide plenty to listen and respond to, just like those in others' performance⁵⁴.

In the same way, the realisational process of Analysis can reveal new insights which inflect one's central view: hence, I disagree with Schmalfeldt's claim that the analyst's medium, unlike the performer's, 'requires a final commitment to a presently held view'⁵⁵. In my 'You're the Top' example, the layered Interpretation image was repeatedly altered by the relevant activities I pursued. For example my performance experiments changed the colours and thicknesses I perceived the layers to have, and hence their mutual relationship, whilst my analytical explorations affected it so that the layers became somewhat bent at one end, due to the necessity for the layers to converge. Thus the experiences of Performance and of Analysis changed the Interpretation concept as I proceeded. The process which is the reverse of realisation might perhaps be termed absorption (or else perception, or digestion, depending on which physical sense one prefers to emphasise), and it is what happens when a performance or analysis of a certain piece, either by oneself or by another person, is built into one's central understanding of the piece.

One need not even begin the process with an Interpretation concept, since, as Glenn Gould commented, 'you only come to know [what you are doing] as you proceed'⁵⁶. Consider the extreme case where someone begins with absolutely no Interpretation concept whatever of a certain piece. In that case their performance may reflect, for example, simple 'virtuosity'. This in itself is a (weak) Interpretation concept,

⁵⁴ Working with other musicians in a group always provides opportunity for feedback, since other participants' Performance may radically reinfect one's own Interpretation of the piece. For a conductor examples of such feedback are continually appearing. Brock McElheran's recommendatory textbook provides some examples of this process: 'The chorus may seem a little stale in an allegro; see if you can recapture some of the excitement of a few days earlier by moving the tempo a shade faster and at the same time exhorting them to greater heights with your arms, face and will power [sic] [...] You may suddenly realize that a certain movement in rehearsal has been monotonously close in tempo to its immediate predecessor; the scales fall from your eyes (and ears) and you take it more slowly and expressively, thrilled with a new beauty you had not anticipated' (McElheran, *Conducting Technique for Beginners and Professionals*, p.125). Even as a soloist the second type of insight he describes is possible.

⁵⁵ Schmalfeldt, 'On the Relation of Analysis to Performance', p.28.

⁵⁶ from *The Glenn Gould Reader*, ed. Tim Page (London: 1987), p.287; cited in Dunsby, *Performing Music: Shared Concerns*, p.39 and 46, and Cook, 'Analyzing Performance', p.252.

which may change as it proceeds or, if it remains, only needs slight inflections to become an Interpretational concept of ‘heroic struggle’ which may effectively dramatise the process of the movement. One’s Interpretation of a piece may thus be general and non-explicit rather than minutely detailed, but it is difficult to have none at all. Even an initial sense that ‘this piece is total chaos’ will have an impact on one’s performance (though it would be unusual to give a recital of the piece holding such a belief). Any creative engagement with a piece of music (whether performance, analysis, orchestration / arranging, etc) is therefore an iterative process which can begin at any point.

Use of the term ‘Interpretation’ in the literature

The rest of this section examines the performance/analysis literature for support for the concept of the Interpretation. Initially I examine briefly the use of the term itself in the literature. Then my account explores similar but differently-named concepts which emerge from writers’ formulations. Finally, I compare some alternative accounts which are helpful in defining what the Interpretation is not.

There are three types of use of the term interpretation in the literature, the first type being a relatively trite one. It refers only to performing, and does not allow for any mental activity to be part of the process. For instance, Susan Bradshaw, in her review of *The Interpretation of Music: Philosophical Essays* (ed. Krausz), uses the term ‘interpretation’ generously (not least because it is featured in the title of the book she is reviewing), but her understanding of this term is a very limited one. Bradshaw comments that ‘music cannot properly exist until it is submitted to some form of interpretation (*that is to say, until it is performed*, though not necessarily by professionals, or in public)’⁵⁷. This suggests that she considers ‘interpreting’ to be something which practical musicians do, which she confirms by the remark that ‘There is, of course, a clear dividing line between those who spend their lives making (interpreting) music and those who search for words to describe a musical experience’⁵⁸. This is so despite the fact that several

⁵⁷ Bradshaw, Review of Krausz, p.516 (emphasis added). Bradshaw is not the only writer to use the term *interpretation* in the sense of realisation. Another is Edlund, whose consideration of the status of the score leads him to conclude that ‘there is no music in the scores until they have been interpreted one way or the other’ (Edlund, ‘On Scores and Works of Music’, p.375). Edlund is not referring to the conceptualisation of the score, but to the performative production of notes from it.

⁵⁸ Bradshaw, Review of Krausz, p.516.

essays in the book under review (for example, that by Levinson⁵⁹) attempt to develop the word into a feature which is common to both performers and critics⁶⁰.

Bradshaw's understanding of the term 'interpretation' is also uninflected by any element of decision making on the part of the interpreter. She considers interpretation to be a process by which music is read directly off the page and turned into a series of sounds, a rather mechanical process which bypasses interpretative decision-making⁶¹. This limited sense of the term as a realisation process, and the misunderstanding created by it, is shown by Bradshaw's critique of the book. She disputes the claim, made in an article by Krausz, that 'a musical score [...] is characteristically incomplete in that it cannot fully specify all pertinent aspects of an interpretation'⁶². Understood in her own sense that a musical score cannot specify all pertinent aspects of a *realisation*, the statement is indeed dubious, since these qualities tend to be more trivial (ie pitch location, relative durations, approximate intensities) and precisely the qualities that musical scores are well-equipped to specify. However, if the above quote is taken in the sense of interpretation in the fuller sense (to include higher-level decision making and subtle inflections) then Krausz's statement is a well-justified one: many contrasting Interpretations are possible of a typical score from the western art music tradition. Although Bradshaw is no doubt not intending to make a high-level philosophical argument herself in her short article, it is important that different uses of the same word are recognised to avoid spreading confusion through musicological discussion. The narrow, performative-realisational sense of the term apprehended by Bradshaw therefore needs to be carefully distinguished from the broader meaning of interpretation, understood by other writers and established here.

⁵⁹ Levinson, 'Performative vs. Critical Interpretation', discussed in section 1.2 above.

⁶⁰ Interestingly, in French, the nexus of words *interpréter* / *interprète* / *interprétation* are correctly used to mean performing, a performer, and a performance, there being no other synonym. In French, therefore, one would have to find a different term to indicate the third concept which I am describing here. (My thanks to Mark Everist for contributing this observation.)

⁶¹ In fact the smaller the amount of the performer's intervention in this mechanical process, the better Bradshaw considers the result to be: she refers to 'the damage done by interpretative distortion', which is thankfully minimised by the information vested in the score (Bradshaw, Review of Krausz, p.516).

⁶² Bradshaw, Review of Krausz, p.516, referring to Krausz, 'Rightness and Reasons in Musical Interpretation', p.75.

Krausz's own use of the term is closer to mine, in that it incorporates an element of higher-level creativity⁶³. His central point is that 'works of music characteristically admit of a multiplicity of ideally admissible interpretations and that he who requires that there must be a single right interpretation of musical scores as classically construed will do violence to musical interpretative practice'. However, Krausz makes it clear that he is still including performance interpretations only in the term: he is 'speaking of interpretation in its performative sense, and not in its critical sense'⁶⁴. The awareness that there are two such possible senses leads us to another group of writers who are aware of this broader sense of the word as both including some creative element and as applicable to more than one creative activity.

Levinson's terminology, as described above, juxtaposes Critical Interpretations (approximately, criticisms and analyses⁶⁵) and Performance Interpretations (approximately, performances) as his basic dichotomy. His use of the same (inflected) name for both hints at 'interpretation' as the original element from which each is produced: 'this chapter takes as starting-point the curious fact that two activities, on the surface quite different, are called by the same name: interpreting'⁶⁶. Unusually, Levinson claims that when no qualification of the term is given, we will tend to understand the meaning of a critical interpretation - the exact opposite assumption from many writers on the topic, who refer to 'interpretation' as if it were an unproblematic synonym for performance. This suggests that the same word may equally comfortably apply to either sphere of activity, and may seem slanted one way or the other depending on the user's experience and outlook.

Cone also insists, in contrast to certain other users of the term, that Interpretation is something that critics do too. He quotes approvingly Leonard Meyer's claim that the role of the critic vis-à-vis the masterpieces of the repertory is 'to explicate and illuminate

⁶³ Krausz, 'Rightness and Reasons', p.75.

⁶⁴ Krausz, 'Rightness and Reasons in Musical Interpretation', p.77.

⁶⁵ Levinson accepts that, within his current broad scheme, criticism of music and analysis of music 'shade into one another, with no clear dividing line' (Levinson, 'Performative v. Critical Interpretation', p. 34, n.1).

⁶⁶ Levinson, 'Performative vs. Critical Interpretation', p.33.

them', adding the extra gloss 'in a word, to *interpret* them'⁶⁷. Cone re-emphasises the point: 'Interpretation: that is the obvious link between critic and performer'⁶⁸.

Rink observes that 'Cone's apt comments on interpretation apply to both analysis and performance', extending the term explicitly to cover analysts again. Rink uses the word *interpretation* for both activities: 'both performance and analysis are interpretations of a work which evolve and (ideally) improve with time'⁶⁹. His use, though, is more as a generic to cover both of them, not a third idea which is a component part of both activities (for which he tends to revert to the word 'analysis'). For this, the third group of writers must be consulted, for whom interpretation is a distinct, mediational concept.

Janet Schmalfeldt refers to the hermeneutic account (described in section 1.2 above) which mediates between her 'analyst' and her 'performer' as 'this interpretation'⁷⁰, as many writers describe their intermediate concept at some point in passing. Such instances may be casual, but reconfirm my choice of the word as a naturalistic term which is yet specific enough to cover this elusive concept.

Jonathan Dunsby's theory includes an explicit definition of interpretation which mediates between analysis and performance. His postulation of this term as a third element, related to but distinct from analysis and performance, has already been established in section 1.2 above. He defines his use of the word *interpretation* to mean 'the understanding of a score derived principally from the internal evidence of that score'⁷¹. Although it does not emphasise the multi-faceted nature of the Interpretation as developed here, which may be derived from a number of sources and not just from the score, Dunsby's gloss of this concept as an 'understanding' is useful because it shows that this stage of the process exists in the mind.

Another principal source for my use of the term Interpretation is its use in the subtitle of Joel Lester's article 'Performance and Analysis: Interaction and Interpretation'. The author remarks that 'common parlance suggests that when

⁶⁷ Cone, 'The Pianist as Critic', p.241 (emphasis added), drawing on Leonard B. Meyer, *Explaining Music* (Berkeley and Los Angeles: University of California Press, 1973), p.ix-x.

⁶⁸ Cone, 'The Pianist as Critic', p.242.

⁶⁹ Rink, Review of Berry, p.322.

⁷⁰ Schmalfeldt, 'On the Relation of Analysis to Performance', p.7.

⁷¹ Dunsby, Guest Editorial, p.7.

performances of a piece disagree with one another, or when analyses of a piece disagree with one another, they are different interpretations of the same piece', and that 'making choices among various possibilities is an important part of any sort of interpretation, both in analysis and in performance'⁷². So far this usage is little more than a generic - however, Lester suggests that 'that locution can fruitfully be extended to *differences of conception* between analyses and performances'⁷³. Such use encourages the selection of this term to indicate what conceptual activity it is that music analysis and performance hold in common.

A paragraph of Richard Evans's paper provides a definition of 'interpretation' which has stimulated the one which I have been establishing: 'Interpretation is an intentional mental object or representation, built up over a period of time, which precedes performance'⁷⁴. The text does not acknowledge that a similar mental object or representation can exist prior to analysis too; neither is this concept used to feed back into the unstable framework of analysis and performance in the earlier part of his paper. Thus Evans's definition of interpretation, although conceptual, remains limited to a pre-performance concept, and does not help the asymmetry of his theory. Nonetheless, if 'performance *or analysis*' is added to the end of his statement, it serves remarkably well as a formal definition of the Interpretation as described here. Evans continues to state that 'listeners may bring a [...] form of interpretation – which we may call expectation – to the performance setting', thus hinting that any person in contact with music is likewise entitled to an Interpretation⁷⁵. Thus this statement can be extended outside its original scope to make it more symmetrical and more broadly applicable.

These references to the term, and the concept, of interpretation are suggestive of a conceptual reality behind the practicalities of performance and analysis. However, such comments are often little more than titillating sound-bites which remain to be rounded up and synthesised into a more explicit formulation of the nature of the Interpretation. To

⁷² Lester, 'Performance and Analysis: Interaction and Interpretation', p.211.

⁷³ Lester, 'Performance and Analysis: Interaction and Interpretation', p.211 (emphasis added).

⁷⁴ Evans, 'The Role of Musical Analysis within Performance', supplementary material, p.1.

⁷⁵ His description of the listener's interpretation as 'weak' does not perhaps recognise the active, reinflated nature of the listener's Interpretation, like any other musician's (Evans, 'The Role of Musical Analysis within Performance', supplementary material, p.1).

give breadth to this formulation, it is necessary to examine other similar concepts which go by different names in the literature.

Developing the Interpretation concept through related ideas

Rink develops a central concept to negotiate between analysis and performance which, since it occupies this central position, is comparable to my own central concept of the Interpretation in certain respects. He is suspicious of the theory that a direct extrapolation is possible from analysis to performance:

That one can execute a ‘serious analysis’ of a piece, and then extract all the interpretative implications latent therein to formulate a meaningful basis for performance, is a widespread assumption in the literature [...] which I find less than convincing⁷⁶.

He claims that to do so would be rather like

translating a book into another language word-for-word, without regard to the second language’s particular idioms, inflections, grammar and syntax [...]

Capturing the meaning or ‘spirit’ of the original [...] would be virtually impossible in such an undertaking⁷⁷.

Rink’s desire to capture the ‘spirit’ of the original shows the need for a two-stage process: from analysis, to the understanding of its spirit or meaning, and thus to performance. As a suitable basis for developing a coherent performance he recommends ‘informed intuition’, a factor which ‘accrues with a broad range of experience’⁷⁸. Use of the intuition, Rink claims, is ‘a far more direct means of penetrating a work than the ‘one-to-one’ mapping advocated by certain authors’⁷⁹. He adds that ‘any intuition, *whether the analyst’s or the performer’s*, reflects a process of learning and of experiencing’⁸⁰, thus pointing out that the intuition is shared by both types of

⁷⁶ Rink, Review of Berry, p.320.

⁷⁷ Rink, Review of Berry, p.320.

⁷⁸ Rink, Review of Berry, p.324.

⁷⁹ Rink, Review of Berry, p.327. The ‘certain authors’ referred to here are exemplified for Rink by Berry, the author of the book he is reviewing.

⁸⁰ Rink, ‘Playing in Time’, p.254, n.4.

musicians⁸¹. In these aspects Rink's ideas about intuition closely resemble those being developed here about Interpretation: a core of relevant experience, blending together all the influences that have made a person's musicality what it is at that point⁸².

However, there are differences between intuition and Interpretation. The intuition concept seems, in its general concerns, to be transferable from one piece to another⁸³ and is hence focussed on the whole person rather than their understanding of a particular work. Rink's definition of intuition as an 'immediate apprehension or cognition'⁸⁴ focusses a little more on the process of perception. Likewise, his claim that 'how one *achieves* an aural image... rel[ies] at least in part on what I call informed intuition'⁸⁵ might suggest that the aural image is not the intuition itself; perhaps the latter corresponds more closely to the process of absorption than to the Interpretation itself.

Rink's interest in the concept of intuition derives from Wallace Berry. Despite making valuable contributions to its understanding, Berry has an ambivalent attitude towards this concept, as shown by comments such as 'Intuition is of course applicable to musical analysis as well as performance, although no self-respecting analyst would settle for it'⁸⁶. His repeated dismissal of the intuitive approach in performance is in order to

⁸¹ Rink does not explicitly state whether performance (like analysis) could inform intuition, so that the scheme is not fully symmetrical, though this would seem to be almost implied in his earlier account of performing Rachmaninov's Piano Concerto op. 18 (Rink, Review of Berry, p.325-326). However he does also accept that the 'informed intuition' 'reflects a broad range of experience' (Rink, 'Playing in Time', p.254, n.4), and hence could possibly be inflected by almost any idea.

⁸² The intuition can be made to seem a more, or less, naïve construct. Rink claims, of his own recent preparation of a piano recital, that 'the approach taken here afforded an intimate knowledge of the score comparatively free from theoretical bias' (Rink, 'Playing in Time, p.255), yet, of course, any approach he (as a professional music analyst) could take would be to some extent informed by past experiences of theoretical ideas. He recognises this in his discussion, arguing that any intuition can derive from past thought and experiences, and suggesting that 'analysis can be valuable [in] helping to fill those gaps where intuitions fail or prove inadequate' (Rink, 'Playing in Time', p.254-5, n.4). In fact his ideal intuition concept is strongly informed by analytical knowledge; although he is not a prescriptive writer like Berry, his approach to analysis in performance could be said to be strongly recommendatory.

⁸³ Rink, Review of Berry, p.324.

⁸⁴ Rink, 'Playing in Time', p.254, n.4.

⁸⁵ Rink, Review of Berry, p.324, emphasis added.

⁸⁶ Berry, Musical Structure and Performance, p.ix.

substitute his preferred analytical approach⁸⁷. But in other passages Berry writes warmly of the intuition in a manner which is more consistent with Rink's or even my own approach to the matter, for example: 'It is likely that performers more often than not act intuitively. And their intuitions, however hard to fathom, are assuredly not *ex nihilo* [sic], but rather a product of deep experience, ultimately toward a motivating, evaluating consciousness'⁸⁸. Rink also points to a passage where Berry imagines 'initially divergent constructs' being 'finally absorbed [...] to a level of guiding, postcognitive, seemingly intuitive impulse'⁸⁹. This comment is not only sympathetic to intuitive behaviour but also distinguishes a feature which is basic to my formulation of the Interpretation, namely of varied stimuli being fully-digested before contributing towards a central guiding awareness⁹⁰.

Figurative language, particularly that based on sensory analogies, in music literature can often be a hint at the presence of an Interpretation-like concept. In the field of Neuro-linguistic programming, it is widely accepted that there are three modes of learning: visual (V), auditory (A), and kinaesthetic or bodily-based (K)⁹¹. Furthermore, it has been noted that the dominant modes of learning amongst musicians are the visual and kinaesthetic⁹², despite the fact that music is an aural phenomenon for the listener⁹³. The

⁸⁷ Berry, *Musical Structure and Performance*, p.1-2.

⁸⁸ Berry, *Musical Structure and Performance*, p.ix. One senses that in subsequent dismissals, Berry's primary gripe with the intuition is indeed that it is 'hard to fathom' and hence to write about, and that this is the reason that he abandons the concept.

⁸⁹ Berry, *Musical Structure and Performance*, p.217, quoted in Rink, *Review of Berry*, p.333.

⁹⁰ Rink's development of the idea of the intuition does not get identified with any of the other telling discourses in the review. For example, his consideration of 'performer's analysis' (*Review of Berry*, p.323 - see section 1.2), interpretation itself (*Review of Berry*, p.323, discussed earlier in this section), 'informed intuition' (discussed here), and 'shape' (*Review of Berry*, p.323, discussed below) each have something to offer the concept of Interpretation as developed in this section. By drawing these concepts together, I am not identifying an inconsistency in Rink's theory, so much as combining the attractive features of all these concepts to form one powerful idea.

⁹¹ See Vaughan, *Music Analysis and Performance*, p.47-55. One of the first sources to apply this system to education was Michael Grinder, *Righting the Educational Conveyor Belt* (Portland, Oregon: Metamorphous Press, 1991).

⁹² Research by Victoria Vaughan found that 42% of students and staff in a university music department were V+K dominant, followed by 28% who were K, 10% who were V, and 10% V+A+K. The categories including aural dominance, namely A, V+A, and A+K, accounted for only 10% of the sample altogether.

life of visual patterns, geometric shapes, and so on, tends to be only in the musician's mind if they are evident at all, since they are not strictly speaking a part of the score, or the output of any type of musical discipline, or any other tangible part of musical behaviour. Such visual images are rarely explicitly expressed directly, although they may serve as a motivating image during musical activity. Likewise, kinaesthetic or bodily experiences are personal responses which it hardly seems worth mentioning in normal circumstances, yet they can strongly represent our impression of the music and its emotive or dramatic content. This confirms their nature as predominantly internal formulations of the music, and hence qualifies them for the category of Interpretation concept.

Shove and Repp have collected examples of a motion metaphor being used to describe music – although they question whether it is really only a metaphor and not a genuine perceptual experience of movement on the part of the collected writers⁹⁴. They agree with John Baily, who writes that 'music may be as much a motor event as a sonic event, as well as, of course a social fact'⁹⁵, a perspective that reveals all three authors' kinaesthetic perspective. Shove and Repp also present an account of earlier German writers who developed a system of complex curves in space to typify different composers' styles, notably Gustav Becking, who proposed a pointed curve for Mozart, a rounded curve for Beethoven, and a semicircular curve for Bach⁹⁶. The fact that these perspectives may catch our imagination, or leave us merely puzzled, points to the personal nature of the Interpretation which may not be shared by other people. The

(See Example 2.12's pie-chart and accompanying discussion in Vaughan, *Music Analysis and Performance*, p.59-60.)

⁹³ This may be because the performer is engaged with reading music (V) and producing it through physical motions (K), and perhaps hence is more concerned with the latter two faculties. The reading/writing musician, too, uses visual and kinaesthetic approaches strongly, though the latter perhaps less so than the performing musician.

⁹⁴ Shove and Repp, 'Musical Motion and Performance', p.55.

⁹⁵ Shove and Repp, 'Musical Motion and Performance', p.59, quoting John Baily, 'Music Structure and Human Movement', in *Musical Structure and Cognition*, ed. P. Howell, I. Cross, and R. West (London: Academic Press, 1985), p. 237-258: p.258.

⁹⁶ Shove and Repp, 'Musical Motion and Performance', p.67-71, describing Gustav Becking, 'Über ein dänisches Schul-Liederbuch, über Mitbewegungen und Gehaltsanalyse', in *Gustav Becking zum Gedächtnis: Eine Auswahl seiner Schriften und Beiträge seiner Schüler*, ed. W. Kramolisch (Tutzing: Hans Schneider, 1975), first publ. 1923-24.

authors also recount the observation of Stephen Handel that a listener may perceive qualities such as ‘warmth’, ‘roughness’, or ‘hollowness’ in music⁹⁷. These, too, could be broadly classified as kinaesthetic experiences, for whilst they are not based on motion they represent a correlation with the sense of touch in order to describe the experience of a piece of music.

Berry’s writing in *Musical Structure and Performance* sometimes edges towards a central abstract concept which is kinaesthetic in nature. He describes aspects of ‘sense’ and ‘shape’ in what motivates a performer: ‘the sensitive, imaginative, inquiring performer reflects on the derived *sense* of a piece’, and ‘the awareness of [certain] elements of process can confirm the performer’s sense of *encompassing shape*’⁹⁸. The idea that we ‘sense’ the way a piece should go, or feel its ‘shape’, reveals a touch-based, kinaesthetic approach to the Interpretation. Berry’s main discussion of the topic states that:

it is fundamental to my sense of structure that there is often manifest in the musical structure an *underlying dynamic* course of events, to and from points - even at times one central, focal point - of primary expressive orientation. Such a ‘background’, the content and course of which may constitute a *kinetic, all-embracing gesture*, is decidedly amenable to explicit awareness and projection in performance⁹⁹.

Berry’s key words, quoted in italics, confirm that he is a kinaesthetic thinker. Here and elsewhere he uses the term ‘dynamic’, invoking motion through space, and repeatedly refers to ‘gesture’, a physical action. The latter is qualified by the description ‘kinetic’, in case there should be any doubt about the basis of the idea. It is clear that Berry’s concept of musical shape is not identical with an analytical construction¹⁰⁰, since it is so abstract

⁹⁷ Shove and Repp, ‘Musical Motion and Performance’, p.59, referring to Stephen Handel, *Listening: An Introduction to the Perception of Auditory Events* (Cambridge, Massachusetts: MIT Press, 1989), p.181.

⁹⁸ Berry, *Musical Structure and Performance*, p.223 and p.126, quoted in Rink, Review of Berry, p.332, emphasis added here.

⁹⁹ Berry, *Musical Structure and Performance*, p.5 (emphasis added).

¹⁰⁰ Berry’s use of the word ‘background’ in the excerpt above is advisedly in inverted commas, since his explanation of the concept here is careful to emphasize that it is ‘opposed to the common and essentially referential structure of farthest-spanning pitch events’ which would normally be indicated by this word (Berry, *Musical Structure and Performance*, p.5).

and generalised in nature. This way of discussing an Interpretation-like concept demonstrates that kinaesthetic thinking can well constitute a part of it.

The initial sense of *shape* in Berry's text is taken up and paraphrased by Rink in his review. Rink says of the idea:

Whereas analysts concentrate on musical structure, performers attend primarily to musical 'shape', which is analogous to structure but tends to be more dynamic through its sensitivity to momentum, climax, and ebb and flow, comprising an *outline*, a general *plan*, a set of gestures unfolding in time¹⁰¹.

Rink glosses the shape as an 'outline' or 'plan', neither of which were included in Berry's original formulation. These concepts are notably more static and visual than the ones Berry began with, and in searching for the concepts with which to express this idea Rink gives away his own modality as a primarily visual thinker. Although he refers to the 'shape' as being *dynamic*, his meaning seems to be more 'happening through time' than involving motion. The resulting shared description is an interesting amalgam of the two writers' modalities, but more importantly shows the typically visual quality of another type of Interpretation concept.

Janet Schmalfeldt's discussion of performance and analysis leads to a partially-developed Interpretation concept: she proposes that 'the performer and the analyst both labor toward a comprehensive understanding of the musical work'¹⁰², showing the shared nature of this concept. That this concept can have a guiding function is shown by her comment that 'a fine performance of a work expresses a unique understanding of its essence'¹⁰³. Furthermore, her claim that 'to have an analytic view of a work is to have a basis for the preparation of a performance'¹⁰⁴ distinguishes a three-stage process: note that she does not say that the analytic view is the basis for a performance itself, but for the *preparation* of that performance.

Such comments reach their fulfillment in Schmalfeldt's idea of 'dramatic action'. One important difference between the analyst and the performer, she contends, is that whilst the analyst can take any view of a piece, including a synoptic view, the performer is pulled through it in real time and hence their principal comprehension of the piece

¹⁰¹ Rink, Review of Berry, p.323 (emphasis added).

¹⁰² Schmalfeldt, 'On the Relation of Analysis to Performance', p.28.

¹⁰³ Schmalfeldt, 'On the Relation of Analysis to Performance', p.1.

¹⁰⁴ Schmalfeldt, 'On the Relation of Analysis to Performance', p.18.

must be a temporal one. Her narrative perspective therefore attempts to ‘capture the active, diachronic experience of the performer’¹⁰⁵ by using a metaphor of the rivalry and confrontation of ideas. This is the reason for her expressing the significant issues in ‘dramatic, as well as musical terms’¹⁰⁶, an opposition which corresponds loosely to Interpretative and Analytical modes respectively.

Her presentation of a dramatic Interpretation can be spotted by its use of hermeneutic language. An example is her account of the beginning of the transition in the Second Bagatelle. The general description here derives from (and indeed follows on from) a more technical description of the motivic workings of the passage, but is distinguished from it by its language:

I suggest that here we have a courageous effort to maintain a position of strength. But the effort fails. For now, as if undaunted, the quiet eighth-note contrasting legato idea simply ‘reaches over’ and completes an expansive ten-measure phrase; thus the contrasting idea gives the strong impression of having gained the upper hand¹⁰⁷.

Schmalfeldt has re-digested her Analysis (the motivic workings) into an Interpretation (the story of quietness gaining the upper hand) which is available to performers too, and relevant to their activity¹⁰⁸. On at least one occasion she specifies a full path from Analysis through Interpretation to Performance¹⁰⁹: the motivic interaction of the piece (A), reinterpreted as an equal rivalry of protagonists (I), leads to a recommendation that, in order to truly compete with the first phrase, the second phrase should maintain a steady tempo (P).

Schmalfeldt’s development of a diachronic metaphor of ‘dramatic action’ provides a clear example of an Interpretation concept and shows how such metaphors

¹⁰⁵ Schmalfeldt, ‘On the Relation of Analysis to Performance’, p.18.

¹⁰⁶ Schmalfeldt, ‘On the Relation of Analysis to Performance’, p.6.

¹⁰⁷ Schmalfeldt, ‘On the Relation of Analysis to Performance’, p.7.

¹⁰⁸ Schmalfeldt retains Analytic language for the nouns of this description (‘eighth-note...legato’, ‘ten-measure phrase’), and the contrast between these and the Interpretative language used for the action and moods is notable. If these place-marking nouns were filled by score notation, actual sound or some other way to identify the protagonists (as it might be either in a piano lesson, or in the mind), this description would become more consistently an expression of motion and mood which fits with the concept of the Interpretation.

¹⁰⁹ Schmalfeldt, ‘On the Relation of Analysis to Performance’, p.18.

may translate into both Analytical and Performance terms. Her choice of metaphor is useful because it shows how nebulous the Interpretation can be in terms of a felt experience, whilst still being strongly motivating. The use of hermeneutic language, which is such a feature of her scheme, suggests that this is something to watch out for in the writings of other scholars, who may be developing a quasi-Interpretation concept at that point.

Joel Lester, unusually, produces two formulations of a motivating concept within the same discussion - although he only explicitly considers the possible effects of these ideas on performance. He variously refers to the first of these two ideas as the *image*, or the vision. Given Berry's tendency to begin with analytical details and allow them to 'build a vision of the character of a piece', Lester suggests that, rather, the 'image should precede and motivate understanding the details'¹¹⁰. He relates a tale of a cellist who suggested to him that the quintet movement they were rehearsing was 'a perfect depiction of the Flying Dutchman'¹¹¹. The musician was invoking the mood of the plot with its lonely hero, and Lester found that various aspects of the music's material and structure began to gel around the image, allowing a productive and coherent rehearsal to take place. Lester argues that such imagery may more thoroughly affect the individuality of a performance than the manner of performance of small details, and suggests that this may be true of a performer 'whether he frames that imagery in sonic, verbal or pictorial terms'¹¹². Equally, it does not matter whether or not the performer could describe the imagery, or is explicitly conscious of it.

In contrast to this descriptive Interpretation, Lester proposes a second Interpretation which is more feeling-based and also depends more closely on theoretical concerns: a musical *quality*. This is a sensitive proposition which relies on careful tailoring of analysis teaching; one can learn to feel, for instance, 'that a phrase or phrase-segment moving to or prolonging the dominant has *a different quality* than one on the tonic, on the supertonic, or on another harmony'¹¹³. However, there are an infinite number of ways that a performer might choose to realise each quality, since the final

¹¹⁰ Lester, Review of Berry, p.78.

¹¹¹ Lester, Review of Berry, p.79.

¹¹² Lester, Review of Berry, p.79.

¹¹³ Lester, Review of Berry, p.79 (emphasis added).

performance result depends on the ‘image’ (or ‘vision’) that the performer has chosen to express.

Lester’s account of cause-and-effect between these areas is a little intricate, but it could be summarised as Example 1-7a, where the first aspect of the Interpretation has been labelled *I-image* and the second aspect *I-quality*. Both of these feed into the performance, as I have theorised in my own model. But it is more difficult to see how the process would work in a different direction: although Lester is decidedly symmetrical in his belief that analysts should respond to specific performances and not just to ‘the score’, he does not explain how these Interpretation types could be deduced from *listening* to a performance and *directed into* an analysis. A further example of a complete route is shown in the second diagram, Example 1-7b. Lester attributes the realisation process between I-quality and P to the kind of I-image that the performer is trying to express, using the latter as a context or background. I would prefer to emphasise that the final stage of moving from an I (of any sort) to a performance is the process of performance-specific realisation: a climax, even a shattering climax, will have a different result when it is expressed by a piano, by a harp, or by a wind quintet. Notwithstanding this, Lester’s argument here is a rare combination of performer-sensitive musicality with theoretical clarity, and makes a considerable contribution to this account of the Interpretation category.

Each of the concepts described above (the intuition, sensory aspects, dramatic metaphors, and the image and the quality) bears a family resemblance to the others. Not all share the same features, but there are a number of recognisable characteristics which reappear, for instance, the use of hermeneutic language is common to several; visual images are a feature of more than one; a sense of felt motion is expressed at several points; and the implication of an underlying ‘storyline’, though without the simplistic sense of a linear narrative, occurs repeatedly. It is the repeated endeavour to express the general quality of this Interpretation concept that persuades me to gather all the formulations together that they may reinforce one another. In this way the concept becomes a vivid one with many aspects, which may evoke recognition in more people.

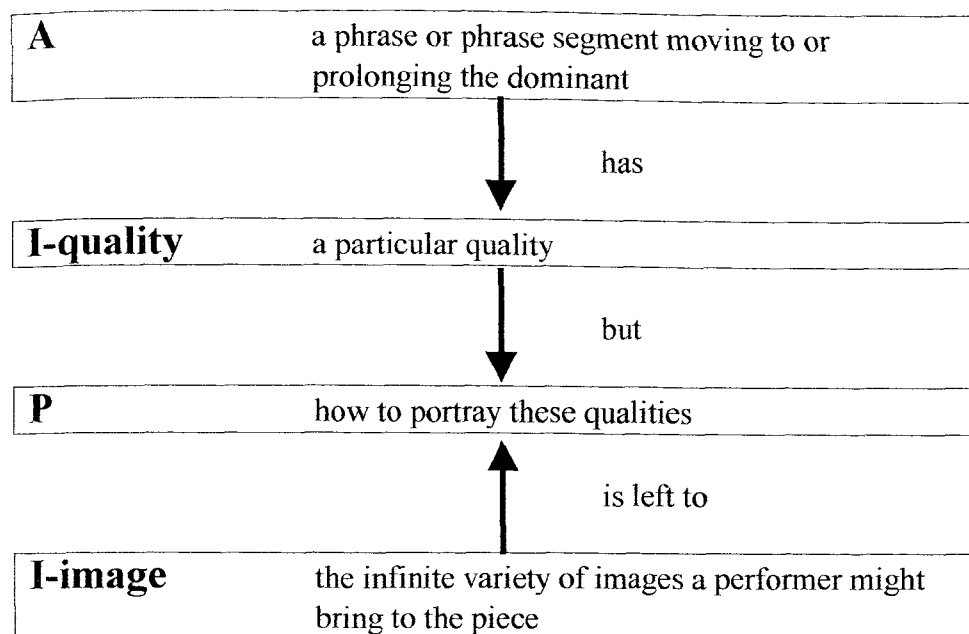
Dubious formulations of the Interpretation concept

Strange theories may emerge from a cursory consideration of the nature of a pre-performance (or pre-analytical) mental representation of a piece of music, and some of

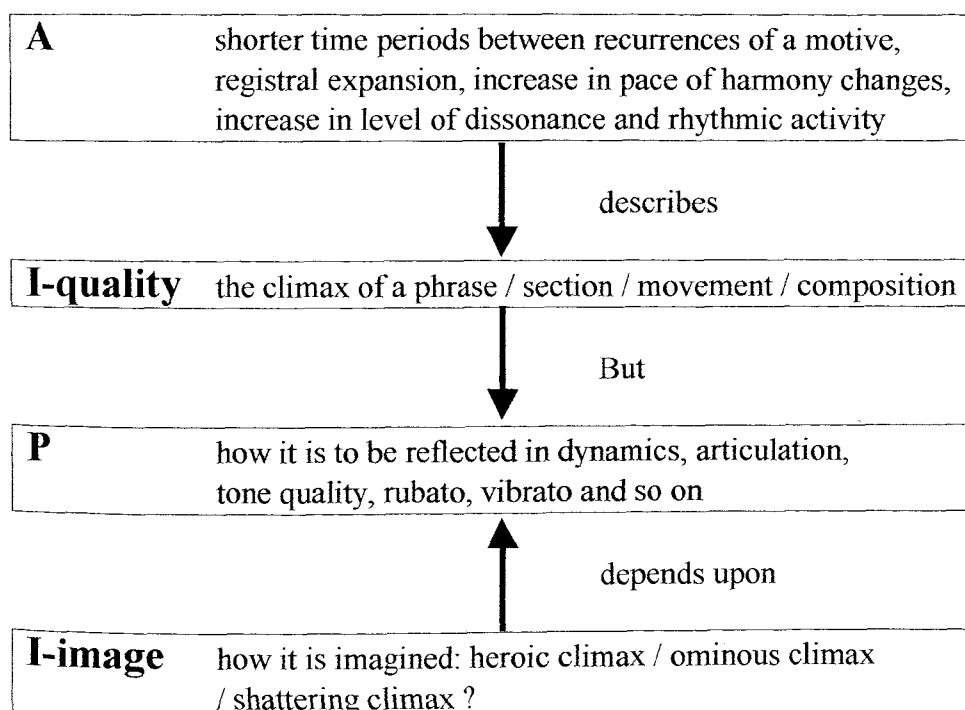
Example 1-7: Flowcharts for Lester's 'image' and 'quality'

(based on Lester's prose: Review of Berry, p.79-80)

(a)



(b)



these are less helpful in formulating an understanding of the Interpretation. Another issue which arises from Bradshaw's review of Krausz's book is that of the verbal/non-verbal status of the Interpretation concept. She claims that both practical musicians and music commentators use words as a primary element of their understanding of music, since 'even those who practise alone are thinking in words, even if not speaking them aloud'¹¹⁴. This is an assertion that may well be true of some individuals for some of the time, but it is rash to claim that musicians are necessarily thinking in verbal terms. The performing musician's basic materials consist of note patterns on a page (visual), organised sequences of muscle movements (kinaesthetic), and sound vibrations in the air (aural); verbal instructions are peripheral to this system, even those which are inscribed in the score. Bradshaw is committing the elisionary mistake described in section 1.2 by assuming that a mode of thought which is typical of the critic should be basic to the performer as well.

Being a philosopher, Levinson - like Bradshaw - prioritises the verbal and disparages the non-verbal in his discussion; however, in contrast, he claims that the performer's conceptualisation typically does *not* include verbalisations, and is therefore relatively limited. Levinson remarks, in opposition to Peter Kivy, that "nonverbal description" [as a definition of performance] strikes me as a contradiction in terms'¹¹⁵, and his unwillingness to accept Kivy's somewhat metaphorical comment points to his far-reaching scepticism about the content of musical performance. He claims that 'a PI without a CI is relatively mute with regard to the structure or meaning of a musical work'¹¹⁶. Although 'meaning' is generally assumed to have a verbal content, I would argue that 'structure', conversely, does not depend on words. Since the nature of structure is as a non-verbal, quasi-spatial quality, I would claim that it is one of the few aspects that performance can indeed express with some clarity. The structure of a building inheres in the building itself, not in its verbal description'¹¹⁷, and the same is true of music, where structure indicates the manner in which a complex entity is configured

¹¹⁴ Bradshaw, Review of Krausz, p.516.

¹¹⁵ Levinson, 'Performative vs. Critical Interpretation', p.48, n. 25. He is criticising a passage from Kivy's *Music Alone* (Ithaca, New York: Cornell University Press, 1991), p.120-3.

¹¹⁶ Levinson, 'Performative vs. Critical Interpretation', p.38-39.

¹¹⁷ although this is not to diminish the role that language may have played in the development of human intellect in general, and the transmission of knowledge about architecture (and music) in particular.

from its constituent elements - that is, if the spatial/temporal analogy is assumed¹¹⁸. It is because Levinson conceives of structure (and of meaning too¹¹⁹) in an inherently verbal manner that he assumes that performance can have no comment upon it.

Levinson's lack of appreciation for non-verbal qualities slips into terminology which is pejorative to performers. A CI is 'necessarily expressed in articulate terms'¹²⁰, whereas even if the performer has a clear PI worked out, he or she can still be without 'any such grasp in an articulate form'¹²¹. This suggests the following equation, with the word supplied in square brackets the natural opposite of 'articulate':

CI	=	verbal	=	articulate
PI	=	non-verbal	=	[inarticulate]

The meaning of 'inarticulate' as 'unable to express something with clarity or eloquence' would be unfair when applied to performers, as they have their own way of expressing their Interpretation. This way is simply not a verbal one, and so Levinson's quote above would better indicate that performers may be 'without any such grasp in a *verbal* form'. Levinson also doubts that performers have any ideas about the piece they are playing, for similar reasons: 'We thus have reason to refrain [...] from saying that PIs invariably express performers' CIs: in many cases, there's simply no CI there to express'¹²². Although Levinson has earlier suggested some issues with which performers might be

¹¹⁸ The basis of the 'visual analogy' is discussed in section 3.1.

¹¹⁹ If *meaning* is assumed to be a verbal description outside the work, then it is obvious that music cannot express it, as the fact that music cannot express anything verbal is a truism. However, an evoked atmosphere or similar experience can often 'mean' more to the listener than a simple verbal account, and once more this is the province of Interpretation and not restricted to the verbal domain.

¹²⁰ Levinson, 'Performative vs. Critical Interpretation', p.38.

¹²¹ Levinson, 'Performative vs. Critical Interpretation', p.48.

¹²² Levinson, 'Performative vs. Critical Interpretation', p.41.

concerned¹²³, the implication in this comment of the performer's head entirely empty and devoid of thought is a startling one.

Because he assumes that anything which is clearly conceived must be stored and communicated in verbal terms, Levinson cannot understand that there can be any link between analytical insights and performance. He claims that 'a PI, as normally understood, does not include [...] analytical insights'¹²⁴ but in the same sentence he equates these analytical insights with 'discursive thoughts'. The type of analyses (or CIs) that he chooses as examples has been criticised heavily by reviewers, but not primarily because they are exclusively verbal; however this factor does cause untold problems. It is quite true that PIs do not include verbal commentaries, but many genuine 'analytical insights' are themselves non-verbal and hence are inherently more suitable for inflecting performance, since they deal with aspects such as structure, flow, emphasis and pattern. Levinson's blind spot about the non-verbal leads him to distort the nature of analyses, and hence further deprecate the capacities of the performer.

A consideration of the neuro-biological nature of thought may serve as a corrective here. It is accepted as a useful simplification by psychologists that the left hemisphere of the brain is specialised for speech activity (and other sequential behaviour), whilst the right hemisphere is specialised for a wide range of nonlinguistic functions (especially holistic and affective aspects)¹²⁵. Whilst verbal thought is thus concentrated in the left hemisphere, trained musicians experienced activity in both halves of the brain whilst listening to music. Untrained listeners experienced far more activity in the right, non-verbal half of the brain¹²⁶. The fact that the non-verbal hemisphere is strongly active during the experience of music shows that the affective and holistic

¹²³ The list of questions, which exemplify what Levinson considers the performer's interests will be, culminate in the issues of whether repeats should always be taken, which musical elements should be emphasised, and how rhythm/tempo/dynamics etc should be realised. For Levinson, the performer's intellectual activity 'effectively exhausts itself' in considerations such as these three (Levinson, 'Performative vs. Critical Interpretation', p.35).

¹²⁴ Levinson, 'Performative vs. Critical Interpretation', p.41.

¹²⁵ See, for example, Bever and Chiarello, 'Cerebral Dominance in Musicians and Nonmusicians'.

¹²⁶ H. Petsche, K. Lindner, P. Rappelsberger, and G. Gruber, 'Die Bedeutung des EEG für die Musikpsychologie', in H. Petsche, ed., *Musik-Gehirn-Spiel* (Basel: Birkhäuser Verlag, 1989), p.111-34; this and other related studies are summarised in Epstein, 'A Curious Moment', p.128. The issue of cerebral bipolarity is also mentioned by Storr, *Music and the Mind*, p.35-39, who proposes the transfer of musical functions to the left half of the brain somewhat speculatively on p.37-38.

qualities of music are at least an equal part of music's conceptualisation, and can be experienced in the brain without recourse to language.

Epstein, in describing the role of the brain in experiencing music, suggests that for these reasons 'we would be wise to avoid describing, much less 'translating', affective qualities into language, certainly to the extensive degree that preoccupied nineteenth-century philosophers and aestheticians'¹²⁷. He remarks that 'the major problem in dealing with affect is not its ostensible imprecision as phenomenon, but its incompatibility with language'¹²⁸. Therefore we should not assume that all thoughts, or mental experiences, fall naturally into a linguistic form.

The fact that language is so predominant as a means of communication between people is perhaps what leads to logical errors such as Bradshaw's and Levinson's assumption. They assume that a thought which was (necessarily) communicated via language exists in the individual brain in that form. This is clearly untrue if we examine a non-musical activity. For instance, driving a car is taught primarily verbally, in instructions such as 'pull out the choke', 'look in your mirror before pulling away', and 'release the clutch pedal slowly'. Indeed, when beginning to drive, the learner may silently repeat these instructions to her- or himself, in order to remember them. But the experienced driver is not thinking in verbal terms: the experience of driving has become a flow of perceptions and responses which no longer fall into discrete verbal sections. Gary Larson's 'Basic Lives' (Example 1-8), further critiques the notion that bodily and conceptual knowledge must necessarily be stored and executed in the form of verbal instructions¹²⁹.

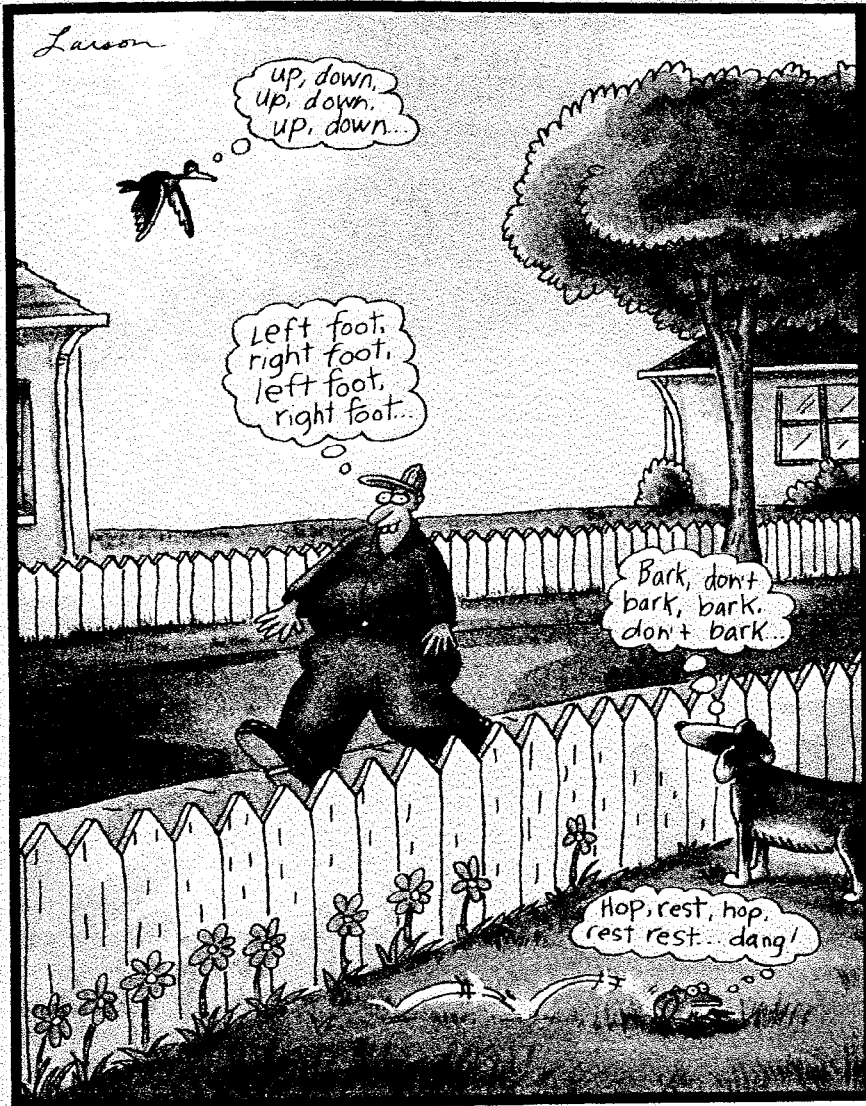
Verbal and non-verbal elements each have a place within the Interpretation concept. Even where verbal elements exist, they are likely to be evocative fragments, rather than the consistent 'thinking in words' specified by Bradshaw or the fully-formed narrative illustrated by Levinson. It may be speculated that, due to the nature of music, the non-verbal is the dominant mode of experience, and writers who assume that the

¹²⁷ Epstein, 'A Curious Moment', p.130.

¹²⁸ Epstein, 'A Curious Moment', p.130. It is as Mendelssohn commented: 'The thoughts expressed to me by music that I love are not too indefinite to be put into words, but on the contrary, too definite' (letter to Marc-André Souhay (1842), quoted in Walker, *An Anatomy of Musical Criticism*, p.4).

¹²⁹ This cartoon, part of the series *The Far Side*, appeared as a blank greeting card (Swindon: Ink Group Publishers, 1992).

Example 1-8: Gary Larson's 'Basic Lives'



Basic lives

Interpretation is inherently verbal have inadvertently assumed the mantle of Epstein's 'nineteenth-century philosophers and aestheticians' in becoming extensively preoccupied with language. Mapping the internal representation of a piece of music onto a narrative account of that piece is both banal and elisionary in transplanting the critic's primary mode of thought into centre stage in the musician's mind.

Another dubious assumption about the nature of an Interpretation-like concept is that music is stored in a linear fashion in the mind, in a series of sounds placed in the correct order on something like a mental audio cassette. The scheme of Performative Interpretation and Critical Interpretation outlined by Levinson has an ambiguity between these two elements, as discussed in section 1.2 above, but also suffers from an internal ambiguity within each of these two areas. Due to the lack of any third, abstract aspect to the scheme, he cannot decide whether his PI and CI are pre-realisation concepts, or post-realisation documents, and his definitions slide about freely without being acknowledged as such. His PI in particular could be one of three things: a performance text (P); an interpretative intention (I); or a sort of inaudible soundtrack that is somewhere between the two.

The first sense of the PI, as a performance text (that is, the result of performative realisation, a sound trace that can be recorded or heard by a listener) is the one emphasised by Levinson's commentators, Ross and Judkins. They claim that, in the case of a piece of music which uses a conductor, 'PIs are sound structures produced by conducting'¹³⁰. Thus PIs correspond to the P(erformance) in my three-way scheme. Levinson gives this idea when he insists that 'a CI is a conceptual and standardly propositional affair, whereas a PI is neither, but rather a sensuous realization of a work'¹³¹. This definition of the PI as 'sensuous' (pertaining to or available to the senses) is backed up when Levinson wonders whether a PI can express the performer's view or conception of the piece:

¹³⁰ Ross and Judkins, 'Conducting and Musical Interpretation', p.47.

¹³¹ Levinson, 'Performance vs. Critical Interpretation', p.38. Levinson is here moving towards an 'elisionary' position in the relation between CI and PI, by initially defining them as parallel, interpretational, activities, and then moving CI up to become the conceptual predecessor to the PI's practical realisation.

in the sense that such a view can be transparently discerned in or read off the PI itself [...] by a musically astute listener¹³².

If the PI is accessible to any kind of listener (whatever qualities they might be able to 'read off' it) it must be a sound trace.

Levinson's second formulation of the PI as an intention is in contrast to these definitions, since according to this definition the PI is accessible only to the mind, and not to the senses. This sense of the PI aims to represent the intention of the performer, and hence does not include the details of performance. For example, 'we discount the horn burbles [imperfections of tone] in the first and second movements in Horenstein's Stockholm Philharmonic performance of Mahler's Sixth Symphony in registering what his reading of the music is'¹³³. He further insists that the PI 'is not to be mechanically read off from a given performance as heard'¹³⁴; that is, some process of translation must take place from the performance (P) in order to infer what the PI is. Levinson's theory of the PI in this second sense is similar to the idea of the 'production' in the preceding chapter by Goran Hermerén, who draws on the aesthetics of theatrical performance to suggest that each production of a play (and, hence, each Interpretation of, for example, a symphony) may have several performance realisations - perhaps on subsequent nights¹³⁵. Levinson himself similarly suggests that 'a PI [...], like the work itself, may have numerous instantiations, as when a performer repeats on distinct occasions a PI he has worked out at an earlier time'¹³⁶. Thus the 'PI' is once again distinguished from a

¹³² Levinson, 'Performance vs. Critical Interpretation', p.37-38.

¹³³ Levinson, 'Performance vs. Critical Interpretation', p.36.

¹³⁴ Levinson, 'Performance vs. Critical Interpretation', p.36.

¹³⁵ Hermerén, 'The Full-Voic'd Quire', p.23.

¹³⁶ Levinson, 'Performative vs. Critical Interpretation', p.36. There are problems with such a static, uninflected view of the interpretation or Performance Interpretation., as pointed out by Ross and Judkins, 'Conducting and Musical Interpretation'. They present three 'puzzle' cases for Levinson's scheme, which, incidentally, are all resolved using my scheme: firstly, a so-called 'partial' interpretation with several aspects unspecified is not only possible but inevitable, since no-one will have considered all conceivable aspects of a piece; secondly, if a conductor leads successive performances of a piece on different nights or with different orchestras, the Interpretation may either stay constant or may be subjected to any amount of reinflection; thirdly, if a conductor makes physical mistakes in conducting, that is part of her realisation process, whereas a different emotional state could well affect her Interpretation of the piece and hence the performance. The Interpretation theory is hence easily adaptable to a conductor's scenario, whereas Ross and Judkins argue that Levinson's PI/CI scheme is not.

P(erformance), and is more of an abstract plan prior to performance, comparable to my understanding of the Interpretation.

The third contradictory conception of the PI mixed into Levinson's account is neither a realised Performance (as in the first definition) nor an abstract Interpretation (as in the second definition): it appears to be somewhere between the two, as far as one can discern from its brief appearances. How can the PI can be both something conceptual that 'naturally *eventuates* in a specific performance', and something musically detailed enough to entail 'particular values of all the constitutive musical properties of the work, which obviously cannot coexist with other such choices'¹³⁷? The only way to resolve such comments is to imagine the PI as like an imaginary soundtrack - a silent performance running in the mind of the conductor or performer, something they aim to make their performance resemble.

Conductors and performers talk in many ways about music: they perhaps talk of 'shaping' a piece, or of 'expressing' a certain vision of the music. I have yet to hear or read of a performer who spoke of merely making the performance audible through his or her realisation - yet if Levinson's formulation of the 'intangible soundtrack' was true-to-life, this would be the dominant mode of discussion. In reality, a conductor (for example) can bring his or her Interpretation of a certain piece to a variety of professional orchestras and/or amateur or student orchestras, and feel the the same vision (or Interpretation) of the piece is being expressed in each case, despite the fact that many aspect of the orchestra's mode of realisation may have been strikingly different in each case.

This is not to say that fragments of music, as aurally imagined or recalled, cannot form part of the Interpretation. But I suspect that the memory is extremely weak in storing fragments of heard music in a literal way. Performances tend to make a impression upon us in several ways, and we remember the energy level of a performance, the shock of a sudden *sforzando*, or the excellent blending of a woodwind section, rather than that it went in a particular way from note-to-note and bar-to-bar¹³⁸. Dreams, too, are

¹³⁷ Levinson, 'Performance vs. Critical Interpretation', p.39.

¹³⁸ This may be due to a tendency to form general character impressions. For example, I remember hearing Andor Foldes' recording of Bartók's Romanian Folk Dances (Deutsche Grammophon 423 958-2, rec.1955) many times before I came to play them. His rendering of the second dance made a particular impression on me, and whilst learning the pieces for a concert, I was convinced that my performance of this piece resembled his, with a slight *rubato* at the end of each phrase. Of course on listening to his recording again after my concert, I was surprised to find that our performances differed in striking ways. The impression of his phrasing had been stored in my Interpretation, but not the timed sequence of sounds itself.

said to contain the experience of music, rather than realistic sound in most cases - suggesting that the latter type of imagination is less natural to us, and takes a conscious effort to produce. It is certainly possible to run through a piece of music in our head (as an exercise, I used to do so with the Passacaglia that is the finale of Brahms' Fourth Symphony), but such deliberate internal performance should not be confused with the way we naturally imagine music.

1.4 Realisation

At its starkest, the argument over whether analytical findings have any impact on performance is between two polarised schools of thought. The first group claim, and recommend, that analytical findings have a direct effect on performance. The second group doubt that analytical findings can, or should, have any effect on performance¹³⁹. Although they have been aired extensively, these are actually extreme positions, between which lies a more moderate possibility. This less-publicised third position states that analytical findings can have an *indirect* effect on performance, on the grounds that their effects are usually not so much localised as general, and may affect numerous parameters of performance.

The direct approach, and the reaction against the connection

The question of whether analysis tells performers which part of a composition to 'bring out' has become an old chestnut in the performance/analysis literature. Janet Schmalfeldt makes some performance recommendations of a type which later writers have shied away from. She recommends 'finger pedalling', in bars 54-57, an extracted turn motive, actually the intersection of the foreground with the pattern of voice-leading¹⁴⁰. Whilst the analysis may or may not be convincing, I question whether such performance behaviour - holding down one of each group of semiquavers including, in

¹³⁹ Rink has identified these two schools of thought, but finds a different 'middle ground' between them: Rink, 'Playing in Time', p.254.

¹⁴⁰ Rink, Review of Berry, p.321. The discussion and graph of the analysis is in Schmalfeldt, 'On the Relation of Analysis to Performance', p.14-15 (including example 5); the performance realisation of this analysis is described on p.18.

the second group, a note in the middle of the flow - would be even possible (let alone desirable) at such an Allegro speed in 2/4 time¹⁴¹.

All later discussion on such topics have assumed that such micromanagement is the *reductio ad absurdum* of analysis influencing performance. John Rink censures Schmalfeldt who, although she admits that 'to project a concealed idea defeats the purpose of concealment'¹⁴², still attempts a simple 'one-to-one mapping' between analytical observation and pianistic realisation¹⁴³. He also criticises Berry who extracts a middle-ground fifth descent in the left hand of Mozart's Sonata in G major, K.283, and suggests that the player should intervene to clarify it¹⁴⁴. In Rink's own view, 'the effect in performance would almost inevitably be clumsy'¹⁴⁵. These comments suggest that certain kinds of analysis are useless for expressing in performance, though Rink does not emphasise this principle in general¹⁴⁶.

A clearer representative of this second school of thought might be found in Jonathan Dunsby. In his investigation of Stravinsky's 'Lento', Dunsby asserts that the reason for an accent line over an A in bar 5 is to remind us that this is the note that the left hand will finish on. He insists that the performer needs to know this type of information:

There can be no doubt that this sort of examination is [...] not only self-gratifying, and not only does it have the obvious purpose of bringing the music to life, but it is necessary for that animation¹⁴⁷.

¹⁴¹ Certainly one wishes to have been at Schmalfeldt's original lecture-recital, where in the guise of her 'Performer' she gave a rendition of each Bagatelle in a relevant manner (Schmalfeldt, 'On the Relation of Analysis to Performance', p.2, p.19).

¹⁴² Schmalfeldt, 'On the Relation of Analysis to Performance', p.12.

¹⁴³ Rink, Review of Berry, p.320-1.

¹⁴⁴ Berry, *Musical Structure and Performance*, p.31-2.

¹⁴⁵ Rink, Review of Berry, p.321.

¹⁴⁶ In fact Rink is generally enthusiastic about the notion of 'performer's analysis', and recommends a 'consideration of the contextual functions inherent in a given pitch or passage, and how to convey them in one's playing' (Rink, Review of Berry, p.320; see also p.323.) His problem with Berry's and Schmalfeldt's recommendations may be that they are too complex and erudite for performers to be concerned with, not that they are insufficiently penetrating to be worthwhile.

¹⁴⁷ Dunsby, *Performing Music*, p.92.

Yet, due to his sensitivity to the tenuous connection between musical activities, he can suggest no way to absorb such details into the performance, and is sceptical about exactly how this is to be done. With regard to the performer's understanding of formal designs, he admits that 'it is hard to generalize about how this understanding is translated into musical action'¹⁴⁸.

William Rothstein's discussion of Bach fugue entries is perhaps the locus classicus of this argument. Rothstein complains that as a child he was taught to 'bring out' the subject of a fugue at each of its entries, even when the entry was hidden in the composition. He argues that to bring out such hidden entries 'would be to reveal not erudition, but boorish pedantry', and suggests that instead 'the performer should play along with Bach, keeping hidden what Bach took pains to conceal'¹⁴⁹. In this instance, the emphasis is on chopping up the flow of the music, which gives a very partial view of what is significant in the texture¹⁵⁰. The discussion also contains an assumption that a particular musical fact must produce a certain particular reaction in the player - that is, that the relationship is one-to-one between 'analysis' and performance decision.

The scepticism of the second group about whether analytical, or Interpretational, insights can be 'translated' into musical action arises partly because of their enthusiasm that analysis should be relevant to performance. For this reason the same people are often to be found in each of the first two groups of writers. Rothstein is an example who sets up a strong dichotomy towards 'bringing out' and 'not bringing out' certain points in the music. Berry, too, typically recommends the direct impact of analytical points on performing decisions, yet frequently cannot fathom what the impact would be. These two opinions, the prescriptive and the sceptical, seem an odd pair of bedfellows, but really are just the result of an over-polarised dichotomy. If analytical findings can not be expressed immediately and specifically in performance terms, these writers are cast into doubt - which can manifest itself either as dogmatic insistence on the performer's analytical efforts, or as a theoretical belief that the disciplines should be kept apart.

An article by Catherine Nolan presents both sides of the above discussion, and goes some way towards breaking it down. She refers extensively to an account of the teachings of the pianist Artur Schnabel, who was of the opinion that there was 'no basis

¹⁴⁸ Dunsby, *Performing Music*, p.93.

¹⁴⁹ Rothstein, 'Analysis and the Act of Performance', p.219.

¹⁵⁰ Evidently the little knowledge of structure possessed by the piano teacher can be a dangerous thing - in both this account and the one below.

for interpretation' in most theoretical analysis¹⁵¹. He asserts (through his amanuensis, Konrad Wolff) that:

An academic outline analysis, as applied to the first movement of Beethoven's Sonata in E major, op.109, will establish the fact that the first eight bars constitute the first, the ensuing Adagio the second thematic group. If the pianist-interpreter lets himself be guided by this obvious fact, he will make an interruption after the first eight bars to *bring out the formal contrast* between the different themes and speeds. Nothing could be more wrong¹⁵².

The concept of 'bringing out' hidden ideas is of course the bugbear of Rothstein and the other sceptical writers. Schnabel has other concerns in projecting the music:

There is *one long line* that goes from the first note to [bar 15] without stop or without a break of any kind. The initial E major chord opens a phrase which is continued until finally the E major key is replaced, in bar 15, by a B major chord implied in the sforzato bass on B [etc]¹⁵³.

The first perspective could be described as sectional, the second linear; there is thus an evident problem of compatibility between Schnabel's linear sense of the piece and the vertical, contrasted analysis presented before it. Nolan protests that Schnabel's first, sample analysis:

reflects a particular mode of formal analysis, designating phrases or other formal unities of a work by conventional terminology. This mode of analysis is essentially descriptive, not explanatory, and does not elicit any of the more interesting and dynamic features, such as voice leading, tonal structure and their interaction with design that may inform the work¹⁵⁴.

She argues that Schnabel's linear way of thinking would be ideally reflected in, or stimulated by, a more linear type of analysis such as voice-leading, and goes on to provide such an analysis which she hopes would suit him better.

¹⁵¹ Nolan, 'Reflections on the Relationship of Analysis and Performance', p.114. The account she is referring to is Konrad Wolff, *Schnabel's Interpretation of Piano Music* (New York: W. W. Norton and Company, 1979), and this quote is taken from p.18-19.

¹⁵² Nolan, 'Reflections on the Relationship of Analysis and Performance', p.115 (emphasis added), quoting from Wolff, *Schnabel's Interpretation*, p.19.

¹⁵³ Nolan, 'Reflections on the Relationship of Analysis and Performance', p.115 (emphasis added), quoting from Wolff, *Schnabel's Interpretation*, p.19.

¹⁵⁴ Nolan, 'Reflections on the Relationship of Analysis and Performance', p.117.

The model developed earlier in this chapter can be of use in understanding the connections in Nolan's discussion. In my own terminology, the 'sense of line' is an Interpretation concept, a visual, or energetic, image which is tied to not particular manner of realisation. (As an exercise, we may imagine what it is like to have a Sense of Line in this piece, before choosing a way to express the sensation.) It is a helpful illustration of the Interpretation concept because it is easily expressible, or realisable, in both a particular style of performance (*molto legato*), and a particular genre of analysis (voice-leading prolongation)¹⁵⁵. The paragraph of pseudo-analysis which Schnabel/Wolff initially presents could well be absorbed into a contrasting Interpretation concept. Here the fact of first and second subject (A) might be converted into an internal sense of contrast between these two sections (I). A performer might then choose (P) to emphasise the contrast between the dramatic quality introduced at bar 9 (with its forte chords), and the docile, *p dolce* character of the opening. (Of course this could also be done without reference to the information about first and second themes.) There is certainly no need to realise the concept of contrast as bluntly as Schnabel/Wolff suggests, with a large hiatus¹⁵⁶.

The indirect approach

A more indirect approach to the connection between performance and analysis serves as an antidote to the stark dichotomy between 'prescriptive' and 'no influence' schools described above. The process of translation back-and-forth between A and I, and between I and P, requires some subtlety. Furthermore, there is not a simple relationship between each stage and the next, since the processes of perception and realisation intervene, and the results of each of these will depend on the experience, preferences, and resources of the individual musician. I have adopted this position of indirect influence

¹⁵⁵ There may be many other Interpretation concepts which are not so naturally expressible in many forms, and then we struggle to identify them in terms which are understandable to another person. For example, the 'You're the Top' instance in my Interpretation section.

¹⁵⁶ I do not want to imply in this discussion that the path from A to I to P is more important than the reverse direction, from P to I to A, or indeed in-and-out of the I in any sequence of directions. The route from A through to P is that more frequently discussed by writers and hence is discussed here, but the same patterns of thought and counter-arguments apply for the route from a performance to an analytical conclusion, or indeed any input to any output.

primarily from Lester, whose article 'Performance and Analysis: Interaction and Interpretation' has influenced my thinking in many ways.

Lester finds hidden, subsurface motivic relationships in Mozart's Sonata in C major, K. 545, and develops a position apparently closer to Rink's than Berry's in stating: 'I believe that any attempt to project the bass line in bars 3-4 as a significant feature, let alone a leading feature, would result in a tastelessly unbalanced texture and a most un-Mozartian style'¹⁵⁷. However, he continues:

There are interpretative statements which, though not projectable, might affect attitudes towards a given performance [...] Knowledge of these hidden motifs might not predispose performers to emphasise the relevant notes, but could cause them to conceptualise the piece as organically unified. Ignorance of these hidden motifs might result in the ever-new melodies and passagework of the exposition being regarded as a freely associated stream of consciousness¹⁵⁸.

Similarly, the process from Interpretation to (Performative) realisation is nebulous and holistic:

Either approach - developing variation or free association - will affect a host of different performance decisions: whether to seek a relatively wide or limited timbral range, whether to maintain a basic tempo or adopt wide-ranging rubatos, whether to voice the passagework throughout the movement in order to bring out motivic and linear connections with the more homophonic textures elsewhere in the movement or to differentiate the passagework from the more melodic materials, and so forth¹⁵⁹.

So the information about the piece affects one's general approach, which in turn will affect performance decisions.

The formulation of an indirect relationship between Analysis and Performance resolves the argument between 'prescriptive' writers such as Berry, and the 'pessimistic' or 'separate discourses' school such as Rothstein. It shows the value of a three-part, rather than a two-part, model for the relationship between Analysis, Interpretation and Performance. This model of the relationship also makes sense of smaller oddities in the literature, for example Rothstein's comment that, although the subject of the Bach fugue should not be projected into performance, the performer 'should be aware of the subject

¹⁵⁷ Lester, 'Performance and Analysis: Interaction and Interpretation', p.209.

¹⁵⁸ Lester, 'Performance and Analysis: Interaction and Interpretation', p.213.

¹⁵⁹ Lester, 'Performance and Analysis: Interaction and Interpretation', p.213.

whenever it is present'¹⁶⁰. What is the point of this knowledge if it cannot be expressed in the performance? The claim makes no sense, and has puzzled various commentators, until one recognises Lester's perspective hidden between the lines: the point of the performer knowing where a fugue subject begins is so that it can affect his or her performance in many, subtler ways.

In conclusion, I propose that this model of the relation between Analysis and Performance demonstrates what they have in common, without reconciling either of them into the other. Janet Schmalfeldt ends her discussion by calling for 'an increased understanding of shared and separate tasks'¹⁶¹ (which I would gloss as the processes of Interpretation and Realisation respectively). The model which has been expounded here makes a contribution towards this increased understanding, and establishes a reasonable basis for the investigation of connections between the two activities. In doing so, it solves many of the conceptual and ideological problems that have been identified in this chapter.

¹⁶⁰ Rothstein, 'Analysis and the Act of Performance', p.219. Like Rothstein – and Dunsby, as explained above - Schnabel encouraged his students 'to find out as much as possible' about the compositional devices used in a score, without explaining how they were to be absorbed or realised in a performance.

¹⁶¹ Schmalfeldt, 'On the Relations of Analysis to Performance', p.28.

Chapter Two: Analysis

2.1 Receptions

Formal views, as well as historical views, of a composer's music can change with fashion. Sibelius criticism of the 1930s attempted to prove the importance of Sibelius, often by comparing his work to the symphonic 'masters' such as Beethoven¹, or else by constructing it as 'the music of the future'². A later generation chose to see its use of tonality and established genres as relegating it to a conservative backwater of the twentieth century³. Sibelius scholarship of the 1990s prefers to place him in the context of a 'modernist' generation born in the 1860s, alongside composers such as Mahler, Elgar, Puccini, and Debussy⁴. Each approach affects how we understand his relationship to the preceding compositional tradition, and in particular how we construe his music in relation to the formal conventions of its genres: for instance, comparisons to Classical masters are enabled by demonstrating the use of Classical forms and procedures⁵,

¹ 'In a purely technical sense [...] – from the point of view of formal structure, it is true to say that in his later work Sibelius takes up music where Beethoven laid it down' (Gray, *Sibelius: The Symphonies*, p.201).

² For example, Lambert's discussion under the heading 'Sibelius and the Music of the Future', in his 1934 *Music Ho!*, p.276-280; also Cecil Gray who in 1931 described Sibelius as the composer who 'will ultimately prove to have been, not only the greatest of his generation, but one of the major figures in the entire history of music' (Gray, *Sibelius: The Symphonies*, p.13).

³ For example Leibowitz's diatribe in 1955: 'What of this incredible success? [...] One can always explain it by the conservatism of the musical public which sees in Sibelius the possibility of making new music out of old means. [...] But the sole merit of Sibelius is to [...] show us, in magnificent fashion, that these old means, however authentic, have become fake at present' ('Mais alors, ce succès formidable? [...] Toujours est-il que l'on peut l'expliquer par le conservatisme du public musical qui voit en Sibelius la possibilité de faire de la musique nouvelle avec des moyens anciens. [...] Mais le seul mérite de Sibelius est [...] car il nous a montré, de façon magistrale, que ces moyens anciens, authentiques autrefois, sont devenus faux à présent', Leibowitz, *Sibelius: le plus mauvais compositeur du monde* [*Sibelius: The Worst Composer in the World*], p.6).

⁴ See Hepokoski, *Sibelius: Symphony No. 5*, p.2.

⁵ For instance, Layton supports his claim that the Third Symphony is 'classical in feeling' with a demonstration that its first and last movements fall into a 'straight-forward sonata-form' (Layton, *Sibelius*, p.37-41). Focussing on long-range tonal behaviour, rather than the lay-out of thematic materials, could lead the analyst to the very different conclusion that Sibelius's compositional practice is highly deviant with

whereas a futuristic perspective is supported by comparing the composer's style to that of the later Bartók and Schoenberg⁶.

James Hepokoski, who has been a major influence on recent thinking about Sibelius, makes the link between current historical and structural approaches:

A central feature of the modernist aesthetic game - one in which Sibelius was an eager player - was implicitly or fragmentarily to refer to the generic formal conventions [...] but then to override them. [...] To perceive many modern works appropriately we should not try to take their measure with the obsolete 'sonata' gauge, as is often attempted [...]. These structures cannot be said to 'be' sonatas in any strict sense: this would be grossly reductive, and in the consideration of any such work nuances are everything⁷.

Hepokoski thus claims that we cannot describe Sibelius's work directly in terms of the collection of formal schemes that constitute *Formenlehre* (standard-textbook procedures), as this would be an ahistorical gesture. Yet in the past many writers have tried to do so - whether as part of their own ideological perspectives, or else out of a desire to bring to bear their most familiar technical resources – making a considerable contribution to knowledge about the music of Sibelius in the process. Indeed, until recently, this is the principal way in which writers have approached his symphonies⁸, producing a body of analytical writing that would be the envy of Walton or Bax scholarship.

This leaves Sibelius studies with a problem: what are we to *do* with a body of analyses which takes an arguably inappropriate scheme to the music it analyses? In comparison, Mark Everist has argued that critical receptions do not become superseded by new information on the same topic. He takes Donald Francis Tovey's description of the finale from Sibelius's Fifth Symphony, which is picturesquely framed in terms of Thor swinging a hammer, and compares it to the composer's own account of the subtext

regard to the Classical tradition (see table and discussion under the heading 'Approaches to metaphor' in section 2.4).

⁶ See Lambert, *Music Ho!*, p.277 and *passim*.

⁷ Hepokoski, *Sibelius: Symphony No. 5*, p.5.

⁸ The writers under consideration will be introduced in the next section, and discussed at length in section 2.4, 'The analysts'.

of this movement as the experience of swans flying overhead. Everist points out that, although ‘many might agree that we should prefer the composer’s view to that of Tovey’⁹, Tovey’s account has nonetheless had great value for conductors, critics, audiences and scholars and so should not be rejected merely on grounds of new historical knowledge. Can the same be said of the now-outmoded methods of analysis which, although they have satisfied readers during the earlier part of the century, have now partially become superseded by greater historical and methodological sophistication?

I shall argue that these analytical writings do have something to communicate to us, and that, furthermore, we do not have to remain naïve towards more recent critical developments in order to benefit from their structural insights. This approach in turn could be seen as part of our current historical understanding: that plurality be allowed to exist without being resolved into a unitary perspective. That music is not necessarily to be understood from the latest definitive statement on it, but rather in an attitude of plurality towards interpretations, is an attitude perfectly familiar to us from the realm of recorded performances (as well as from more long-standing forms of historical enquiry). Various writers have suggested that the understanding of analyses might be more like the understanding of performances¹⁰; this is my contribution towards such an understanding, and towards the reappraisal of an unduly maligned body of musical literature.

2.2 Analysis of Sibelius’s Fifth Symphony, first movement.

The analysis given here is intended as a basis for those not closely familiar with the movement under discussion, and as a starting point for discussing other analysts’ understanding of its processes. It is synoptic in nature, and provides a guide to the layout,

⁹ Everist, ‘Reception Theories, Canonic Discourses, and Musical Value’, p.400; see respectively Tovey, ‘Sibelius: Symphony in E Flat Major’, p.128-9 and Hepokoski, *Sibelius: Symphony No. 5*, p.36.

¹⁰ Nicholas Cook, in his article ‘Analyzing Performance, and Performing Analysis’, considers performance studies as a microcosm, or a case study, in understanding analysis. He transfers the terms of performance into the field of analysis: ‘My aim [...] is to focus on the issue of analysis and performance not so much for its own sake, but for what it can tell us about music theory in general. And my central proposition is that a theory which does justice to performance will be at the same time a theory aware of its own performative qualities’ (p.245-6). Joel Lester questions the relevance of analyses which do not relate to eminent performances of the piece being examined (‘Performance and Analysis’, p.205), and proposes ‘a more vibrant interaction between analysis and performance - an interaction stressing the ways in which analysis can be enhanced by explicitly taking note of performances, indeed by accounting for them as part of the analytical premise’ (p.199).

thematic processes, and tonal behaviour of the movement. It is not intended to be groundbreaking, though each section includes some modest contributions of my own.

So that the analytical material here is not presented in a free-floating, detached manner, I have referred to other accounts when they have constituted sources for my work. To further aid orientation, I have attempted to outline differences between those accounts and my own where relevant, and have indicated directions for ‘further reading’ on particular topics.

There are two parts to the analysis: a thematic analysis, and a harmonic analysis, each with a commentary followed by a table.

Thematic analysis

The overarching pattern of four parallel rotations, in this and the harmonic analysis, is taken from Hepokoski, who explains it as follows:

A rotational structure is more of a process than an architectural formula. In such a process Sibelius initially presents a relatively straightforward ‘referential statement’ of contrasting ideas. This is a series of differentiated figures, motives, themes, and so on [...] Second (and any subsequent) rotations normally rework all or most of the referential statement’s material, which is now elastically treated [...] Each subsequent rotation may be heard as an intensified, meditative reflection on the material of the referential statement¹¹.

Thus each ‘statement’ (or ‘cycle’¹²) of material in this movement can be labelled rotation 1, rotation 2, rotation 3, and rotation 4 respectively, retaining the useful concept of structural division without begging the question of descriptive sectional labelling. Each rotation can, of course, be divided further into smaller sections (notably, rotation 4 out-

¹¹ Hepokoski, *Sibelius: Symphony No. 5*, p.25.

¹² Hepokoski uses this term in *Sibelius: Symphony No. 5*, p.25. His use of the term ‘cycles’ (and his emphasis on circularity in general) to describe the music of Sibelius is interesting in the light of the term used to describe a *Formenlehre* section in the Finnish language - ‘jakso’ - which might more literally be translated as *cycle* (see further discussion in section 2.5 below, under the heading ‘Recapitulations’). This dynamic term is in contrast to the more static *section* used in English and may suggest a different view of the sonata process.

lasts the rest and is often subdivided) and hence does not provide the final word even on segmentation decisions.

The rotational terminology allows a neutral perspective on the question of sonata-form attribution to be maintained, which is invaluable in allowing different writers' structural claims to be discussed fairly in sections 2.3 and 2.5. Despite this avowed neutrality, I have felt compelled to bite the bullet on a couple of issues. Firstly, my analysis makes references to first and second subject groups, which, although a component of sonata terminology, are in fact not subject to controversy amongst the writers who label them at all (as opposed to those with a merely descriptive approach). Secondly, it does not avoid an account of the so-called 'recapitulation' at bar 298, which has been acknowledged here so that its processes can be explained.

The basic methodology for labelling themes and showing thematic developments has been adapted from Eugene Wolf's *The Symphonies of Johann Stamitz*¹³, a useful guide to understanding thematic behaviour in symphonies (like Sibelius's) outside the canonic period of Haydn-to-Brahms. At the top of the analysis will be found a key to the relational symbols, which allow a concise means of indicating thematic activities, and hence a fuller account incorporating more information than would be otherwise manageable.

The thematic analysis presented by Tim Howell¹⁴, arguably the fullest in the existing literature, has some points of similarity with this one. However, the version given by me differs from his in a number of ways:

- I prefer to retain the labellings 'A' and 'B' to designate elements of the first and second group respectively - where Howell uses the neutral labels A, B, C, D, etc, and Wolf uses the functional designators P(imary), T(ransitional), S(econdary) and K(closing) - on account of their archetypal and hence immediately recognisable associations. This is supplemented by the use of 'Z' to indicate codetta themes.

¹³ Eugene Wolf, *The Symphonies of Johann Stamitz* (Utrecht: Bohn, Scheltema and Holkema, 1981). Wolf draws his approach and labelling system largely from Jan La Rue's *Guidelines for Style Analysis* (New York and London: Norton, 1970), chapter seven, 'Symbols for Analysis and Stereotypes of Shape', p.153-193. My adaptations include the changes in labelling described in the text below, and the lack of any hierarchical structure in my system. The music which Wolf is dealing with is generally much more symmetrical, and hence he can isolate modular phrase-length elements and illustrate their balance, whereas I have chosen just to indicate the presence and development of a theme.

¹⁴ Howell, *Jean Sibelius: Progressive Techniques*, Chapter Two, Ex.13 and Ex.14.

- My account foregoes the pleasing symmetry of Howell’s diagram (‘A1/A2’; ‘B1/B2’ etc) in favour of a more thorough description of the activity of the subsidiary thematic particles.
- There is no account of the ‘S’ (Scherzo) theme in Howell’s analysis, and the ‘T’ (Trio) theme is viewed from the start as a subsidiary of the ‘A’-material.
- Howell attributes a combined ‘development/recapitulation’ role to rotation 4, leaving no particular role for bars 72-105 (‘rotation 3’), save that of a squeezed-in ‘trans’ section which is never absorbed into his hierarchical structure. The perspective of rotational structure grants, to this section, the parallel status its length and thematic presences might seem to warrant.

All thematic relations described in Howell’s analysis, however, are preserved here, along with those I have gratefully absorbed from other writers and those I have spotted for myself (now largely indistinguishable).

The thematic fragments described below by letters and numbers (A1a, B2, Zb, etc) are outlined in Example 2-1 on music notation. The paragraphs which follow the concise analysis should be considered a sequence of notes upon it. For ease of cross-reference to the analysis, and to encourage diachronic consultation of the score, I have kept these notes in approximately their natural order, rather than forming them into a narrative which would replace the flow of the analysis itself. They by no means exhaust the points which are worth observing in the thematic analysis.

Key:

- = turns into
- ; = in counterpoint with (cf. , = in succession with)
- + = linearly attached to
- < = derives from
- S+ = struck-out element does not appear

Example 2-1: Musical fragments for Thematic Analysis

The image displays a handwritten musical score for thematic analysis, organized into several systems. The notation includes various musical symbols such as notes, rests, and bar lines, along with handwritten annotations and labels.

- System 1:** Contains fragments A1, A2, and A3. Fragment A1 is marked with a bracket and the word "etc.". Fragment A2 is marked with a bracket and the word "etc.". Fragment A3 is marked with a bracket and the word "etc.". A handwritten note "b7 = 1/2 = 1/2 = 1/2 = 1/2" is written below the fragments.
- System 2:** Contains fragments B1, B2, and B3. Fragment B1 is marked with a bracket and the word "etc.". Fragment B2 is marked with a bracket and the word "etc.". Fragment B3 is marked with a bracket and the word "etc.". A handwritten note "b7 = 1/2 = 1/2 = 1/2 = 1/2" is written below the fragments.
- System 3:** Contains fragments S, T, and T3. Fragment S is marked with a bracket and the word "etc.". Fragment T is marked with a bracket and the word "etc.". Fragment T3 is marked with a bracket and the word "etc.". A handwritten note "b7 = 1/2 = 1/2 = 1/2 = 1/2" is written below the fragments.
- System 4:** Contains fragments T, T2, and T3. Fragment T is marked with a bracket and the word "etc.". Fragment T2 is marked with a bracket and the word "etc.". Fragment T3 is marked with a bracket and the word "etc.". A handwritten note "b7 = 1/2 = 1/2 = 1/2 = 1/2" is written below the fragments.

The score is written on a series of staves, with each fragment occupying its own staff. The notation is in a standard musical notation style, with notes and rests clearly visible. The handwritten annotations and labels provide additional context for the thematic analysis.

First rotation

1 A1 a, b, c(~~a~~), d
11 A2
17 A3
20 B1
26 B2
28 B3
31 Za; Zb

Second rotation

(Zb continues underneath, changing .A1d (bar 42) and .A2 (bar 45).)

36 A1 a, d
45 A2
52 A3→B1
60 B2
62 B3
65 Za ; A1bii

Third rotation

68 A3
76 →A3
92 <B1

Fourth rotation

(‘Scherzo’)

106 A1c(~~a~~), d ; A1bii, i
114 S + A1a + A1d (142 <A1a 158 →A1a)
162 S + A1a + A1d ; A1bi
190 S + ~~A1a~~ + A1d ; A1bi, ii

(‘Trio’)

218 T1
242 T2
258 T3(<T2) (283 <A1a?)
294 →A3 (or B1)?

(‘Recapitulation’)

298 A1bii
307 B1
317 B1 + T
330 T + B1 + T
338 T2
354 T3
372 <T3

455 A1a!
471 B3
498 Za ; A1a, <T1 (539 →A1a)
571 A1a.

The behaviour of the opening part of the first-subject group of material (A1) is interesting throughout the movement: in typical Sibelian fashion, its motif ‘c’ (bars 3-4) is shown developing into the already-familiar motif ‘a’ (bars 5-6, compare bars 1-2) which will be the dominating form during the movement. During part of the second rotation (bars 52-54), the last element of the A-group (A3) is presented in the manner of the ensuing first part of the B-group (B1), thus already breaking down the contrast between them which was established in the first rotation¹⁵. To constitute the material for the first half of rotation 3, Sibelius develops a first and then a second layer of material

¹⁵ According to Ballantine, this is typical of post-Beethovenian symphonic writing, where ‘immanent dualism’ (the seed of conflict within a theme itself) tends to replace ‘manifest dualism’ (contrast between first and second subjects): see Ballantine, *Twentieth-Century Symphony*, p.151 and *passim*.

out of the A3 idea (bars 68-80f in the horns and strings cf. bars 76-85f. in the woodwind). The most typical form of the latter is reached in bars 85-86.

At the beginning of the fourth rotation ('scherzo'), there is much intricate thematic activity. The pattern of 'A1c(a), d' in the first subject group (bars 106f) follows that of bars 3-10. The missing motif A1b is present underneath in the 'swaying' mechanism (A1bii) and unobtrusively acquires its previous 'wind descending in thirds' element in the trombones and horns (A1bi). Following bar 114, a subtle process begins of integrating the new 'S' material (not found in the first part of the movement) into the A-material. Compared to bar 114f., in the following phrases (bars 162f. and bars 190f.) thematic elements are omitted as shown by strikethrough¹⁶, whilst the A1b elements are gradually added. Whilst bar 114 began with the idea A1bii and then added A1bi to it, in this section the elements of the motive A1b appear in the opposite order: the 'stepwise bassoons in thirds' aspect appears separately at bar 162 (A1bi)¹⁷ and then acquires the 'swaying motion' on repetition at bar 190 (A1bii). It is the presentation at bar 190 that clarifies the identity of this material.

The behaviour of the thematic material illuminates the postulation of a recapitulation beginning at bar 298. The presence, in close succession, of archetypal aspects of the first and second subject groups (A1bii at bar 298, and B1 at bar 307) is what hints at a recapitulatory process. The Trio theme is promptly taken into the orbit of the 'recapitulation': the theme referred to as 'B1 + T' in the table below leads from the oboes at bar 317 through the violins ending in bar 329 (ignoring the bars' rest which separate the phrases), blending these elements together. There are several T-themes (T1, T2, T3) but their first four notes with the characteristic rhythm are held in common, and this is what is indicated by 'T' without an appended number. Though referred to as simply 'T', the closing portions of both the bar 317f. phrase and the following one might be thought to be most affiliated with T1, since that is where the triadic element is strongest.

After a long period of getting lost in T3 (and liquidated material), the reappearance at bar 455 of the critical 'head motif' A1a, an element which did not appear at or after bar 298, could be considered to prompt the recapitulation of some remaining

¹⁶ From an alternative perspective, one that compares bar 162f to bar 106f, it could be regarded as A1c which is missing at bar 162. See also Appendix 2 ('On the movement division') which propounds this parallelism.

¹⁷ This version of the theme A1bi has been pre-empted, unobtrusively, in bars 130-133 in the pizzicato cellos, a less typical timbre for this material.

representative themes from the earlier rotations: B3 and Z. (This appearance is labelled a ‘*rappel à l’ordre*’ by Hepokoski¹⁸.) Although at the trumpet’s material is preceded by and culminates in A1a, the central portion has been attributed to T1 on account of its use of scale-degree 3 alongside 5, 1, and 2, its reach back down to the lower scale-degree 5, and the distinctive trumpet timbre. However, T is of course itself closely related to A1a.

Harmonic analysis

The harmonic analysis below shows the partially mutually-independent nature of the harmonisation and the bass line during this movement. This was inspired by Hepokoski’s description of Sibelius’s harmonic processes as using the ‘cat-cot-cog-dog’ method of gradual change¹⁹ - though in fact his own account is more sophisticated and doubts the existence of tonal areas as such. The aim of the current analysis is to show the ‘drifting’ and ‘chaining’ processes which happen largely by keeping one thing constant (viz. the bass OR the harmony) whilst the other one changes. The exceptions to this process are discussed at the bottom of the analysis.

The overall pattern of bass movement from E flat to G to B natural to E flat has become a commonplace of Sibelius analysts (including those who value symmetry), but was originally observed as an aside by Simpson²⁰.

I have taken from Schenker the invaluable use of brackets thus () to show an area of unstable or unclear harmony. I have in other respects eschewed the temptation to sketch a traditional voice-leading graph, on the ground that the method and the music are not well-suited to each other: the reader who wishes to see such an exercise undertaken should consult chapter 6 of Murtomäki’s *Symphonic Unity*, Example 78 (middleground) and Examples 62-77 (foreground). One of the aspects which makes such an endeavour difficult is, indeed, pointed out by Murtomäki - the bass can be separate from the rest of the texture²¹ - and was a further inspiration for the manner of presentation chosen here.

¹⁸ Hepokoski, *Sibelius: Symphony No. 5*, p.69.

¹⁹ Hepokoski, *Sibelius: Symphony No. 5*, p.59. The description was originally provided by Abraham as an account of Sibelius’s thematic processes (Abraham, ‘The Symphonies’, p.32-33).

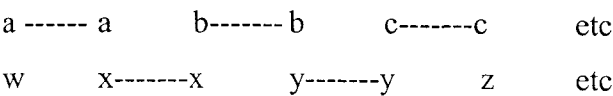
²⁰ Simpson, *Sibelius and Nielsen*, p.27.

²¹ Murtomäki, *Symphonic Unity*, p.144.

There are two useful ways to read this analysis: one is to merely observe the ‘chaining’ process whereby one or other of the bass and harmony is (usually) kept constant; the other involves detailed reference to the score in order to spot the harmonic blocks and bass notes referred to.

Key:

The diagrammatic representation should make clear the chaining process between harmony and bass line which operates as in the following simplification:



At certain points alternative forms of motion are used in the music, and these are shown by various symbols:

- + One bass line is simply added under an existing one.
- . A bass note moves to another one. This is a relatively unusual form of motion in this movement. It may be a linear stepwise motion, as at bars 142-158 or bars 230-274.
- (A) Alternatively, there may be tritonal correspondences. Here the tritonal element is shown in brackets. These are used at points of uncertainty in the process of the movement, as at bar 274-298 or bar 372.
- () Sometimes there are points in the texture where no clear harmonic block or bass note seems to prevail. In these cases, one or the other will tend to pick up where it left off before the lacuna - for example, the harmony in bars 69-90.

These types of behaviour are pointed out because they are unusual in the movement, and as such should not be considered to form a watertight theoretical system. The ‘cat-cot-cog-dog’ process of chaining is by far the most prevalent, and can be read about at more length in Hepokoski, *Sibelius: Symphony No. 5*, p.58-60. The important point to notice for these purposes is the flow of tonal centres and pedal points, and the ambiguity with which the latter are asserted.

First rotation

Second rotation

Third rotation

Harmony: Eb () B G ---- G ---- G V/Eb-- Eb----Eb () - Eb ()

Bass: Eb ---- Eb + B ---- B () D ---- D ---- D () G ---- G () Eb----Eb----

<u>Bar nr.:</u>	1	11	13	18	31		36	41	50		69	90	92
-----------------	---	----	----	----	----	--	----	----	----	--	----	----	----

Overall: Eb G 0

Fourth rotation

Scherzo

Trio

Recap

Harmony: B ----- B Eb----- Eb----- Eb B () (A?) Eb----- Eb () Eb!---- Eb.

Bass: --- D# () B Bb! G Eb----- D# . (C#?) G ----- G Eb (A-Eb) Eb.

Bar nr.: | 106 142 158 174 | 218 230 274 278 | 298 344 372 455 497.

Overall: **B** **Eb.**

2.3 *The blind men and the elephant?*

The position of Sibelius commentators of the period 1930-1965 can be compared to the protagonists in the fable of the blind men and the elephant. In this traditional story, a group of men blind from birth are gathered together to investigate the nature of an elephant, a beast which was previously unfamiliar to them. Each alights on a different part of the animal and draws his own conclusions from it: in one version, the man who feels its side concludes that it is 'like a wall'; the one that meets its tusk, that it is like a spear; the trunk seems like a snake, the tail like a rope, the ear like a fan, and the leg like a tree. Each is adamant that his own interpretation is full and correct, until (in one metrical rendering):

And so these men of Indostan
Disputed loud and long,
Each in his own opinion
Exceeding stiff and strong,
Though each was partly in the right,
And all were in the wrong!²²

The fable is used by the storyteller to illustrate the conduct of those engaged in 'theologic wars', who have only a partial idea of what it is they discuss. In an alternative account, the storyteller notably includes scholars, as well as preachers, in the category of those who should learn from the tale²³.

We can bear this story in mind whilst examining some similarly partial accounts of the form of Sibelius's Fifth Symphony, first movement:

²² 'The Blind Men and the Elephant', arr. John Godfrey Saxe, *Elephants Ancient and Modern*, ed. Frederick Cameron Sillar and Ruth Mary Meyler (London: Studio Vista, 1968), p. 139-140.

²³ For this non-metrical version of the tale, see 'Six Blind Men and The Elephant: Fable from Religious Literature', Elephanteria Library, http://wildheart.com/library/blind_men.html, (last accessed 6th November 2000). This account is a rather more literal translation of the original fable expounded by the Buddha, which can be found in the Udāna scripture, section 6.4. Other translations of the Udāna scripture in book form include *The Udāna: Inspired Utterances of the Buddha*, ed. John D. Ireland (Kandy, Sri Lanka: Buddhist Publication Society, 1990); see p.91-94 for this story.

Exposition:

Most writers are agreed on the first unusual feature of the movement, the *double exposition*. [...] As in most organic processes, it is not always possible to say with any degree of dogmatism where one 'section' ends or another begins [...] However the transition *from exposition* to development poses no such difficulty²⁴.

Development:

The foregoing subject-matter is then *developed in orthodox manner*, with the woodwind again playing a leading role and the strings providing a background²⁵.

Recapitulation:

With masterly control of the slow tempo, Sibelius increases the tension further [...]. All the while the tonality is in flux, yet the themes seem to be returning as if in a *recapitulation*, with an accompaniment more mysteriously animated than before [...]. There has in fact been *a complete recapitulation*, its first group enshrouded in chromaticism...²⁶.

These all seem to be legitimate and possible uses of the scheme of sonata form, with no obvious clash between them - until we realise that each writer is describing the same portion of the movement. Layton's exposition, Gray's development, and Simpson's recapitulation each occupy the passage from bar 35 to bar 68 in the score (the 'second rotation'), and the sonata form scheme is arranged around the designated section. It is surprising to find that the use of the same scheme can produce results which are so different, even contradictory. It is tempting to conclude that these mutually contradictory statements should simply be disregarded as too contingent to be helpful. Yet, as in the story of the blind men and the elephant, though 'all were in the wrong', each was also 'partly in the right' and made some valid contribution to understanding.

²⁴ Layton, *Sibelius*, p.49-50 (emphasis added).

²⁵ Gray, *Sibelius: The Symphonies*, p.49 (emphasis added).

²⁶ Simpson, *Sibelius and Nielsen*, p.25 (emphasis added).

The analysis from section 2.2 can be used to show what led each of the writers above to believe what they did. Layton's 'exposition section' and 'second exposition section' each traverse the musical material in approximately matching order (bars 1-35 and bars 36-68) (compare the thematic analysis in section 2.2 above). Furthermore, the position and function of bars 36-68 as a group matches well the position of a 'second exposition section' within an overall scheme of exposition-second exposition-development-recapitulation²⁷. This scheme has the advantage of an established precedent, since it forms an analogy with classical concerto form – or, alternatively, with the repeated exposition of a symphonic sonata form²⁸. Gray's attribution of 'development' to this section is based on the thematic materials, which are certainly developed, though hardly 'in orthodox manner'. He does not strongly differentiate this section of bars 36-68 from the ensuing passage of development in rotation 3, and is less interested in *Formenlehre* models than thematic activity in any case. Simpson's label of 'recapitulation' is the most creative (compare the harmonic analysis within section 2.2): it relies on his acute awareness of provisional harmonic closure (onto tonic Eb major, first inversion) at bars 64-68, as well as the possibility of identifying a 'first movement' (bar 1 to circa²⁹ bar 105), including a long coda after bar 68, as separate from a 'scherzo' (circa bar 106 to bar 586) within the passage of music under discussion.

²⁷ The only other likely attribution for a piece of four approximately equal sections is a Beethovenian exposition-development-recapitulation-coda pattern (Hepokoski, *Sibelius: Symphony No. 5*, p.98, n.6), which would be a poor match for the Sibelius where the third rotation/section is by far the vaguest, and the fourth too long and eventful.

²⁸ Hepokoski is unimpressed with this argument and the scheme it supports: see Hepokoski, *Sibelius: Symphony No. 5*, p.65-66, where he discusses the merits of the various solutions.

²⁹ The question of where the division point between the two movements would be is highly contentious, and I am unwilling to beg the question at this stage prior to its thorough discussion in section 2.5. I consider bar 106 to be the strongest point of division to the ear, whilst bar 114 is a clearer point of division *to the eye* but surprisingly popular as a nominal movement break in (for example) both Gray and Simpson.

	First rotation	Second rotation	Third rotation	Fourth rotation
Layton (sections)	Exposition	Counter- exposition	Development	Recapitulation
Gray (themes)	Exposition	Development	(development ctd.)	-
Simpson (keys)	Exposition	Recapitulation (with development)	link to	Scherzo

Each writer’s defence of his sonata-form label reveals his primary interests in the substance of music: Layton’s quasi-objective sectional overview, Gray’s fascination with thematic relations, and Simpson’s sense of tonal areas (also a feature of his Nielsen analyses³⁰, and his own symphonic compositions) are characteristic of each. Likewise, these analyses considered together give an insight into several aspects of the movement itself: its formal layout, its thematic activity, and its tonal procedure respectively. The case-study resulting from this sample of the analytical writings is telling both about the piece of music and about those who approach it - and the picture resulting from these contrasting views of the piece is arguably richer than that provided by any single analysis. By putting all the pieces of information together, we can gain a thorough grasp on the true nature of the beast (so to speak)³¹.

However, the aggressive mutual contradiction found throughout these writers’ accounts, in the effort to establish their own opinion about the piece, seems unnecessary with hindsight. Their adamant, even dogmatic language is perhaps explicable in the context of the fable of the blind men who ‘disputed loud and long / each in his own opinion / exceeding stiff and strong’. The language of these three writers is worth further examination: they each begin by trying to keep their claims open and relative, before

³⁰ Some of Simpson’s Nielsen analyses are found in the same book, whose full title is *Sibelius and Nielsen: A Centenary Essay*. He interleaves discussion of Nielsen’s six symphonies with discussion of Sibelius’s seven, concluding that the two composers are ‘opposites [...] only in the sense that they belong together’ (p.4).

³¹ More information about each writer’s account of the symphonic movement is found in section 2.5, ‘The analysts’, where this table and its implications are explored further in the light of the theory that will have been developed.

moving towards a more definitive claim to truth. Layton takes an explicit stance against such claims ('it is not always possible to say with any degree of dogmatism where one 'section' ends or another begins') but then considers that they are justified in this case: 'However, the transition from exposition to development poses no such problem',³². Simpson begins with a simile: 'the themes seem to be returning *as if* in a recapitulation' but ends with a firm statement on the same topic: 'There has *in fact* been a complete recapitulation',³³. Gray is seemingly balanced on an earlier issue of movement division: the work is 'sometimes spoken of as consisting in three movements, and sometimes in four'; he modestly states 'his own personal opinion' that there are three, but then ends up noticeably hot-headed, claiming that the argument for four movements 'seems to the present writer illogical and indefensible',³⁴. What is it these writers are trying (and failing) to achieve by making such initially relativistic claims?

Simpson's use of the tag *as if* takes his claim into the realm of metaphorical language (strictly speaking, it is a simile), and provides a clue to what he and his contemporaries were trying to do. Later in the century, Hepokoski explained that

Within the modern style it was entirely legitimate, and quite normal, to evoke traditional or antiquated gestures in a non-immediate way. For example, an 'old-world' melody or turn of phrase could be set forth 'as if in quotation marks' or as a retrospective evocation of a not-quite-graspable, naive, or pre-modern wholeness [...] now fading rapidly or inaccessible in current times. [...] *Even entire structures could receive this quotation-mark treatment*³⁵.

If such reference to musical norms, without taking them literally, is characteristic of the modernist movement of which Sibelius is a part, then it would seem appropriate on the part of the writers who consider Sibelius's music to make a non-literal - or metaphorical - use of these structural norms. This observation prompts an investigation into the

³² Layton, *Sibelius*, p.49-50. Layton also states in his account that 'Most writers are agreed on' the double exposition interpretation (p.49), whereas this is far from the case. This blind spot for disagreement with his interpretation adds to the dogmatic quality of his claim.

³³ Simpson, *Sibelius and Nielsen*, p.25 (emphases added).

³⁴ Gray, *Sibelius: The Symphonies*, p.48-49.

³⁵ Hepokoski, *Sibelius: Symphony No. 5*, p.5 (emphasis added).

operation of metaphor, as a tool which might enable us to understand further both these early writers and also the music of Sibelius itself.

2.4 Metaphor and learning

The field of metaphor studies has been invoked several times in the musical literature, during the 1980s in particular, to explain different facets of our understanding. One popular topic is that of the images evoked when listening to a piece. Marion Guck's article on the breathing metaphor in Chopin's Prelude in B minor provides an account of the ideas generated by her students in coming to terms with this piece, and the ways in which they led to greater structural insight³⁶. Her focus is on how physical/emotional processes may serve as a metaphor for musical structure, and hence the article contributes towards a general understanding of non-literal descriptions of music³⁷.

Christopher Lewis's consideration of tonality in post-Wagnerian music is closer to the current approach, since it examines the metaphorical relationship between existing structural paradigms and music³⁸. After a brief explanation of the theory of metaphor, he proceeds to postulate a different model for Schoenberg's early songs: the 'double-tonic complex' replaces tonality as a model. The main difference between his approach and the one employed by writers on Sibelius is that, rather than replacing the model, the latter tend to preserve the same model whilst developing a metaphorical way of referring to it.

Another approximately contemporary article by Nicholas Cook develops an understanding of the score as a being only a metaphor for music³⁹. Such an approach loosens the bonds between the concept of music, and that which we normally take as directly representative of it, namely the score. This idea can be extended to music-analytical descriptive accounts, which we, likewise, normally take to be directly representative of music, but instead could well be considered only metaphorical in relation to it. To gain a true understanding of the relevance of this topic for post-

³⁶ Guck, 'Musical Images as Musical Thoughts'.

³⁷ Further discussion of a related topic can be found in Vaughan, *Music Analysis and Performance*, p.51-52.

³⁸ Lewis, 'Mirrors and Metaphors'.

³⁹ Cook, 'Music Theory and "Good Comparison"'.

Formenlehre symphonic studies, however, one must return directly to the central literature on the philosophy of metaphor, and draw out different aspects from it.

Approaches to metaphor: constructivism / non-constructivism and the target model

In the collection of essays entitled *Metaphor and Thought*, Andrew Ortony distinguishes two schools of thought in the study of metaphor⁴⁰. The first, nonconstructivism, derives from science and philosophy (especially that of Russell and Wittgenstein), and is closely related to logical positivism. It holds that metaphor is a violation of linguistic rules, and is parasitic upon normal usage. For nonconstructivists, the difference between metaphorical speech and literal speech is thus a semantic difference. The second school of thought, constructivism, holds that all cognition is the result of mental construction, including literal speech acts, and that the difference between these and metaphorical speech is a matter of degree. Metaphor is hence an essential characteristic of the creativity of language. For constructivists, the difference between metaphorical and literal speech is a pragmatic, or usage, difference.

Certain theorists go beyond the second, constructivist position to argue that there is no difference between metaphorical and literal speech acts. Instead, metaphor is a normal, natural part of language acquisition and comprehension. To use an example given by David Rumelhart, if a child learns the word 'open', in the context of his or her mouth being open, and then applies this word to a door or window, we consider this an unremarkable, correct usage. However if the child uses that word in the context of 'opening' a tap, or a lightswitch (to indicate switching it on), we consider this a metaphorical (or incorrect) usage⁴¹. In fact, the child could be considered to be performing the same operation of metaphorical extension in each case, and only convention determines that the latter two examples are non-standard (in French, interestingly, they would be perfectly acceptable). This position is described by Ortony as a radical constructivist position.

The elusive quality of being 'open' in these metaphors can be compared to the abstract concept of (for example) sonata structure. The same three positions, of

⁴⁰ Ortony, 'Metaphor: A Multidisciplinary Problem', p.1-2 and passim.

⁴¹ Rumelhart, 'Some Problems with the Notion of Literal Meanings', p.80; see also Ortony, 'Metaphor: A Multidisciplinary Problem', p.7.

nonconstructivism, constructivism, and radical constructivism, are available for considering the meaning of unusual, deviant usages of that form. A nonconstructivist would make a division between pieces of music which fell firmly inside the category of sonata form (i.e. were 'literal' statements) and those which were deviant examples (i.e. were 'metaphorical' statements). An extreme example of the nonconstructivist tendency would deny that the deviant examples had any relationship to the form, since they constituted a violation of (compositional) rules; perhaps Schenker could be considered to have done this to all those pieces of music which did not confirm to his abstract voice-leading concept⁴². This attitude would correspond to the deprecation of non-literal language by the logical positivist philosophers, in the claim that it was both unimportant and parasitic upon 'correct' usage.

A constructivist would view the second, 'deviant' type of composition as in a creative relationship with a certain formal pattern, and with all the previous pieces where that form is manifested. This is a useful approach for discussing late Romantic and early Modernist works, where the 'anxiety of influence' persuaded composers to move out from a central area of conventionality to explore the further reaches of structural possibility (yet without entirely relinquishing formal conventions)⁴³. Hepokoski's critical approach could be placed within this category, since he recognises various structural practices typical around the turn of the century as 'deformations' of the normative practice of sonata form.

A radical constructivist position, on the other hand, would recognise that formal creativity was a characteristic of *all* composers, including not only the Romantics and Modernists, but also the Classical composers. This critical approach is demonstrated by Cone, who draws a parallel between Stravinsky's subversive use of formal patterns and that of Haydn⁴⁴. All of these composers created new formal patterns out of the previous examples of pieces they had encountered plus the compositional rules of which they were

⁴² For example, Schenker claims that 'My demonstration gives me the right to say that [...] Stravinsky's way of writing is altogether bad, inartistic and unmusical' ('Further consideration of the Urlinie: II', from *The Masterwork in Music*, volume 2, p.17-18.) However, even Schenker stretched the usage of his chosen concept to incorporate deviant usages: see Schenker, *Free Composition (Der freie Satz)*, section 245, 'Incomplete Transference of the Forms of the Fundamental Structure', p.88-89, and the example of Chopin's Prelude op.28 no.2, Ex. I 10 a(3), which lacks an opening tonic.

⁴³ Hepokoski, *Sibelius: Symphony No. 5*, p.5-9.

⁴⁴ Cone, 'The Uses of Convention', p.288-291.

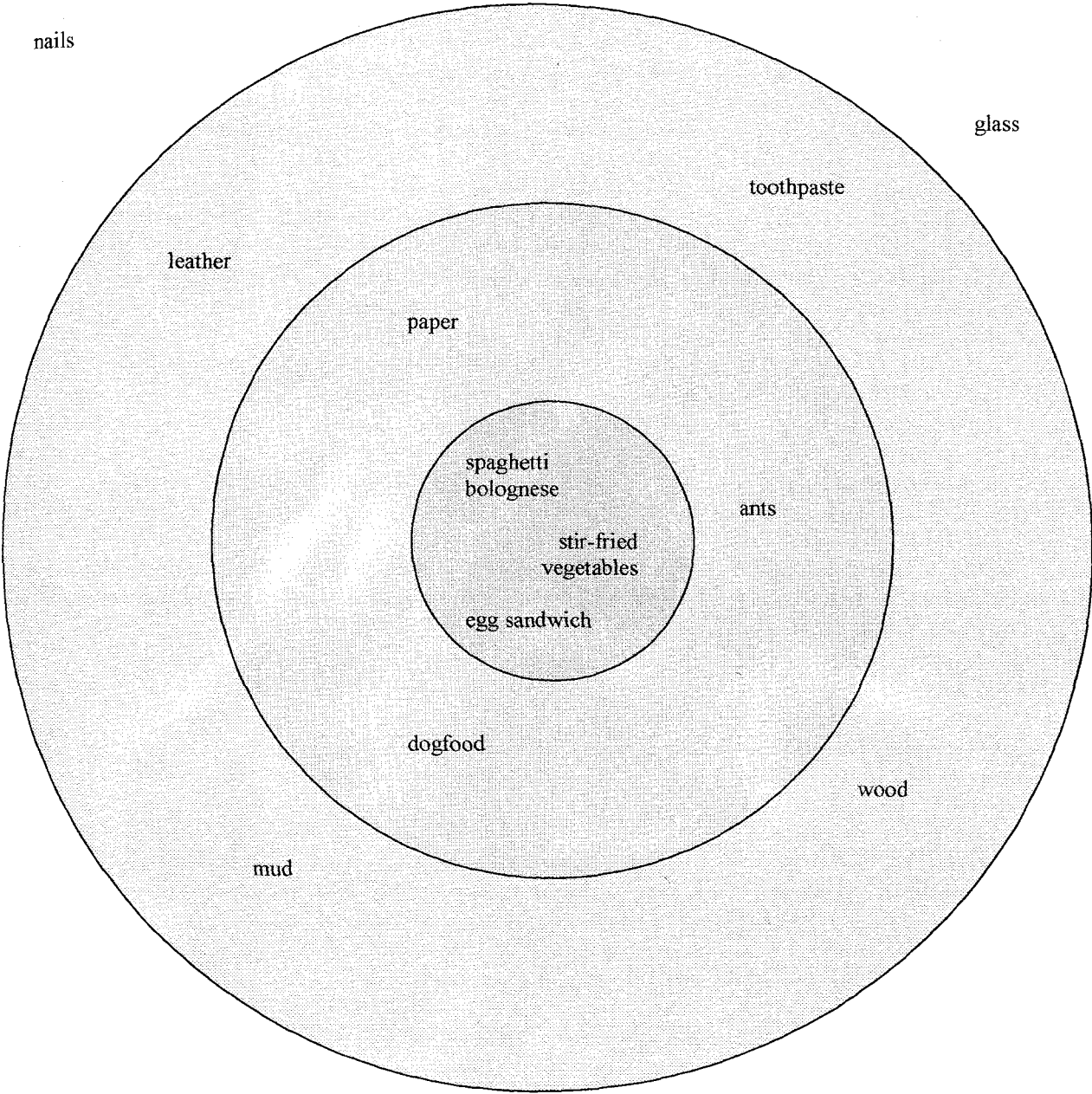
aware. Hence, to a radical constructivist, each newly-written piece is an example of metaphorical extension, in the same way that each use of a word (such as ‘open’) in a new context is an example of this extension. Similarly, the critic or listener encountering any unfamiliar piece of music is engaged in an extension of familiar musical concepts in order to process the new experience; this is true irrespective of the conventionality or unconventionality of the piece of music.

The radical constructivist line is worth further consideration, and can be developed using an example. As a child, having been taught about sonata form whilst practising the first movement of Mozart’s G major Piano Sonata, K.283, and having formed a tentative understanding of the function of these constituent sections, I applied the same scheme of a sonata form to understanding Clementi piano pieces and Brahms symphonic movements and found it worked relatively well. This was judged both by ease of fit, i.e. whether my own explorations proved satisfying, and by the responses of others with whom I shared the findings; these comments proved unremarkable to others, as with the child who says ‘open the window’ as an extension of vocabulary. However, like the child who says ‘open the tap’ as a plausible extension, I was greeted with a quizzical response when I later attempted to apply the scheme to Bach suite movements, and to Varèse’s percussion piece *Ionisation*. I quickly learned that having a tonic recapitulation (in the Bach) and having a pitch structure (in the Varèse)⁴⁵ were important elements in attributing sonata form to a piece, and that describing either of these works as sonatas would be regarded, at best, as quirkily creative, and at worst as plain wrong.

A metaphorical extension may therefore work more or less well on different chosen examples. This can be illustrated in a target pattern, Example 2-2: the closer an example is to the centre of the target pattern, the better it fits the concept being expressed. Within the central bulls-eye area, there is no debate: here, where the concept shown is ‘edibility of food’, all kinds of food are included (even though personal taste may dictate preferences between the foods). In the second circle are semi-edible substances (such as paper, ants, and dogfood), and in the third are barely-edible substances (such as leather, toothpaste, or wood). Outside the edibility target altogether are potentially disastrous choices (such as nails, shards of glass, and Anglican cathedrals). Douglas Hofstadter, on whose article ‘Analogies and Roles in Human and

⁴⁵ Varèse’s *Ionisation* allocates all its thematic material to unpitched percussion instruments. These two examples (by Bach and Varèse) will be considered further below.

Example 2-2: Target diagram for edibility of food



Anglican cathedrals

Machine Thinking' this target pattern is based, uses a food example to show that issues of analogy-making (and hence metaphor-making) are partly a matter of taste - but only partly, since the mechanisms we use to make such metaphors were, evolutionarily, a matter of survival. Another example of a survival-endangering analogy would be one which 'lumps tigers together [as safe animals] with zebras simply because both have stripes'⁴⁶. This would be an analogy which falls outside the target pattern altogether.

Hofstadter contends that people who firmly believe in the 'rightness' of weak analogies 'are not suddenly going to get swallowed by a tiger or topple off a cliff. But ... [they] will still have a rough time in life, because they lack the means to size up a situation and catch its essence in their mind's mesh, letting the trivial pass through'. He compares the situation to a courtroom where, although there is room for some debate about legal precedents to the case, 'a lawyer who suggested that killing a human being is analogous to breaking a window because both are nasty or because both can be done with a brick would lose the case in a snap'⁴⁷. There is a similar consent of common sense, and a similar degree of leeway, within musicological argument.

A target of 'sonata-form suitability' might look like Example 2-3⁴⁸. Within the central circle must be placed the Viennese school, on whose works the theory of form was originally based⁴⁹. Within this group there is room for some debate: someone who

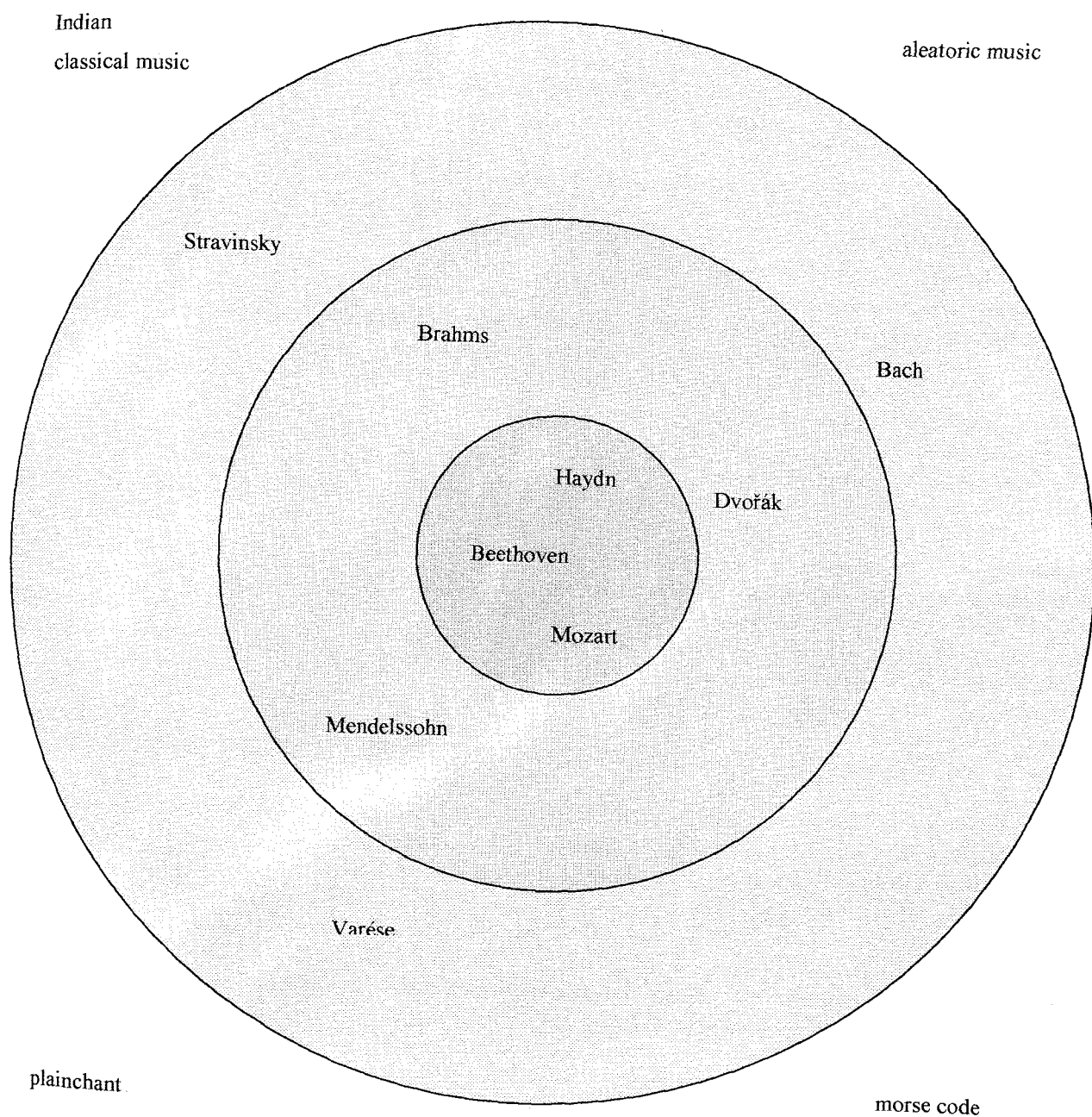
⁴⁶ Hofstadter, 'Analogies and Roles in Human and Machine Thinking', p.577-8.

⁴⁷ Hofstadter, 'Analogies and Roles in Human and Machine Thinking', p.577.

⁴⁸ It is no coincidence that this progression from the centre of the target out to the periphery follows approximately the pattern of the history of western art music. In this sense the target is an illustration of the process of 'disinhibition' identified by Dahlhaus, who remarks 'It is as though the overpowering presence of the [C]lassical legacy gradually depleted the centre of the formal inheritance and forced composers to seek novelty in the outskirts' (Dahlhaus, *Nineteenth-Century Music*, p.25; see also wider discussion on p.24-26). I have for the sake of generalisation left out from the illustration such composers as might fall on the dividing line between two areas of the target (such as Schubert, or Mahler).

⁴⁹ In fact theorists of form have invariably based their speculations on the works of Beethoven, as Carl Dahlhaus has noted: 'Analysis and hermeneutics [...] arose in music history [...] simultaneously as opposite ways of unraveling the difficulties posed by the reception of Beethoven. It is no coincidence that virtually all analytic methods of the nineteenth and twentieth centuries, from Adolf Bernhard Marx's to Hugo Riemann's, from Heinrich Schenker's to Rudolf Réti's, took their examples primarily from Beethoven' (Dahlhaus, *Nineteenth-Century Music*, p.11). This is not to ignore the many instances of creativity on the part of Classical composers, nor to deny the fact that sonata-form composers of the later nineteenth century may often be more *thematically* (rather than tonally) conventional.

Example 2-3: Target diagram of suitability for sonata-form analysis



held Beethoven to be an ideal of form, for example, could argue that Haydn’s monothematic sonata movements, and Mozart’s copious flow of thematic materials, placed them slightly further out from the centre. Such issues rely on the subtleties of canonic discourses. But clearly all three composers, Beethoven, Haydn and Mozart, belong to what in Hofstadter’s food analogy would be the central ‘nutritious and delicious’ category: just as (Hofstadter claims) it is ‘hard to say whether having a fried egg sandwich or a plate of spaghetti is better for you’⁵⁰, any debate about the relative conformity of these three composers (and possibly others) would be unproductive.

In the second category of metaphorical digestibility could be placed the music of Brahms and Dvorak (for example), who stretch the concept of sonata form in aspects of its structure⁵¹. For example, in Brahms’s Fourth Symphony, first movement, the passage from bar 137 apes the retransition of an exposition repeat’s first-time-bar, but proves with hindsight to have been a transition into the development section which begins in the tonic key (bar 145). Hence the exposition leads back to the tonic, rather than closing in the dominant or other contrasting key - thereby confounding the notion of key dialecticism which is usually established in a sonata-form exposition.

Keys:	Tonic	Second subject	Recapitulation of second subject
Normative sonata pattern (compare major key:	E minor <i>E major</i>	G major <i>B major</i>	E minor (or E major) <i>E major</i>)
Brahms Fourth Symphony, first movement	E minor	B minor to E minor	(E minor)
Dvorak Ninth Symphony, first movement	E minor	G minor (or G major)	G# minor and Ab major

Similarly, Dvorak’s Ninth Symphony, first movement (also in E minor) includes a false second subject group in the key of G minor (bar 91) - another strange reading of the

⁵⁰ Hofstadter, ‘Analogies and Roles in Human and Machine Thinking’, p.578.

⁵¹ Within this section I am referring to relative conformity and non-conformity only in relation to the rest of the *symphonic* repertory. I recognise that the chamber and solo sonata repertories are often the vehicles for the classical composer’s most radical innovations in the Classical period, and that examples could be multiplied of such instances of unusual gesture within, for instance, Haydn’s keyboard sonatas and Beethoven’s late string quartets.

normal modulatory pattern for a minor movement, since the music goes to the expected key of III but then similarly adds a minor modality⁵². The more expected key of G major arrives at bar 149 with a further thematic group, the true second subject group. However, instead of using the tonic keys E minor and E major respectively for these groups in the recapitulation, Dvorak prefers G# minor and Ab major (bar 312 and bar 370), corrected to E minor at the coda (bar 396)⁵³. Evidently, these features are fairly 'digestible' in terms of sonata form, but not quite what a standard plan would predict. Hence each example constitutes a genuinely, if mildly, deviant reading of sonata form.

In the types of music within the third category, the concept of the *Formenlehre* sonata is stretched to its limit. Many of the composers of the early twentieth century fall into this category in their attempts to create a contemporary response to traditional large-scale structures, since their music 'may deliberately defeat the expectations aroused by the specific pattern followed'⁵⁴. Edward Cone has given a good account of this process in Stravinsky's *Symphony in C* (1938-40), first movement, where 'the traditional model here is clearly the sonata form' - yet 'any expectation of a work easily comprehensible in a comfortably familiar idiom is defeated'⁵⁵ by numerous musical parameters. For instance, the persistence of the note B, and its tendency to act as a dominant (instead of a leading note) disrupts the harmonic processes and subverts cadential points, by setting up an axis with the note E and hence undermining the tonic⁵⁶. Furthermore the phrase structure tends to float in ostinato patterns which negate the sense of a thematic group (for example in the first subject area, approximately bar 1 (or bar 26) to bar 52 (or bar 59)⁵⁷) - another significant factor impeding the effort to process a movement as a sonata pattern.

⁵² Although a dominant pedal underneath bars 91-98 provokes a scepticism that the second subject group has truly arrived yet.

⁵³ Perhaps this constitutes a form of large-scale *tierce de picardie*: from G minor/major in the exposition to G# minor/major in the recapitulation (where one would sometimes find E major, with its sharp third).

⁵⁴ Cone, 'The Uses of Convention', p.287.

⁵⁵ Cone, 'The Uses of Convention', p.291.

⁵⁶ See Cone, 'The Uses of Convention', p.292.

⁵⁷ Cone counts bars 1-25 as an introduction, but includes bars 53-59 as part of the first subject ('The Uses of Convention', p.293), whilst I would prefer the new section beginning at bar 53 to be seen as the beginning of the transition.

Other pieces might be placed within this third circle, though arguably slightly further out from the centre. Varèse’s *Ionisation* for Percussion Ensemble of 13 Players has no harmonic or tonal scheme at all, since it is scored for unpitched percussion instruments (as far as the coda, where note clusters are introduced). Nicholas Slonimsky’s prefatory analysis to this piece describes it in terms of first and second subject, codetta, development section, return of thematic material, and coda⁵⁸, and although he does not use the term ‘sonata form’ explicitly, it is clearly the source for the arrangement of materials in his analysis. The piece appears paradoxically more regular, in its succession of ‘thematic’ materials, for its lack of harmonic contradiction of the norm.

	In favour of sonata interpretation	Against sonata interpretation
Stravinsky <i>Symphony in C</i>	Generic expectatations; sonata-type motivic behaviour	Harmonic disruption; no phrase structure
Varèse <i>Ionisation</i>	Familiar thematic arrangement	No pitch structure
Bach ‘Badinerie’ from Suite No. 2 in B minor for flute and strings	Binary scheme with I-V and V-I motions; first and second ‘subjects’	No tonic recapitulation of initial material

Bach (representing various composers of late-Baroque music) is the odd one out in this group historically, but might be thought to belong here, since the binary form of some of his suite movements, for example, has certain features in common with a sonata-form pattern. These features include the tonic-dominant relation in the first half, the return from dominant to tonic in the second half, and the recurrence of the same sequence of thematic material in each half. Thus (despite lacking the crucial defining tonic recapitulation) his music can give the illusory appearance of being in a relationship with sonata-form procedures⁵⁹ - whereas, of course, since these procedures post-date the music, the reverse is actually true.

⁵⁸ Score of Varèse, *Ionisation* (New York: Colfranc, 1967), p.7.

⁵⁹ Charles Rosen discusses this special relationship in his *Sonata Forms*, p.16-27 and p.28-35. He points out that in binary forms, whilst the thematic material is deployed AB|AB, the harmonic scheme is AB|BA (p.22), which is what deprives the movement of a tonic recapitulation.

Outside the target area (corresponding to ‘completely inedible’ substances) fall types of music - or sound patterns - where sonata form is simply an irrelevant concept. The music has broken free of the traditional concepts invoked by *Formenlehre*, or was never in a relationship with them. Nothing is to be gained by relating such music to this body of ideas, and vastly different concepts must be invoked in order to understand it. This is true of late-twentieth century art music which rejects the sonata ideal; European music of the distant past; the music of other societies where these models are not culturally relevant; the uses of sound which are not intended as music; and in fact the vast majority of possible sonic behaviour.

Sibelius, though slightly more in dialogue with the sonata ideal than either Varese or Bach, falls like these composers into the third category of the target pattern shown above, writing ‘barely edible’ sonata patterns. Like Stravinsky, he often produces tonal schemes which are distinctly more deviant than those in the second category of pieces above. For example, the first movement of his Third Symphony also has a preoccupation with the scale degree VII (minor), choosing B minor for the key of the second subject; logically enough, the second subject is recapitulated a perfect fifth lower, on III (minor) (although still over a VII pedal point), before the music makes its way back to the tonic. Whilst the misreadings of the sonata key scheme in Brahms and Dvorak are subtle, those in Stravinsky and Sibelius are radical.

	Tonic	Second subject	Recapitulation of second subject
Normative sonata pattern	C major	G major	C major
Sibelius Third Symphony, first movement	C major	B minor	E minor (over B pedal point)

Additionally, Sibelius’s symphonic movements are constituted from sections (and themes) of highly ambiguous function, making it difficult to attribute an overall scheme to many of them despite obvious parallels with *Formenlehre* principles. The second movement of his Fourth Symphony provides a simple example of this, since it possesses an apparent scherzo (opening) and contrasting trio (letter K), without, however, a convincing repeat of the scherzo⁶⁰. These critiques of both the tonal and formal processes

⁶⁰ See also Kujawsky, *Double-Perspective Movements*, p.9-10. Kujawsky considers the last four bars to form a return of the scherzo. Christopher Ballantine, in *Twentieth Century Symphony*, p.91-92, points out

in Sibelius are certainly true of the Fifth Symphony, first movement, as will be elaborated upon in the latter part of this chapter. Sibelius's music, then, occupies a middle position where *Formenlehre* models are not entirely irrelevant, but yet not directly relevant either.

The position taken in this discussion is therefore part-way between the constructivist position (where certain works obey a norm and other 'deviant' works have a metaphorical relationship with that norm) and the radical constructivist position (where all works have a metaphorical relationship with the norm). Although closer to the latter, it also takes into account the 'target' model of analogy-making, so that a closer or more distant metaphorical relationship will obtain. It might be described as a 'graduated' constructivist position since works are arranged in a diminishing sequence as they have a stronger or weaker relationship with a norm.

Learning through metaphor: assimilation and cancellation

Given that Sibelius and similar composers occupy a position so far out from the centre of the *Formenlehre* 'target', why bother to invoke these ideas of form at all to understand them? Since procedures of analogy- and metaphor-making are so important to our evolutionary past, as methods of choosing foods and methods of self-defence, they still form powerful and reliable methods of learning in our conceptually-based present. This is shown by educational theory, where metaphor-making has received some attention.

The educational psychologist David Ausubel developed a theory of learning which he called *assimilation*⁶¹. Following a principle that 'the most important single factor influencing learning is what the learner already knows'⁶², he argued that a new idea, labelled *a*, is effectively learned when it is related to and assimilated by an established idea *A* in the learner's cognitive structure. This interaction gives rise to a product, *A'a'*, where both initial ideas (*A* and *a*) are modified and connected. The advantage of such a method of learning is that the new idea becomes 'anchored' to a

that the slow movement of Nielsen's Fourth Symphony (*The Inextinguishable*), and the finale of Honegger's *Symphonie Liturgique*, are amongst those symphonic movements which omit recapitulation altogether from a sonata structure.

⁶¹ Ausubel, *Educational Psychology*, p.89-104.

⁶² Ausubel, *Educational Psychology*, p.vi.

modified form of a highly stable idea in the learner's mind, and vicariously shares its stability⁶³. Anthony Hardwicke has argued that this process of assimilation is comparable to that of making a model or metaphor, since in each a familiar idea is extended to an unfamiliar example in order to gain insight into the latter⁶⁴.

In this scheme, sonata form is the anchoring concept *A* and a Sibelius symphony movement is the new idea *a*. The interaction of the two elements produces a new insight, in the form *A'a'*, which leads to a greater understanding of not only the piece of music but also the abstract formal principle. The beauty of this method of working is that it casts new light on sonata form in general, since to apply the latter's formal principles in an unfamiliar context leads to greater awareness of what is necessary to fulfil its strictures; even if the attempt to get the principles to fit the music is a failure, the points of failure illuminate what is normally required to succeed. Alternatively, such an experience may extend or loosen our definition of what truly constitutes sonata form. Similarly we gain an understanding of the music: at those points where the music matches the formal scheme uncomfortably, if at all, we learn interesting things about it. A contrasting example would be the attempt to apply Schenkerian method to Sibelian textures: part of the difficulty is due to Sibelius's typical extended pedal notes, which persist under many changes of harmony, and other uses of 'multiple bass lines' which confound the attempt to choose between them⁶⁵. This shows up a distinctive Sibelian compositional technique; at the same time it makes us aware of a normal demand of Schenkerian theory, that one needs a coherent single bass line in order to portray the middle-ground counterpoint.

Whilst applying a partially 'inappropriate' scheme to a piece of music might be thought to distort the music (or the method), in fact one of the tenets of Ausubel's educational theory is that the compound product *A'a'* can be dissociated back into its constituent elements, if the learning experience has been properly understood⁶⁶. This means that one could preserve a clear idea of the nature of the Sibelius movement under consideration, as well as the principles of *Formenlehre* (or any other method), even as one brings them into contact with each other. Similarly, the new idea *a* in Ausubel's

⁶³ Ausubel, *Educational Psychology*, p.92.

⁶⁴ Hardwicke, 'Using Molecular Models to teach Chemistry', part 2, p.47-48.

⁶⁵ See Murtomäki, *Symphonic Unity*, p.144-145: 'Often it can be difficult to decide which of the two basses, the one in the timpani or the one in the double bass, is more 'important', more essential' (p.145).

⁶⁶ Ausubel, *Educational Psychology*, p.93.

theory is not restricted to being understood only in the context of *A*: indeed a stronger learning experience takes place when *a* is connected to other anchoring ideas *B*, *C*, and *D* as well⁶⁷. So, for example, greater understanding might be achieved by placing a Sibelius symphony movement in dialogue with several different formal models (in the case of the Fifth Symphony these include a sonata, a strophic song, and even a toccata⁶⁸) - and also with several different analytical methods, as most writers do naturally.

How do we extend an idea like sonata form to a piece like Sibelius or Varèse where several of its requirements are blatantly denied? The theory of metaphorical cancellation explains how such a process can be effortlessly achieved. Taking an approach toward metaphor which is broadly non-constructivist, in contrast to the theories developed above, Jonathan Cohen suggests that metaphorical speech is part of a category invoking the ‘cancellation’ of one or more qualities of a description⁶⁹. For example the difference between the pair of sentences ‘A lion eats ten pounds of meat a day’ and ‘A stone lion needs no feeding’, the feature ‘+ANIMATE’, which we would assume to be one of the qualities of a lion, is naturally present in the first sentence, but cancelled (by the word ‘stone’) in the second. The alternative to this approach, as Cohen points out, is the multiplication of lexical entries, where we have ‘lion-1’ (a real lion) and ‘lion-2’ (a replica of a lion). Unfortunately in the latter approach the multiplication of lexical entries must be extended to every single noun, since we can have ‘china dog’, ‘toy car’ (in which ‘+SIZE’ and ‘+FUNCTION’ are cancelled) and so on for every possible noun. It is impossible to anticipate lexically which aspects will be cancelled in such utterances as ‘Their legislative program is a rocket to the moon’⁷⁰; for this reason Cohen strongly prefers the method of cancellation to that of multiplication, since it allows for a process which may cancel almost any given literal attribute of a description.

In applying a formal pattern to an early Modernist work of music, almost any feature of the form may be subject to cancellation; this is part of the creativity of the

⁶⁷ Ausubel, *Educational Psychology*, p.95.

⁶⁸ Sonata: Layton, *Sibelius*, p.50 (and others); strophic variation: Hepokoski, *Sibelius: Symphony No. 5*, p.25-26; toccata: Parmet, *The Symphonies of Sibelius*, p.71. The last of these, the toccata, is never explained by the author and the points of contact he saw with this form remain a mystery. See further discussion in section 2.4.

⁶⁹ Cohen, ‘The Semantics of Metaphor’, p.64-77.

⁷⁰ Cohen, ‘The Semantics of Metaphor’, p.68.

period. (This is a more assertive approach to mandating *Formenlehre* structures since, rather than accepting that they do not fit in certain respects, we ‘cancel’ those respects consciously in order to make a new sense of the form which the music does fit.) So in Varèse’s *Ionisation* for percussion ensemble, where a literal reading of sonata form would include the feature ‘+PITCH STRUCTURE’, we manufacture a new, secondary, sense of sonata form in which pitch structure is cancelled. Just as ‘animate’ is a fairly central quality to being a lion, so pitch structure is a fundamental part of normal sonata form practices. And so just as a stone lion has all the appearance of a real lion but is made of stone, so in this piece Varèse’s thematic scheme, formal balance, and so on, have all the superficial appearance of a fairly normal sonata form⁷¹, with the difference that the thematic material is carried by unpitched percussion instruments. (One might almost suggest, conflating the two metaphors, that in Varèse’s piece sonata form has been ‘turned to stone’.) Hence Cohen establishes a secondary category for items subject to cancellation of one or more aspects of the category to which they claim to belong.

In Sibelius’s Fifth Symphony, first movement, many subtle aspects of formal procedure have to be cancelled in order to gain formal insights (and these will be seen when the analytical writings are examined below). Understanding this portion of music as containing the semblance of two combined movements necessitates cancelling the feature of ‘+CLOSURE BETWEEN MOVEMENTS’ as a normal feature of beginning a scherzo. Conversely, one notable feature cancelled in applying a sonata pattern to the whole movement is ‘+SYMMETRICAL RECAPITULATION’, where the recapitulation is expected to be of a comparable manner, and scope, to the exposition. Accepting a contrasting scherzo-type passage of greater length and different tempo, time signature, orchestration, thematic presentation, and so on, involves the explicit (or implicit) cancellation of this feature of recapitulatory symmetry which is normally taken for granted. This acceptance is made easier by familiarity with other pieces of music which also employ the substitution of a new movement in the place of a sonata-form section - for example Liszt’s B minor Piano Sonata, or Schoenberg’s Chamber Symphony op.9⁷². Such familiarity enables these

⁷¹ albeit with a foreshortened recapitulation: compare bars 70-72 to the first subject at bar 9, and bar 73 to the second subject at bar 44. (The exposition occupies bar 56, and the coda at bar 75.) Such a procedure is not unusual at this time (1931): compare Walton’s First Symphony (1931-35), first movement, where the first subject lasts 98 bars in the exposition, and 36 bars in the recapitulation (beginning at figure 33). See Ballantine, *Twentieth Century Symphony*, p.91-93 for further examples and contextualisation.

⁷² See Kujawsky, *Double-Perspective Movements*, p.25-51, for a discussion of the evolution of this procedure. The process of substituting contrasting sections or ‘movements’ for expected formal sections is

features to be cancelled without much effort - in the same way, perhaps, as a person who worked in a factory manufacturing stone lions would tend to have a more flexible expectation of the word 'lion'. Of course, one can still recognise a genuine lion - or a textbook sonata form - but is willing to exercise the faculty of cancellation in order to interpret the immediate environment.

Avoiding victimisation by metaphor

There are dangers, of course, in applying a particular scheme to a piece with which it does not easily fit, notably that of laying ourselves open to the dangers of *presumption* of conventional processes. One, rather conservative, line of defence in the present case might be to point out that Sibelius reacted with annoyance when he was said to have 'abandoned' sonata form in the Fifth Symphony⁷³. The tenuous relationship which such music still maintains with such patterns, notwithstanding the distance between it and conventional formal behaviour - these might be mediated by recourse to the 'graduated constructivist' position on form outlined above.

However, the theory of metaphor itself argues against the suggestion that to invoke a comparison is necessarily to presume that it is relevant in all its aspects. In this theory, there is a distinction between making a metaphor, and being 'victimised' by it - that is, between using an analogy for illustrative/explanatory purposes, and mistaking the analogy for literal truth. This distinction between metaphor and mistake is what concerns Colin Murray Turbayne in his book *The Myth of Metaphor*. Turbayne's ultimate concern is to debunk the view of the universe as mechanistic, and hence his principal subjects are Descartes and Newton; he shows how, having proposed that the universe was *somewhat like* a machine, these scientists gradually came to believe that it was one, with disastrous results to science and understanding. In order to attack his chosen victims, however, Turbayne is forced to develop some sophisticated theory which has more general application.

also related to the Phantasy principle which flourished in the same period, especially in Britain. There it is the development section which is replaced by a slow movement and possibly also a scherzando, before some kind of return is made to the characteristics of the first part of the movement. See Anthony Pople, 'Vaughan Williams, Tallis, and the Phantasy Principle', in *Vaughan Williams Studies*, ed. Alain Frogley (Cambridge: Cambridge University Press, 1996), p.48-49.

⁷³ Reported by Erik Furuholm, quoted in Parmet, *The Symphonies of Sibelius*, p.68.

According to Aristotle, ‘metaphor (*meta-phora*) consists in giving the thing a name that belongs to something else’⁷⁴, hence, Turbayne notes, however appropriate in one sense a good metaphor may be, in another sense there is something inappropriate about it. Since, as he puts it, ‘after the disguise or mask has been worn for a considerable time it tends to blend with the face, and it becomes extremely difficult to “see through it”’⁷⁵, in this process confusion can arise from the inappropriate aspects of the metaphor, which tend to become part of the description of the thing along with the appropriate aspects. Turbayne argues that it is ‘not necessarily a confusion’ to describe things using terms which are only partially relevant⁷⁶. It is, however, a confusion to do so *without awareness* that we are in fact making a metaphor, rather than offering a straightforward description. If we lose this awareness, we have become ‘victimised by metaphor’⁷⁷.

Turbayne argues that metaphors do not have to be verbal devices. He feels that Aristotle’s definition, as given above, ‘is still not wide enough. Some cases of metaphor may not be expressed in words. [...] I interpret his “name” to mean a sign or a collection of signs. This will allow artists who “speak” in paint or clay to “speak” in metaphor’⁷⁸. He also includes other examples, such as the concrete physical models of applied scientists, the raised eyebrow of an actor, and the blackboard diagrams of teachers, as part of the class of viable metaphors. Clearly, then, an artist who ‘speaks’ in musical notes or sounds, or a writer who ‘speaks’ in diagrams or abstract principles, is admitted to the coterie of those who can ‘speak’ in metaphor. This strengthens the position of seeing Sibelius, and his critics, as engaged in a process of metaphorical communication. At the moment that they claim that the music definitively ‘is’, or ‘is in fact’ a sonata form or a section of it, such writers have fallen prey to being victimised by the metaphor - it is using them, rather than being used by them.

Returning to the warning in Hepokoski’s statement, presented at the head of this chapter, it is evidently this possibility of becoming victimised by metaphor - of claiming that Sibelius’s pieces of music ‘are’ sonatas, when they are not - which causes him to urge that ‘we should not try to take their measure with the obsolete “sonata” gauge, as is

⁷⁴ Aristotle, *Poetics*, 1457; quoted in Turbayne, *The Myth of Metaphor*, p.11.

⁷⁵ Turbayne, *The Myth of Metaphor*, p.4.

⁷⁶ Turbayne, *The Myth of Metaphor*, p.4.

⁷⁷ Turbayne, *The Myth of Metaphor*, p.5.

⁷⁸ Turbayne, *The Myth of Metaphor*, p.12-13.

often attempted [...] These structures cannot be said to “be” sonatas in any strict sense’⁷⁹. Arriving where he did in the line of Sibelius scholarship, Hepokoski must have been all too aware that it is possible to be deluded, by a surface similarity to a form, into making more literal claims than truly serve the purpose of description.

Yet Hepokoski himself does indulge cautiously in sonata-form analogies, on a similar metaphorical basis to that recommended here. He feels this is justified because

as part of the perceptual framework within which they ask to be understood, [many modern works] do depend on the listener’s prior knowledge of the *Formenlehre* ‘sonata’. A significant part of their content, that is, is in dialogue with the generic expectations of the sonata, even when some of the most important features of those expectations are not realized⁸⁰.

His own references to the sonata and other *Formenlehre* structures manage to escape the danger of over-literality, since he is always careful to claim that these pieces are *like* certain forms, not that they *are* them. He also makes liberal use of inverted commas around such key terms as ‘first movement’, ‘scherzo’, and ‘recapitulatory space’, in order to diffuse them: this is particularly in evidence during the principal analytical section of his book, chapter five⁸¹. His language is a reflection of his analytical approach: Hepokoski’s primary method of description is that of the rotational principle (introduced in section 2.2), which quasi-neutral model⁸² is only subsequently combined with a careful metaphorical approach to the music. The latter is supported by his view that

⁷⁹ Hepokoski, *Sibelius: Symphony No. 5*, p.5.

⁸⁰ Hepokoski, *Sibelius: Symphony No. 5*, p.5.

⁸¹ Hepokoski, *Sibelius: Symphony No. 5*, chapter five, ‘Musical Process and Architecture’, p.58-84.

Christopher Ballantine, similarly, uses inverted commas around ‘first subject’, ‘second subject’, and ‘scherzo’ (Ballantine, ‘A Revaluation of Sibelius’s Symphonies’, p.171-174). His belief is that the first movement of the Fifth Symphony predominantly moves like ‘a series of waves’, so that in the course of Sibelius’s oeuvre ‘gradually sonata form is superseded’ (p.171, p.140). (Though this might be thought to be a function of a post-modernist approach in writing, it is really not far distant from Tovey’s sceptical approach to the sonata form, discussed in more detail in section 2.4 below.)

⁸² Hepokoski also toys with the idea of presenting Sibelius’s output in terms of ‘content-based forms’ or ‘fantasias’, basing this entirely neutral level of understanding on certain comments in Sibelius’s own diary entries (Hepokoski, *Symphony No. 5*, p.21-23). However, to thus jettison formal reference altogether would

analytical traps arise when we insist on processing the [Fifth Symphony, first] movement *primarily* on the basis of what we have come to expect from textbook sonata patterns [...] Observing - *secondarily* - its dialogue with [these patterns] goes a long way to eliminating these problems⁸³.

Hepokoski thus avoids getting victimised by the model of sonata and other forms⁸⁴, since through both his language and his analysis he maintains a clear awareness that he is only making a metaphor, and not giving a literal description of the music.

Evidently, then, it is at least possible for writers to achieve a level of sophistication whereby they can make use of formal structures in the analysis of Sibelius, without making fundamentalist claims which are inappropriate to the music. However, the balanced approach of such writers as Hepokoski is, in this literature, founded on the insights of a range of writers who each espoused their own analytical claim without being able to keep their metaphorical distance. It is when considered as a group that these latter texts reveal their relevance to the current theory, as partial, metaphorical, grasps on the subject of the Fifth Symphony.

2.5 The analysts

Introduction to the analytical writings

In this section, a selection of the earlier analytical writings on Sibelius's Fifth Symphony receive closer examination. This examination is intended to serve three purposes: firstly, to develop the theory of metaphorical plurality which has been laid out

seem less than helpful, so he settles on the model of rotational structure as a comfortable middle-point between neutrality and over-analogising.

⁸³ Hepokoski, *Sibelius: Symphony No. 5*, p. 61-62, emphasis added.

⁸⁴ Hepokoski's approach to understanding sonata-type behaviour in this music would be viewed by Cohen as the method of multiplication (as compared to the latter's chosen method of cancellation), described in the text above. His analytical models are certain 'familiar, 'post-sonata' generic subtypes that have undergone, in various combinations, the effects of differing deformational procedures' - hence, Hepokoski clones off a set of 'subtypes' which are one stage away from being genuine sonata forms. This works, however, since he creates groups of works rather than an infinite number of individual patterns.

in the previous section; secondly, to illustrate more fully the comments on these analytical writers made in section 2.2 above, and thirdly, to prepare the performance-analytical investigation which is to follow in Chapter Three, so that the reader may be aware of the structural issues which are likely to arise in examining performances.

For these purposes I have restricted myself primarily to those analyses of a ‘formal’ nature, that is, those which consider the music in terms of its constituent sections and thematic materials. These analyses are primarily those which derive from the distinct period of between 1935 and 1965 - marked off by the appearance of the first two pivotal writings on the symphonies at the beginning, and the Sibelius centenary (and consequent appearance of two other pivotal writings) at the end. I have included other writers, particularly Howell and Hepokoski⁸⁵, where their method of operation and conclusions are similar to the others’ and relevant to the issue. Other types of analysis could well be considered, but this type of approach has been chosen because of the particular study undertaken in the earlier part of the chapter (i.e. of ‘outmoded’ analytical/critical writings), because of its prevalence in analysing Sibelius symphonies, and because such a method of analysis has circulated well amongst the musical community (as will be demonstrated below in section 3.6, on programme notes). In contrast, the later interest in Schenkerian analysis of Sibelius’s music, for example, is still a limited, specialist preserve⁸⁶, and for this reason formal analysis is more suited to an investigation of the influence between analytical and performative manifestations in this repertory. In practice the latter approach is so widespread that few significant analytical writings on Sibelius have had to be excluded as a result of this decision⁸⁷.

⁸⁵ Howell, *Jean Sibelius: Progressive Techniques* (from 1985) and Hepokoski, *Sibelius: Symphony No. 5* (from 1993).

⁸⁶ The principal practitioner of Schenkerian analysis in the field of Sibelius studies is Veijo Murtomäki, reflecting his interest in ‘the continuity of thought’ in the music (Murtomäki, *Symphonic Unity*, p.145). Despite this approach, the author still makes use of sectional division labels, which are used to mark off sections of his middleground analysis (p.174), which serve as headings for his discussion (p.154-174) and which are summarised in a table (p.153). Daniel Grimley also uses voice-leading analysis in his paper ‘Lemminkäinen and the Maidens of Saari, Op.22/1: Acculturation, Italy and the Midsummer Night’ (in *Sibelius Forum*, ed. Murtomäki et al, p.197-207), though without managing to avoid various neo-Schenkerian problems such as the non-hierarchical prolongation of special sonorities (see Ex. 3 cf. Ex 4, p.202).

⁸⁷ Lionel Pike’s monograph *Beethoven, Sibelius and ‘the Profound Logic* belongs to this tradition of ‘formal analysis’, insofar as he includes chapters on thematic, tonal, rhythmic, and contrapuntal tendencies (the discussion of the Fifth Symphony focusses on its rhythm). Within a work of this kind it is surprising

The analytical writings chosen for investigation here are seven in number, and are the most prominent and substantial writings, on the subject of Sibelius's musical procedures, to achieve circulation in Britain in the early- and mid-twentieth century. They thus constitute a reception study, focussed on the British musical community which so valued Sibelius's compositions during this period. Cecil Gray's ground-breaking booklet *Sibelius: The Symphonies* appeared in 1935 in the 'Musical Pilgrim' series, and provided an analytical complement to his earlier (1931) monograph *Sibelius* which was more concerned with biographical and style-critical matters⁸⁸. Tovey's essay on the Fifth Symphony, like his essay on the Third Symphony, was also published in 1935 as part of the second volume of *Essays in Musical Analysis* – although it could have been written at any point in the preceding 16 years⁸⁹. The next to appear was Rosa Newmarch's volume

that he manages to circumvent the issues of movement division and sectional attribution almost entirely. His approach is to demonstrate unity across division, using primarily Reti-like motivic fragments which make links between movements and even between symphonies (see, for example, p.21-22 on Beethoven's Fourth and Fifth Symphonies), so that actual movement divisions are incidental to his scheme. In a paragraph in his final chapter he gives a summary of this practice in the oeuvre of Sibelius, noting that the Fifth Symphony 'creates an arch shape in which the three separate sections are made to hang together by the rather unexpectedly abrupt endings of the first two "movements"', and that the resulting unity reached its culmination in the one-movement Seventh Symphony (p.214-215). This approach shows itself to be comfortable with the ambiguity established by this point in the analytical tradition, without feeling the need to contribute to it further.

⁸⁸ Gray begins the preface of his 1935 work as follows: 'In a recent monograph on Sibelius the present writer, partly for reasons of space, partly because of the absence of musical illustrations, was unable to do more than give a highly generalized survey of the symphonies, with only short and necessarily inadequate descriptions of each of them individually. Since that book was published, in 1931, these works have gradually established themselves in the repertory of every important orchestra in the English-speaking world, and in view of this development it was felt that there existed a definite need for a booklet of this kind, amply provided with musical examples, which would deal with each individual symphony in a manner more analytical and expository than critical or appreciative, as in the earlier book' (Gray, *Sibelius: The Symphonies*, p.3). This statement reveals that the analytical publications which sparked a new phase in the understanding of Sibelius were themselves the result of other factors at work in the early 1930s, and hence are part of the web of influences. It is no coincidence that these books of Gray's appear at roughly the same time as the premiere recordings of Sibelius's symphonies: see section 3.2.1.

⁸⁹ Tovey's *Essays* were originally written as programme notes for the concerts of the Reid Orchestra, which by the time of publication in 1935 had been playing together for 18 years (Tovey, Preface to *Essays in Musical Analysis*, vol. II, p. xi). Hence the essay on Sibelius's Fifth Symphony must post-date 1919, the year of the work itself, and would presumably be concurrent with the Reid Orchestra's first performance of that work. More chronological information could perhaps be discovered through detailed research in

Jean Sibelius: A Short Story of a Long Friendship, published in 1939 in the USA and 1944 in England, whose second half consists of a loosely analytical account of ‘The Seven Symphonies’. The volume *Sibelius: A Symposium*, edited by Gerald Abraham, appeared in 1947 and contained an essay on ‘The Symphonies’ by the editor. Next came Simon Parmet’s monograph which appeared in English in 1959, though it had already appeared in Swedish and Finnish in 1955. The final two writings in the set both appeared in 1965: Robert Simpson’s booklet *Sibelius and Nielsen* was explicitly intended as a centenary essay to supplement the BBC celebratory concerts in that year, whilst Robert Layton’s monograph in the *Master Musicians* series (which proclaims itself ‘the first study of Sibelius by an English writer since Gerald Abraham’s symposium published shortly after the war’⁹⁰) also has a BBC connection in that the author was currently in charge of music talks for the Third Programme.

Each of these writings is part of a network of reception which not only links each analytical account to the next – so that one account can incorporate or reject the ideas of its predecessors – but also links together performances, critical writings, ideological fashion and so forth, considered both as inputs to these writings and also as sites of reception for them. Such aspects are given fuller consideration elsewhere and need not be covered in detail here⁹¹; the point of the current section is to examine the content of these analytical writings, in order to grasp the full spectrum of formal possibilities for understanding the symphonic movement. Such a process has been begun in brief by James Hepokoski, at the beginning of his article ‘Structural Tensions in Sibelius’s Fifth Symphony’, where he gives a short summary of structural issues that have been raised in the literature. There, however, it is problematised in order to subvert the discussion into his own historicising narrative: ‘The question to be asked of all these analyses, of course,’ says Hepokoski, ‘is: once we have finished with our labelling, what have we gained?’⁹². In contrast, I would suggest that there is much to be gained by examining these analyses in detail, both from the point of view of understanding the symphony, and

Edinburgh libraries, but would be outside the scope of this thesis. The reception of the published material is more significant than its conception, if one is focussing on the role of the 1930s in bringing Sibelius to a broader audience.

⁹⁰ Layton, *Sibelius*, front inside book flap, unattributed.

⁹¹ The web of reception is reconsidered in sections 3.6 and 3.7 below. See also Laura Gray’s thesis *The Symphonic Problem* for fuller discussion.

⁹² Hepokoski, ‘Structural Tensions in Sibelius’s Fifth Symphony’, p.215.

in order to grasp the point of relativism and metaphoricity already expounded, which will enable us to gain an acceptance of each of their contributions.

One movement or two

The first structural issue which confronts each of the analysts tackling Sibelius's Fifth Symphony is the question of how many movements the piece contains. This is in many senses a basic question, because so many other issues of segmentation and coherence rest upon it. The tradition of movement controversy is a pattern perhaps set up by Cecil Gray:

A curious feature of the work is that it is sometimes spoken of as consisting in three movements, and sometimes in four. This uncertainty derives from the fact that, firstly, no numerals are prefixed to the various movements in the score, as is customary, and the first movement definitely falls into two strongly contrasted sections in such a way that it is possible to regard them as two separate movements playing without a break, like the two last movements of the Second Symphony⁹³.

The internal patterning is a major source of the controversy, as Gray suggests. His position on the matter is that, on the contrary:

The two sections are in fact one single, indivisible movement; the reason being that despite their superficial dissimilarity and independence of each other the same thematic material is to be found in both, and this seems [...] conclusive⁹⁴.

Continuity and thematic materials are the principal factors which bind a passage of music into a single movement for Gray. He compares the last movement of the Third Symphony, where 'there are two definite sections which have no thematic

⁹³ Gray, *Sibelius: The Symphonies*, p.47. Gray's initial comment ('it is sometimes spoken of as consisting in three movements, and sometimes in four') implies that there must be a pre-1935 tradition, whether informally written or merely spoken, of construing the music in four movements. This tradition does not survive to us in the form of well-known published books or articles (I have examined many articles from the earlier period 1900-30, and found no real mention of these issues), and we have Gray to thank for bringing it to the surface.

⁹⁴ Gray, *Sibelius: The Symphonies*, p.47.

interdependence whatsoever, but no one has yet suggested that they should be regarded as two separate movements'⁹⁵, a *reductio ad absurdum* which is not strictly true.

Tovey, whose account appeared in the same year, gives a movement outline of each of the Third and the Fifth Symphonies before starting to give his prose description, labelling the Third as follows:

1 *Allegro moderato*. 2 *Andantino con moto quasi allegretto*.

3 *Moderato*, leading to 4 *Allegro*.

He thus produces exactly the four-movement scheme which Gray pronounces implausible⁹⁶. However, this is not picked up in the text, where Tovey refers to 'the finale' and its 'climax' without attempting to divide the whole third movement into constituent parts⁹⁷. On the subject of the Fifth Symphony he is a bit more explicit, giving a similar four-movement scheme and picking the point up in the text - 'This [the *Allegro moderato* starting at bar 114] might be regarded as the real first movement, to which the rest was introduction' - before pushing it aside again by continuing: 'if the classical terminology had any real application here'⁹⁸.

Rosa Newmarch also construes the symphony as a four-movement work. Unlike Gray she provides no explicit internal justification for this decision (except a passing comparison to the Fourth Symphony) but, also unlike Gray who claims that his opinion 'has no other personal authority behind it'⁹⁹, she adduces supporting documentary evidence in the form of a letter by Sibelius. The letter, which dates from 1918, lists the content of the four movements as follows:

⁹⁵ Gray, *Sibelius: The Symphonies*, p.47-48.

⁹⁶ Tovey, 'Sibelius: Symphony in C Major', p.121.

⁹⁷ Tovey, 'Sibelius: Symphony in C Major', p.125. The possibility of considering this 'movement' of the Third Symphony as in fact an interlinked scherzo and finale has been defended in more detail by Jeremy Wilson, previously of the University of Southampton (*Sibelius: Symphony No.3, Third Movement - An Analysis*). My thanks to Jeremy for showing me this unpublished essay in August 1997.

⁹⁸ Tovey, 'Sibelius: Symphony in E Flat Major', p.127.

⁹⁹ Gray, *Sibelius: The Symphonies*, p.47.

Movement I, entirely new; Movement II, reminiscent of the old; Movement III reminiscent of the end of the first movement of the old. Movement IV, the old motifs, but stronger in revision¹⁰⁰.

This is enough to encourage her to view the existing symphony in four movements (despite the fact that, as Hepokoski has pointed out, the plan above describes a very different sequence of movements, with movements 2 and 3 the ones to be conjoined, which Sibelius promptly abandoned between drafts¹⁰¹). In the text of her account Newmarch remarks that, at a point around bar 114¹⁰²: ‘Suddenly, without the least preparation, the second movement follows on’, which she considers an abrupt change and describes as ‘strange’ not least because it takes place in B major in contrast to the E-flat major of the music on either side¹⁰³. Newmarch’s structural decision thus takes into account tonal manoeuvres as well as documentary evidence, although the rest of her account pays more attention to textures and some mention of thematic material. Like Tovey, Newmarch numbers the movements of the symphony as I, II, III, and IV in her account.

Gerald Abraham is the first to give a dual perspective on the question of movement division in the symphony. Like Gray, he picks up an uncertainty in the reception of the first part of this music: ‘no-one seems to be quite sure whether it should be regarded as one movement or two’¹⁰⁴. He labels the two sections as ‘first-movement-pure-and-simple’ and ‘first-movement-cum-scherzo’ respectively¹⁰⁵, and points out that the ostensible difference between them in tempo and time signature is ‘purely one of

¹⁰⁰ Newmarch, *Jean Sibelius: A Short Story*, p.81, quoting from Karl Ekman, *Jean Sibelius: His Life and Personality*, trans. Edward Birse (New York: Tudor, 1946), p.254. All punctuation and capitalisation in this quote is as in Newmarch.

¹⁰¹ Hepokoski, *Sibelius: Symphony No. 5*, p.54-55.

¹⁰² The exact location of the potential movement division will be examined in the next sub-section.

¹⁰³ Newmarch, *Jean Sibelius: A Short Story*, p.82.

¹⁰⁴ Abraham, ‘The Symphonies’, p.28.

¹⁰⁵ Abraham, ‘The Symphonies’, p.28.

notation [...], that is all'¹⁰⁶. However, his table of events ingeniously combines two plans, an overarching sonata pattern and a constituent first movement-scherzo/trio plan¹⁰⁷:

Tempo molto moderato

Exposition (35 bars)

Repeat of exposition (35 bars)

Development (43 bars)

Allegro molto

Scherzo (second part of development) (104 bars)

Trio (80 bars)

Section corresponding to scherzo-repeat and recapitulation (289 bars)

Note that the recapitulation of the 'first movement' is placed at the end of the *Allegro molto*, and the scherzo also corresponds, rather counterintuitively, to the 'second part of the development', turning this portion of music into what could be termed a 'double-perspective movement'¹⁰⁸ The attributed section labels will be considered in more detail below, but for now it is sufficient to note that Abraham produces an analytical view of the symphony that could be described as 'both', rather than either 'one' or 'two' movements, constituting this passage of music.

Simon Parmet is the first major writer to provide a musical justification for his strong argument that the music in question consists of *two* individual movements. He disagrees with the previous writers who claim that the second part represents a scherzo, on the grounds that 'apart from its conventional triple rhythm and fast tempo it has little in common with a scherzo. It completely lacks the distinguishing formal features of such a movement, and furthermore its very nature is not that of a scherzo. It plumbs depths and rises to heights that a scherzo should avoid'¹⁰⁹. Parmet claims that 'the most adequate

¹⁰⁶ Abraham, 'The Symphonies', p.29.

¹⁰⁷ Abraham, 'The Symphonies', p.30. This plan has been slightly simplified from the original, which includes bar equivalent numbers in the first section.

¹⁰⁸ as in Kujawsky, *Double-Perspective Movements, passim*. Kujawsky's contribution to understanding movement structure will be discussed more in section 3.1.3.

¹⁰⁹ Parmet, *The Symphonies of Sibelius*, p.71.



description of the movement (Part II) is that it is a toccata'¹¹⁰, but this interesting postulate is not backed up in detail; one wonders what toccata he had in mind as a model. Furthermore, he refers to the first part of the movement as not only a 'stunted sonata form' but also 'a genuine slow movement' which 'has all the characteristics of such a movement'¹¹¹, an attribution which must to some extent rely on his perception of performances he has heard, since the composer's suggested tempo is not particularly slow. He invokes the character and gestures of the two parts to present them as separate movements: 'It is understandable that the themes and motifs in Part I are intended to stand out as aphoristic utterances, with the abruptness of headings, since they must be saved up for the task to be allotted to them in the allegro (Part II) that follows'¹¹².

Parmet's original stimulus for regarding the music so firmly as in two movements is, like Newmarch's, a documentary one. Whilst reading a museum copy of Erik Furuhielm's Swedish-language Sibelius biography, which had been 'interleaved for purposes of annotation' by the author, he discovered an account of the first performances of the symphony, where 'a very short break' was made between the original first and second movements. Furuhielm concludes on this basis that 'it seems to me more correct to regard the Fifth Symphony as a work of four movements, for one must always bear in mind the history of the symphony and the difference between the basic characteristics of the two controversial sections'¹¹³ - and Parmet supports this conclusion. Parmet's claim about the two-movement nature of the music, then, is a result of both internal musical factors and documentary factors¹¹⁴.

¹¹⁰ Parmet, *The Symphonies of Sibelius*, p.71.

¹¹¹ Parmet, *The Symphonies of Sibelius*, p.71.

¹¹² Parmet, *The Symphonies of Sibelius*, p.71-72.

¹¹³ quoted in Parmet, *The Symphonies of Sibelius*, p.70.

¹¹⁴ A similar musical argument is made in Bagar and Biancolli's *The Concert Companion* of 1947, described as 'the largest, most informative one-volume collection of programme notes ever made' (inside front flap). The authors comment that

Though divided into three parts by two pauses, the Fifth Symphony is actually in four movements, for the opening section is made up of two distinct movements varying in mood and structure.

However, these are linked, cycle fashion, by a common theme... (p.660)

Both Parmet and Bagar/Biancolli notice the thematic correspondence between the two movements they postulate, but each finds an interesting, inherently symphonic way to account for it.

Robert Simpson's investigation of the subtleties of this movement is couched in a striking 'discovery narrative', an account which mirrors the diachronic experience of music by refusing to take into account musical developments *after* the point being examined. In this way he is able to move from a two-movement to a one-movement interpretation, settling on the latter whilst still giving sufficient weight to the former. His initial, two-movement plan resembles the one proposed by Parment, and fills out the details of the truncated sonata-form pattern in the opening 'movement'¹¹⁵. Simpson proposes that the second half may be a scherzo in B major:

What now - is this a new movement, a *scherzo*? Was that foggy passage simply a mysterious link between two movements? It seems a real probability [...]
But just as we settle happily, sure that we have the answer, the music softly and suddenly reverts to E flat!¹¹⁶

He eventually concludes that 'the fast movement is, in fact, another immense recapitulation', matching Abraham's compound scheme, but adding other unifying elements such as the symmetrical movement from E flat to G to B natural to E flat which balances and binds the whole portion of music into a whole¹¹⁷.

Robert Layton, on the other hand, is a staunch defender of the one-movement plan throughout his account. He prefers to discount the change of rehearsal lettering in the score, a 'survival from the first cast of the work', and plays down the importance of the 1915 and 1916 versions of the symphony, despite citing Parment in his account¹¹⁸. In fact he makes it clear that he has not seen these earlier versions which are still preserved at the composer's home, and proceeds to subtly disparage them by commenting that 'the work [...] seems indeed to have given the composer far *more trouble* than any of his

Bagar and Biancolli's book is also interesting for the way it bridges the gap in genre between analytical monographs and programme notes. I have not, however, seen their account used as a sleeve note on any of the recordings used in Chapter Three.

¹¹⁵ Note that Simpson's 'exposition – developmental recapitulation – coda' scheme for the first constituent 'movement' is in contrast to Abraham's plan, where only the second movement could stand alone.

¹¹⁶ Simpson, *Sibelius and Nielsen*, p.25-26.

¹¹⁷ Simpson, *Sibelius and Nielsen*, p.26-27.

¹¹⁸ Layton, *Sibelius*, p.48.

other symphonies'¹¹⁹, thereby suggesting that the previous versions were just part of the difficult compositional process. He states that, 'despite this evidence, there are compelling musical reasons for [...] viewing the piece as one continuous movement. Not the least compelling are the organic cohesion of the material and the overall tonal scheme of the movement'¹²⁰. He is highly specific on the sonata sections he attributes to the work, though he ends by saying that the movement 'cannot really be described in terms of the conventional academic moulds' since it is 'one of the Sibelius's most original creations'¹²¹. In this way a one-movement scheme predominates in his work, due to Layton's emphasis on analytical and organic factors over historical precedents.

Later contributions to the literature could be included here, as they make relevant comment on the topic and might give a clue to which way (if any) this important tendency is moving. Howell's position is an archetypal 'both' position, since he states that '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 – both!'¹²². Howell considers that the constituent sections each utilise a familiar formal outline but have been fused into a single organic structure; his table of sectional and thematic functions shows the one- and the two-movement outlines in parallel¹²³. Despite this opinion seeming to neutralise the dilemma between the two possibilities, it remains a positive choice on the part of the analyst, who is still in conflict with a purely 'one-' or 'two-movement' interpreter. This equal balance of each possibility is in contrast with the approach shown by Hepokoski, whose movement analysis is too intricate to fully convey here, but might be described as a 'both/one', since he refers to a scherzo function within the fourth rotation, but also labels it a 'breakthrough' event, typical of the latter part of the development in Romantic symphonies¹²⁴. The overall four-rotation scheme superimposed onto this passage of music binds it into a predominantly single unit.

¹¹⁹ Layton, *Sibelius*, p.48, emphasis added. This line of argument is picked up and made more explicit in the same author's programme notes: see section 3.7.

¹²⁰ Layton, *Sibelius*, p.49.

¹²¹ Layton, *Sibelius*, p.51.

¹²² Howell, *Jean Sibelius: Progressive Techniques*, p.43.

¹²³ Howell, *Jean Sibelius: Progressive Techniques*, p.45.

¹²⁴ Hepokoski, *Sibelius: Symphony No. 5*, p.67 and *passim*.

Thus the analysts remain split on the issue of one- or two-movement construction of this section of music. Their contributions could be summarised as in the table below:

Analyst	Movements?	Parameters
Gray	ONE	textures ¹²⁵ , themes, continuity
Tovey	TWO	free composition, textures, tempo, symmetry
Newmarch	TWO	textures, themes, keys, history
Abraham	BOTH	themes, keys, character, sections
Parmet	TWO	history, character, tempo, motifs
Simpson	BOTH.ONE	keys, sections, themes, symmetry, tempo
Layton	ONE	themes, sections, keys, history
Howell	BOTH	sections, themes, keys, history
Hepokoski	BOTH / ONE	section functions, process, themes

The second column here summarises the analyst's answer to the question of movement construction, as one-movement, two-movement, or both. It can be seen that these writers are fairly evenly divided between describing the passage of music as 'one' movement, as 'two' movements, and as 'both' one *and* two movements.

The third column in this table describes the parameters and facets which the writer prioritises in his or her account¹²⁶. These may or may not contribute directly to the argument he or she is making: that is, often writers will suggest a parameter or criteria (for instance, Layton and his historical account) and then disregard it in their overall analytical interpretation. It is interesting to see the variety of combinations of facets that the writers choose to emphasise; but perhaps more important to note that there is no particular correlation between the parameters a writer selects, and his or her conclusion on the movement division issue. For example, nearly all writers mention the recurrence of thematic material at some point, but some construe it as a unifying device whilst others choose to explain it differently (e.g. see Parmet and Bagar/Biancolli above).

¹²⁵ 'Textures' indicates an attention to the constituent materials of the music, without attempt to describe them with thematic labels. Such an account emphasises orchestration and other characteristic details of the melodic materials, as an aid to aural identification for the listener.

¹²⁶ I have not included against a particular writer's name a criterion that he or she mentions so briefly that it is confined to a single sentence, or does not affect the flow of their discussion.

Hence it can be seen that in the two matters of the number of movements, and the important parameters, of this section of music, the writers under examination all provide contrasting views. Rather than considering them as contradictory, a perspective which pervades them all (though, interestingly, not within those accounts which choose ‘both’ options), we should celebrate such a richness of musicological material, and view these accounts metaphorically as suggested in section 2.4 above.

Locating the movement division

A specific question which pervades the analyses, and should be cleared up at an early stage, is where exactly a movement division would fall if one were to be postulated. Even the writers who prefer a one-movement interpretation can participate in this issue, as they still tend to observe an important sectional division somewhere around this point. The two principal contenders for the point of potential movement division are the downbeats of bar 106 and bar 114 respectively. These are shown in Example 2-4.

It is clear that each of these two points represents a break of continuity in some regard. Bar 106 represents the change of key signature to B major, the beginning of the thematic reference to bars 3-10 from the opening of the movement, and a shift in the scoring of melodic material from the strings to the trumpets and woodwind. Bar 114 provides the change of time signature to 3/4, the tempo marking of *Allegro moderato*, and the start of new material characteristic of the scherzo. The writers are predominantly inclined towards the latter option, as shown in the following table:

Example 2-4: Potential movement division points – bar 106 and bar 114

117

106

poco a poco meno

moderato al

114

(d.d.)
Allegro moderato (ma poco a poco straziato)

106

poco a poco meno

moderato al

114

(d.d.)
Allegro moderato (ma poco a poco straziato)

Analyst	Movement division at
Gray	bar 114
Tovey	bar 114
Newmarch	bar 114
Abraham	(bar 114)
Parnet	bar 114 (or bar 130?)
Simpson	bar 106 / bar 114
Layton	(bar 106 /) bar 114
Howell	bar 106 / bar 114
Hepokoski	bar 106 / bar 114

Gray comments on his choice:

Then comes the sharp break in the movement to which allusion has already been made; the long-drawn twelve-eight rhythm [bars 1-113] gives way to a short, decisive three-four [at bar 114], the tempo accelerates, new material is introduced, the mood changes, but the theme heard at the beginning on the horn - the first subject - remains dominant throughout¹²⁷.

This account opens a can of worms: several of these parameters do not in fact change in the manner of a ‘sharp break’ on the downbeat of bar 114, but gradually. For instance, the tempo has already begun to increase by this point, and the ‘mood’ is ensured some continuity through this section by the constance of the string accompanimental figure and other aspects of scoring and dynamic. Tovey quotes the theme at bar 114 as the start of the ‘allegro moderato’; Newmarch’s narrative description is absolutely clear in placing bars 106-113 in the first movement with a break at bar 114¹²⁸; and Abraham describes a gradual change in his text but his table (shown above) comes with bar numbers (and a

¹²⁷ Gray, *Sibelius: The Symphonies*, p.50.

¹²⁸ ‘From this point [bar 92] the music works up to a great outburst of the whole orchestra [i.e. bar 106], during which a modified version of the opening theme rings out from the trumpets [etc]. Suddenly, without the least preparation, *the second movement follows on* [...] The movement begins *Allegro moderato* [i.e. bar 114], the theme presented in thirds by flutes, oboes and clarinets [etc]’ (Newmarch, *Jean Sibelius: A Short Story*, p.82). This clearly places the ‘outburst’, bars 106-113, on the first-movement side of the break.

tempo marking) which unambiguously place the movement break at bar 114. Parmet identifies bar 114 as the start of part II, although his source material, Furuhjelm, misleadingly comments that ‘the rehearsal lettering [...] begins with A exactly at the point where the second “part” (“movement”) begins’¹²⁹. Since this corresponds to bar 130, a near-repeat of bar 114, it is unlikely that Furuhjelm meant this movement division as ‘exactly’ as this wording suggests, but is postulating a point slightly further back where the new movement might be imagined to begin.

Simpson’s description of the point of movement break is not so explicit, and he wisely describes the process of change in a manner that might be described as ‘emergent’¹³⁰:

A *crescendo* [viz. bars 103-105] - then [the melody from bar 2] points majestically [bar 106] to something we cannot yet see. The harmony brightens and the instrumentation approaches magnificence; the sun comes out in B major, with [the rest of the first subject material] floating gaily on the air. Before we are properly awake the music is dancing in a light-footed *allegro moderato* [bar 114], and gradually getting faster. What now - is this a new movement, a *scherzo*? [...] The change of key to the warm radiance of B major [...] seems to confirm the impression of a new movement¹³¹.

Simpson identifies changes that happen at both bar 106 and bar 114 as contributing to the general ‘impression of a new movement’, and his question ‘is *this* a new movement’ does not point at any particular moment. Layton likewise refers to both moments as important: ‘A return of the first group in B major leads to the *Allegro moderato* (3/4), the much-discussed second half’¹³². Whilst his comment prioritises bar 114, Layton likewise does not focus on the exact point of movement division, commenting in a different part of the analysis that ‘as in most organic processes, it is not always possible to say with any

¹²⁹ Parmet, *The Symphonies of Sibelius*, p.72, p.68.

¹³⁰ Cf. Martin, *Analysing Musical Recordings*, p.132ff: the term ‘emergent’ was employed by Martin in an earlier draft to describe these spread-out changes across sectional boundaries in performances, although it was later replaced with the less distinctive term ‘gradual’. The term is originally taken from Levy, ‘Beginning-Ending Ambiguity’, p.154.

¹³¹ Simpson, *Sibelius and Nielsen*, p.25-26.

¹³² Layton, *Sibelius*, p.50.

degree of dogmatism where one “section” ends or another begins (nor, indeed, is there any real reason why one should want to)¹³³. Hence none of these writers choose bar 106 as the definitive point of movement break.

Later analytical writers prefer to dodge the question of the moment of movement division: Tim Howell makes the movement division at bar 106, but labels the first eight bars an ‘intro’ before the ‘scherzo’ itself begins at bar 114. This is interesting, though possibly counterintuitive, since these first eight bars correspond in thematic layout to bars 3-10 which are in no sense an introduction but the first part of the first subject, being themselves supplied with an introduction in bars 1-2. James Hepokoski makes bar 106 the beginning of the fourth ‘rotation’ of musical material, but calls bar 114 the start of the ‘scherzo proper’¹³⁴, perhaps referring to the correspondence of thematic material with the original (1915) scherzo of which he is so aware.

What is surprising amongst the earlier writers in particular is how many of them assume that bar 114 is the start of the new section or movement, without justifying their decision, and seemingly on quite superficial grounds. Most refer to the change of tempo to *Allegro moderato (ma poco a poco stretto)* as their prime influential factor - whereas in fact there is no tempo change to the ear, since the previous marking at bar 107 is ‘*poco a poco meno moderato al (Allegro moderato)*’ (emphasis added), implying a continuous acceleration *straight through* bar 114. The difference is only evident to the eye, and the same is true of the change of time signature. The latter is a notational convenience intended to bridge from the 12/8 notation of the opening portion of the movement to the 3/4 chosen by the composer for the scherzo in his previous versions of the symphony¹³⁵. During his 1919 revision, when he composed the linking material from near the end of the first movement into a point near the beginning of the second, Sibelius could just as well have changed the time signature at what became bar 106 or, indeed, any other point. These seem flimsy factors on which to predicate the placement of so major a structural articulation as a movement division.

There are better reasons than tempo marking or notation change for considering bar 114 important: notably that it begins the existing material from the 1915 scherzo. The passage from bar 106 to bar 113 (and the passage preceding it) was newly composed to join the movements together, and was not originally part of the scherzo in the early

¹³³ Layton, *Sibelius*, p.50.

¹³⁴ Hepokoski, *Sibelius: Symphony No. 5*, p.67-68.

¹³⁵ See Appendix 1, ‘On the 1915 version’.

versions. This portion of music is placed by certain analysts in the first-movement area simply on the grounds that it supposedly belongs with similar material there, hence placing like with like, and drawing a line between it and the scherzo material proper.

However, this decision is simplistic on several grounds. Firstly, it belies the continuity of phrasing and instrumentation that can be shown to operate from bar 106 through the break at bar 114. Secondly, there is in any case some version of first-subject material appearing in every phrase from bar 114 until the trio appears at bar 218 (see section 2.2's Thematic Analysis on the 'A1 a, c, and d' material in bars 106-217), providing continuity through this section and making it impossible to segregate this material so straightforwardly. Thirdly, the first subject consists not only of melodic material, but also incorporates non-melodic elements such as the characteristic harmonic 'swaying' between chords IIb and Ib ('A1bii'), which is an important aspect in binding together this entire passage of music. Although its explicit manifestation comes and goes within this section, this underlying harmonic pattern is the basis for bars 106-142 and bars 162-218, and proves that each of these sections should be considered continuous in terms of motivic/harmonic material. Furthermore, the pattern of fluctuation of these chords, including the passage starting at bar 106, forms this section into a typical scherzo pattern, a feature which no other writer has tried to specify. All these features are shown on a separate quasi-paradigmatic analysis in Appendix 2.

Given the striking nature of these features of continuity and symmetry, it is surprising that none of these earlier writers tried to point them out or to consider their argument for bar 106 more important than the argument for bar 114. Whilst there are reasonable arguments for bar 114 as some form of conceptual articulation, the structural basis for bar 106 as the primary division should at least be considered part of the analytical picture at this point. The result of this analytical contribution is that the first-subject-based material at bar 106 can instead, or as well, be seen as an appearance of the 'head motive', beginning a new movement or new section¹³⁶.

¹³⁶ The truculent tone I feel almost compelled to adopt in the preceding passage shows how ingrained is the tradition of insistent one-sidedness when announcing analytical discoveries - the very topic of section 2.3 above. I hope I have managed to maintain a balanced and pluralistic perspective whilst considering other writers' contributions.

Recapitulation(s)

The reappearance of first-subject material at bar 106 prompts several writers to label the passage a ‘recapitulation’, bringing up the issue of attributing sonata-form-derived labels to the various sections of the music. The sense that bar 106 or bar 114 begins a recapitulation of material from the whole preceding passage of music up to that point appears in Layton’s and in Simpson’s accounts of the movement, both predominantly one-movement descriptions; Gray’s account, though it begins by allocating exposition and development characters to the opening sections, runs out of sonata terminology by this point and proceeds in a purely descriptive sense. Hepokoski’s account of the onset of this recapitulatory process is the most sophisticated, and rationalises Simpson’s ‘discovery’ account which says much the same thing. He points out that the various defining recapitulatory features, or parameters, ‘are set in place not simultaneously but one after another’ thus permitting ‘a smooth transitional gliding into the second portion of the movement’, blurring our sense of where a new section might begin¹³⁷. The parameters are set in place as follows:

Parameter	details	Bar number
Theme	recomposition of bars 3-10	106
Tempo + Scherzo character	<i>Allegro moderato</i> ; 3/4 time signature	114
Cadence	but still in B major	142
Tonic colour	return to E-flat major	158

This could be seen as an extension of the two-stage nineteenth-century gesture whereby, in contrast to earlier practice, the return of the theme does not coincide with other parameters such as the cadence and character of the recapitulation, which typically appear slightly later (see, for example, Brahms’s Fourth Symphony, first movement, bar 246 and bar 259 respectively; also the first movement of Mahler’s Fourth Symphony, bar 234 in the clarinets/oboes, *cf.* bar 239f. in the strings)¹³⁸. The significance of one or

¹³⁷ Hepokoski, *Sibelius: Symphony No. 5*, p.67.

¹³⁸ Such a practice might be thought to derive ultimately from Beethoven’s *Eroica* Symphony, first movement, where the mischievous ‘too-early’ entry of the horn at bar 398 anticipates the real

another of these parameters can be stressed in an analysis, but can also be stressed in performance by creating a major articulation, or emphasising the material, at one or more of these points¹³⁹.

The course of the rest of the ‘recapitulation’ is described slightly differently in those accounts which identify it as such. Simpson equates (in retrospect) bars 106 and 114f with the first subject area, construes the passage from bar 218 as a substitute for a transitional area, and points to bar 307 as a version of the second subject¹⁴⁰. Layton and Hepokoski both agree with these two thematic subject areas, but whilst Layton considers the intervening passage at bar 218 as an extension of first subject material, Hepokoski views it primarily as a ‘trio’, picking up on Abraham’s earlier categorisation, and returning to the alternative sense of this whole section as a scherzo¹⁴¹. He also identifies the second-subject theme at bar 307 as taking place within a context of first-subject material, namely the shifting between chords Ib and IIb which begins at bar 298. Christopher Ballantine, in his account of this passage, goes further and identifies melodic elements belonging to the first subject actually being combined with the second-subject motives particularly in the oboe melody of bars 330-337¹⁴².

It is this attention to the area around bar 298, with its first- and second-subject elements, that can prompt a sense that bar 298 itself marks the point of recapitulation for the entire movement. (Hepokoski identifies ‘a *return* to the principle of recapitulation’ at this point¹⁴³, comparing it to bar 106 where his recapitulation originally began, but to regard it, rather, as the *start* of the recapitulatory process would be in a sense typical for the music of Sibelius, whose Second Symphony could be seen to recapitulate first and

recapitulation of all other parameters at bar 402. In contrast to this example, however, in the Sibelius there is no clear place, after the onset of the theme, where the recapitulation could be said to definitively start.

¹³⁹ See section 3.5 below.

¹⁴⁰ Simpson, *Sibelius and Nielsen*, p.25-26.

¹⁴¹ Hepokoski, *Sibelius: Symphony No. 5*, p.67-68; Abraham, ‘The Symphonies’, p.29-30.

¹⁴² Ballantine, ‘A Revaluation of Sibelius’ Symphonies’, p.174. Ballantine’s account of the formal process of this and other symphonic movements, though revelatory in its overall perspective of internal contradiction, thematic dialectic, and Marxist politics, does not contain any ground-breaking thematic or formal comments other than this one, and hence has not been cited repeatedly in this section. Its general perspective, however, has had an influence on the analysis in section 2.2 and on my understanding of the process of the symphony.

¹⁴³ Hepokoski, *Sibelius: Symphony No. 5*, p.69 (italics added).

second subject material simultaneously¹⁴⁴.) The preceding section, bars 106-297, would then be regarded as the scherzo and trio element of a second movement gesture, and not as part of the recapitulation of the whole single movement combined. This point of view, although unusual, provides genuine insight into the overall form and the local content when this passage is examined carefully.

Gerald Abraham appears to be the earliest written proponent of this alternative recap at bar 298. In his text Abraham seems to place the recap at some later point, since he discusses the trio (bar 218), identifies 'flying fragments' of earlier themes at bars 294, 307, and 324, and then continues: 'Imperceptibly we enter on a final section, which is neither a repeat of the scherzo nor a recapitulation of the opening *molto moderato*, but does duty for both'¹⁴⁵. This would seem to place the recap. somewhere after bar 324, possibly even as late as the trumpet motif he identifies at bar 455. However, in his tabular account of the form, Abraham indicates by a bar-count that his 'section corresponding to scherzo-repeat and recapitulation' begins at bar 298, which is further simplified, in the text below the table, to 'recapitulation'¹⁴⁶. Hence one can pinpoint his recap. as beginning at bar 298, despite the vagueness of the wording earlier in the passage.

The composer's principal biographer Tawaststjerna is another key proponent of this perspective, and states that, at the oboe tune at bar 294, 'the atmosphere becomes

¹⁴⁴ First subject material in the Second Symphony: high woodwind material at *Tempo I* before rehearsal letter O (recapitulation), compare opening woodwind material (exposition). Second subject material: initial two string phrases after same *Tempo I* (recapitulation), compare string material 5 bars before B and five bars after B (exposition). The latter material has been chosen as the second subject here, since it provides the most rhythmic and melodic contrast to the first-subject material, and appears in the dominant (see change of time signature, 9 bars after B). However, the reader should be aware that other sources prefer the woodwind material at letter C to be labelled the second subject, and that the attribution of thematic function in this movement of the Second Symphony is nearly as fraught and ambiguous as the attribution of sectional function in the Fifth Symphony. Ballantine's principle of 'establishing contradiction' between the many fragments of thematic material, to replace the stereotypical juxtaposition of subjects, is surely in operation here (see Ballantine, 'A Revaluation of Sibelius' Symphonies', p. 140 and *passim*). One might prefer to consider the first movement of Brahms's Second Symphony as a model: the recap. at bar 302 combines the first subject (oboes and cellos/basses) with the transition material from bar 44 (violins), material which bears some relation to the second subject (bar 82/102/156) in mood (*dolce*) and in intervallic outline.

¹⁴⁵ Abraham, 'The Symphonies', p.29.

¹⁴⁶ Abraham, 'The Symphonies', p.30.

charged up for a final release’¹⁴⁷. This rather hermeneutic comment, which could locate the ‘release’ at bar 298 or possibly elsewhere, is given specific analytical meaning in a comparative formal chart of the versions of the Fifth Symphony, where bar 298 is labelled *kertausjakso*, the word used in Finnish for a recapitulation¹⁴⁸. Tawaststjerna further comments in the text that this section can be considered either a free recapitulation of the exposition or a free recapitulation of the scherzo section¹⁴⁹. These comments would have had considerable circulation amongst both Finnish- and Swedish-speaking readers, and could have contributed to a general acceptance of the minority theory of a recapitulation at bar 298.

The theory of a recapitulation at a point other than bar 106 adds interest and depth to an understanding of this movement’s processes. The only other account of this movement to choose a different starting-point for the recap. is Simpson’s, who cautiously (and provisionally) postulates a ‘complete recapitulation, its first group enshrouded in chromaticism’¹⁵⁰ much earlier on, during bars 36-68 (as described above in section 2.3) - thus completing a curtailed sonata pattern of *exposition - (developmental) recapitulation* in the first short ‘movement’ of two¹⁵¹. Although this recapitulatory understanding is provisional in Simpson’s account, he seems to stand by it when he claims that ‘the fast

¹⁴⁷ ‘Ilmapiiri latautuu lopullista purkausta varten’, where the key word *purkaus* (which I have translated as *release*) combines the sense of resolution (as of a dissonance) and a more vigorous outburst; my thanks to Risto Väisänen for fine-tuning my translation. This comment is from the Finnish version of Tawaststjerna’s biography, *Sibelius*, vol. 4, p.360. Sadly, such analytical material is not available in the compressed English version of these volumes, which have been reduced to the merely biographical.

¹⁴⁸ Tawaststjerna, *Sibelius* vol. 4, p.379. Compare with the article ‘Sonaattimuoto’ [Sonata form] in a simple music dictionary, where the four sections (or ‘cycles’) of sonata form are labelled respectively *esittelyjakso* (expository cycle), *kehittelyjakso* (developmental cycle), *kertausjakso*, and *ylajakso* (extra cycle) or *coda* respectively. (See ‘Sonaattimuoto’, in *Musiikki-Sanakirja: Suomeksi toimittanut* [Music Dictionary: Edited into Finnish], eds. Marilyn Kornreich Davis and Arnold Broido (Espoo: Weilin and Göösen, 1968).)

¹⁴⁹ ‘Esittelyn vapaa kertaus / scherzonpäättäjien vapaa kertaus’, Tawaststjerna, *Sibelius* vol. 4, p.360.

¹⁵⁰ Simpson, *Sibelius and Nielsen*, p.25.

¹⁵¹ This pattern of ‘exposition – developmental recapitulation’ would describe a traditional song form structure (as in, to pick a random example, the second movement of Beethoven’s String Quartet op. 18/3 – compare bar 1f. with bar 47f.) better than a ‘simplified sonata form’ – but this formal analogy is not mentioned by Simpson.

movement is, in fact, *another* immense recapitulation'¹⁵² to the whole single-movement structure. (Compare Example 2-5 below.) This is a rich but surprising comment in the context of the whole portion of music, and gives an insight into its tonal nature as explained in section 2.3.

Sonata-form attributions to the sections

In order to get a clearer sense of such sectional attributions and what they are accomplishing, we need to return to a more general consideration of sonata-form analogy in this music. Some of the most interesting examples of attributing sonata-form labels to the Symphony have been dealt with in section 2.3 (on the second 'rotation'), and in the discussion of recapitulations above. However, the table in Example 2-5 below provides an overview of the process, and prompts a discussion of a few more relevant details. The rotational labels from Hepokoski – introduced in section 2.2 - are adopted as tentatively 'neutral' labels with respect to sonata form, and displayed along the top of the table (with bar numbers of the sections concerned); the use of four rotations in this scheme is regarded by Hepokoski as characteristic of the mature Sibelius¹⁵³, though not all writers prior to Hepokoski have divided the music primarily into four, and hence the labels should be regarded as for guidance purposes only. The writers' schemes have been lined up for comparison, and where a writer makes a different sectional division, this has been indicated by an extra bar number¹⁵⁴.

¹⁵² Simpson, *Sibelius and Nielsen*, p.26, emphasis added.

¹⁵³ Post-paper discussion at *Second International Jean Sibelius Conference*, Helsinki University, November 1995.

¹⁵⁴ I have converted all references to the score into bar numbers: although in some cases writers use a mixture of rehearsal lettering and page numbers, these are invariably unambiguous and convert easily to linear bar numbering for the sake of comparison.

Example 2-5: Table of critics' sonata-form attributions to the Sibelius movement

	Rotation 1 (bar 1)	Rotation 2 (bar 36)	Rotation 3 (bar 68)	Rotation 4 (bar 106 or 114)	(bar 218)	(bar 298)	(bar 498)
Gray (one)	(descriptive)	Development	(descriptive)				
Abraham (both)	Exposition	Repeat of exposition	Development	Scherzo	Trio	Scherzo-repeat and recapitulation	
Parment (two)	Introduction / slow movement in 'Stunted sonata form' (unspecified)		Coda.	Toccata	Main theme working out (from bar 354)	
Simpson (two)	Exposition	Recapitulation as development	Coda ...	(First subject)	(Transition)	(Second subject)	(Codetta)
(one)			...Link	Another recap.			
Layton (one)	Exposition	Counter-exposition	Development	Recapitulation		(Second subject)	Coda
Howell (one)	First exposition	Second exposition	Trans.	Development / recapitulation (1st sj.)		bar 274: (2nd subject)	bar 507: Coda
(two)	Exposition	Development and recapitulation	Coda.	Intro – scherzo	Trio	Reprise / scherzo+trio	Coda
Hepokoski (one)	bar 3: 'Expositional space'	'Developmental exposition'	'Developmental space' / transition	'Scherzo' / Recapitulatory space	'Trio'	Recap. continues	bar 555: Coda

As can be seen, Gray's attribution of sonata labels is somewhat incomplete: he proceeds in a primarily descriptive manner, referring to themes and textures rather than sonata function. This should not be taken as ignorance of the latter, however, nor as an incapacity to see the wood for the trees, but rather to an active sense that Sibelius's symphonic practice was to an extent revolutionary, and hence should not be related back to nineteenth-century practice by retrospective labelling¹⁵⁵. This refusal to invoke metaphor, for fear of being victimised by it (as described in section 2.4 above) is shared by Tovey, who believes that due to the presence of post-Wagnerian slower harmonic rhythm 'we ought not to expect the remotest connection with sonata ways of moving'¹⁵⁶. There is a minimum of sectional attribution in Tovey (he refers to the second half as a 'dance', and describes it as 'the real first movement, to which the rest was introduction'¹⁵⁷, but these are movement attributions), and none at all in Newmarch. After this sensitive period, the use of *Formenlehre* labelling for movements, sections and themes begins to make a cautious reappearance in the literature as the nineteenth century recedes into the past.

The nature of the first rotation is not particularly ambiguous: coming first in the scheme, it naturally suggests the role of an exposition. It is difficult to imagine what kind of musical behaviour could cause us to assume that an opening section fulfilled the role of (for example) a recapitulation, or a development section. Nonetheless, the identity of this section is reinforced by its modulation from the tonic, its orderly presentation of themes, and its relative stability of texture. As suggested by the discussion in section 2.3, some of the most interesting cross-attributions of sonata form arise in the second rotation of the movement. This passage has been labelled everything from 'repeat of exposition' (Abraham), 'counter-exposition' (Layton) and 'second exposition' (Howell), through 'development' (Gray), to 'recapitulation' (Simpson). Some writers have found ways of mixing the sections to describe it: 'developmental exposition' (Hepokoski) and

¹⁵⁵ See Laura Gray, 'The Symphony in the Mind of God', for a discussion of Newman's, Gray's, and other contemporary writers' ideas about how form should not be predetermined but should be created by content. These ideas pre-empt Hepokoski's faith in 'Content-based forms' (*Sibelius: Symphony No. 5*, p.21-23) which he supports by quotes from Sibelius's diary.

¹⁵⁶ Tovey, 'Sibelius: Symphony in E Flat Major', p.127; see also the discussion of his 1911 *Encyclopaedia Britannica* article on the subject of post-Wagnerian symphonism in Gray, 'The Symphony in the Mind of God', p.65.

¹⁵⁷ Tovey, 'Sibelius: Symphony in E Flat Major', p.127.

‘recapitulation [...] as development’ (Simpson) exhaust two out of three of the possible combinations. These attributions depend on the ambiguous role of this section within the movement as a whole, and the way in which it deploys various parameters (thematic behaviour, textural variation, tonal closure) to give subtly conflicting cues. The sense of increasing tension in the string parts in particular during bars 51-59 - still growing towards a point of release - is perhaps what suggests an exposition or development in the majority of accounts, rather than a recapitulation which (despite being tonally and thematically justified) might be expected to resolve this tension.

The third rotation is overlooked in significance by those writers who do not realise that its first half (bars 68-91) is based on first-subject material, whilst its second half (bars 92-105) is based on second subject material. This realisation gives it the stature of a whole rotation of musical material, rather than either a ‘coda’ or a ‘transition/link’ which it is too long to be, as writers who suggest these solutions sometimes mention¹⁵⁸. The most common sectional attribution is that of ‘development’, due both to the space it occupies within the four-section pattern (Abraham and Layton, also Hepokoski) and to its thematic and tonal dissipation. The fourth rotation has been described in the context of the section above, and its most common label is ‘recapitulation’, since it presents what is arguably all the principal material whilst repeatedly returning to the key of E flat. Howell picks up its continually-developing thematic practices in his description of this section as ‘development/recapitulation’, two normally separate functions which he combines throughout his plan of this movement. Other than this, the predominant attribution of this section is as a dance movement, a scherzo, often with contrasting trio at bar 218, and (sometimes) a scherzo-repeat around bar 298. Parmet demurs from this, and claims a toccata in the fourth rotation as already discussed, whose main theme arrives where others see a ‘trio’ and is developed subsequently. The sonata scheme sees at bar 298 or thereabouts a recapitulation of the second subject (Simpson and Howell - Layton does not clearly specify which material reappears), or else of all material (Abraham and Hepokoski), as already explained. Nearly all writers see some form of coda towards the end of the movement, only disagreeing on where it begins - at bar 498, with the bass cadence and reappearance of the final theme, at bar 507, with the (superficial) arrival of

¹⁵⁸ For example, Simpson: ‘Is there to be a brief *coda*, as in the first movement of No. 4? [...] A disproportionately long *coda*? [...] The ear accepts the possibility that the composer has earned himself the space to expand somewhat’ (*Sibelius and Nielsen*, p.25).

the *Presto* tempo, or at bar 555, with the *Piu presto* tempo and the clear E-flat-major triadic colouring.

These varied sectional descriptions give a strong insight both into the complexity of this movement (and hence its place within musical and symphonic history) and into the musical processes which it supports and their capacity to continue to interest the attentive mind. In analytical terms, such sectional analogies are important in the study of Sibelius since, firstly, they specify the function and character of the passage of music in a way that has resonance for anyone who has studied earlier forms of symphonic/sonata music, relating this music to (and contrasting it with) its historical antecedents. Secondly, they operate in a system of mutual causality with the one- or two-movement scheme, the one-movement scheme in particular seeming to rely on an attribution of sectional identity in order to form the whole into a recognisable whole or *Gestalt*¹⁵⁹, thus providing a discussion of musical perception over long stretches of time.

The multiple perspective gained by comparing the perspectives of various analysts is significant in the context of this thesis because it shows the desperate need for an ‘analogical’ approach when comparing differing analytical results. This is even more the case when juxtaposing such sectional analyses with contrasting voice-leading analyses, with hermeneutic or with reception-based studies (for instance), in order to gain an even broader sense of how the symphony might be understood. Sibelius himself commented that he never liked to commit himself to a verbal interpretation of his music, since he considered that the listener had only limited possibilities for understanding him, and unlimited possibilities for misunderstanding him: he admitted that ‘I never talk about my own work; for next morning I would regret having done so’¹⁶⁰. Rather than refraining from scholarly comment on such grounds, it is better to acknowledge all description as providing a partial, not a definitive, truth. Thus the material presented here it provides a case study in analytical plurality for which sections 2.1 and 2.3-2.4 formed the theory. Furthermore, the investigation of the first movement of Sibelius’s Fifth Symphony in such detail is necessary to an understanding of the investigation of *performances* of that music in the next chapter, and a consideration of how and whether the issues are the same.

¹⁵⁹ This procedure is discussed more in Chapter Three with respect to performances: see section 3.5.

¹⁶⁰ This comment was transcribed by the composer’s personal secretary towards the end of his life (Levas, *Sibelius: A Personal Portrait*, p.87).

Chapter Three: Performance

3.1 Introduction to performance analysis

Chapter Three analyses performances of Sibelius's Fifth Symphony, first movement, using a timing program, and reports on and discusses the results. The analysis is introduced by a discussion of the contribution of performance analysis to scholarship (section 3.1.1), methodology (3.1.2), philosophical objections to the method (3.1.3), and an explanation of the graphs that are likely to result (3.1.4).

3.1.1 Contributions of performance analysis

The reasons for undertaking performance analysis fall into three broad categories: firstly, that it contributes to the discipline of analysis; secondly, that it contributes to performance studies; thirdly, that it contributes to historical understanding.

Contributions to analysis

The first and major contribution to analytical studies that such an approach can make is to open up structural questions that may have reached an impasse. This is clearly the situation with the sectional analysis of Sibelius's symphonies. Studying performances does not solve, but rather changes the status of such awkward analytical questions. It can shift the balance of debate away from the stalemate of assertion and counter-assertion so that it becomes a practical, interpretational issue based on concrete information. Empirical methods thus act as a funnel for drawing on a range of recorded materials which are not otherwise available to the musical analytical discipline.

Examining performances can, specifically, force a consideration of parameters other than that of pitch, around which many analytical debates circle almost exclusively. Jonathan Dunsby commented in 1989 that 'it may well be that the problem-solving potential of analysis has been least effective in the area of musical time', and added that 'what analysis seems so little able to capture is that secret of the performer - timing - which subsumes so many factors such as rubato, structural articulation and expressive emphasis'¹. Whilst other approaches to musical time have been evident in the last ten

¹ Dunsby, Guest Editorial, p.14.

years², research methodologies such as the timing program described below (in section 3.1.2) move us perceptibly closer to capturing the temporal ‘secret of the performer’ and extend the problem-solving potential of music analysis into new areas. The importance of timbre is also beginning to be reconsidered in the field of music analysis³, and will be mentioned at points in the text below.

The next advantage proceeds naturally from this: that using performances allows for a multiplicity of answers. When performances differ from one another, one or several of them are not generally regarded as ‘wrong’; only the most stubborn performer would insist that his or her interpretation reflected a unique truth. Furthermore, when analysing performances which contrast with each other, contrasting analytical descriptions (or outcomes) are a natural result. (This is shown by the findings in the body of Chapter Three.) Such a plurality of analytical commentary is easily transferred into regarding analytical outcomes as in any case plural, coexistent, or complementary⁴. (This analogy with the world of performances was what allowed the approach developed in Chapter Two, where apparently contradictory analytical opinions were shown to be part of a tapestry of understanding.) Even within a single performance of a piece, multiple, even superficially contradictory, interpretational ideas can often be found superimposed or coexisting; this is because they are expressed through different parts of the musical span, or else on different levels of the music. (Such superimposed features will be found, for instance, in sections 3.3.4 on Celibidache, and 3.5 on recapitulations.) The result is an interpretative richness that might well be transferred to the field of analysis, and is in any case part of a hesitant movement towards analytical plurality which is perhaps influenced by the current interest in postmodernism⁵.

² For example, Jonathan Kramer’s *The Time of Music* and Robert Adlington’s doctoral thesis *Temporality in Post-Tonal Music* provide theoretical considerations of musical time.

³ See for example, Lee Tsang, *Timbre in Music Analysis: The Formulation and Development of a New Analytical Method* (Ph.D. diss.: University of Southampton, forthcoming).

⁴ Nicholas Cook recommends ‘the analysis of musical performance as a model for the performativity of analytical writing in general’ (Cook, ‘Analysing Performance’, p.252). Furthermore, as Joel Lester remarks, ‘The ramifications of such an approach extend quite far. If pieces are regarded as composites of seemingly innumerable acceptable interpretative possibilities, the focus of analysis could shift from finding ‘the’ structure of a piece to defining multiple strategies for interpreting pieces’. (Lester, ‘Performance and Analysis’, p.214).

⁵ Within a traditionally non-pluralist area of music analysis, Richard Littlefield and David Neumayer’s article ‘Rewriting Schenker’ is one of only a few to permit ‘multiple readings of a musical text’

Examining performances in this way also constitutes an extended case study for the theory of Performance, Analysis and Interpretation developed in Chapter One. Insofar as performance information is allowed to comment on issues traditionally reserved for analytical commentary, whilst analytical practice is shown to have strongly performative qualities, their equality, their relatedness and (to some extent) their interchangeability is demonstrated. Many such issues can be shown to be, not specifically analytical, but rather part of the central 'Interpretation' area to which all musicians have access and which each construes in their own way. Studying performances empirically thus provides the practical data for the scheme proposed above in the abstract, and so provides a supporting service to music theory.

Contributions to performance studies

Using empirical methodologies to examine recorded performances also benefits our understanding of performance. Firstly, it opens up a dialogue between performers and analysts which starts from the point of view of the former - this is in contrast to the type of approach that begins with an analysis of a work and asks how this *should* be projected in performance. The second type of investigation has been labelled a 'top-down' approach by Sarah Martin, and as an exclusive method of approach has been heavily criticised by her and other writers⁶. Rather than being 'incorporate[d] [...] within the existing intellectual framework of theory'⁷, performers can 'enter analytical dialogue *as performers* - as artistic/ intellectual equals, not as intellectual inferiors who need [...] to learn from theorists'⁸. In this way we can learn from performers on their own terms, rather than from an unsympathetic perspective of enforcing a theoretical scheme onto their work.

Beginning from the point of view of performances need not mean that we eschew descriptive and structural ideas permanently. Such ideas, if sufficiently well-digested

('Rewriting Schenker: Narrative - History - Ideology', *Music Theory Spectrum* 14 (1992), p.38-65: see p.65). Even Carl Schachter's somewhat experimental article 'Either / Or', which discusses contrasting readings of prolongational structure, is always compelled to resolve the analytical 'dilemma' in the case of each specific musical example ('Either / Or', in *Schenker Studies*, ed. Hedi Siegel (Cambridge: Cambridge University Press, 1990), p.165-179).

⁶ Martin, *Analysing Musical Recordings*, p.23-24. These issues are discussed at length in section 1.2.

⁷ Cook, 'Analysing Performance', p.239.

⁸ Lester, 'Performance and Analysis', p.214.

(and carefully expressed) may be part of an 'Interpretation' concept which is shared by performers, listeners, analysts and others engaged with music alike - as described above in terms of the benefits which such an investigation brings to theory. The activity of performance analysis serves performers in that it allows them to express their point of view on matters about which, until recently, they would have been assumed to be mute. This provides material for the reassessment of the role of performers, increasing their domain to include the structural and hermeneutic areas previously entrusted to those working with words and diagrams.

Learning from performers on their own terms also means involving ourselves with what is (for them) the very material of performance, the realisation of a piece in sound. Accepting this information as meaningful allows us an extra level of sophistication in understanding verbal commentaries about performance: one of the most interesting conclusions from Robert Philip's study of recordings is that 'musicians do not necessarily do what they say'⁹. The gap between genuine performance practice and performers own rationalisations may be considerable, and this is may produce fascinating speculation on why performers (and others) make ideological and musical claims for their work that are not in any literal sense true¹⁰. The gap between performance practice and contemporary theoretical treatises on performance may also be considerable, since neither do performers necessarily 'follow the advice of teachers or contemporary writers' - indeed Philip claims that 'in many cases it would be impossible to deduce everyday features of performance without the recordings'¹¹. Examining recordings empirically allows us both to discover a more straightforward truth about such aspects as performance timing, and also hence to reach a deeper understanding of performance-related discourses.

Contributions to historical understanding

The sense that writings about performance constitute a particular form of information, and not one that can be trusted literally, has ramifications for the period beyond that for which recordings are available. The gentle scepticism which arises from

⁹ Philip, *Early Recordings and Musical Style*, p.2.

¹⁰ See section 3.4 on 'diagonal' performances for an example of the gap between discourse and practice. A contrasting example is discussed in Martin, *Analysing Musical Recordings*, p.12-18, and also section 2.1, 'Reconstructing a Concept: The Case of 'Compensating Rubato'', p.64-82.

¹¹ Both of these quotes are from Philip, *Early Recordings and Musical Style*, p.2.

comparing descriptions of performance to recordings of actual performances should have an impact on the study of performance practice of an earlier period. In particular, by studying recorded performances in conjunction with appropriate commentaries, one might gain more general insights into the geographical restrictedness of performance styles, the slowness of uptake of performance ideas into theories, and the difference between prescription and description in critics' approach to performance style. In turn, listening to early recordings leads the scholar to the conclusion that performance style can be far more different from recent ideals than one would otherwise dare to believe¹². The insight into the type, and breadth, of possibilities from an age still further distant from us than the 1910s and 1920s gives us inspiration when postulating modes of 'historically justified' (so-called 'authentic') performance. The field of performance analysis can thus provide insight into matters of historiography and performance practice in earlier periods which might initially be thought to be beyond its purview.

The empirical study of performances allows historical and geographical trends to be isolated, on a stronger basis than that of hearsay. Examples of each of these types of trends can be found in the text below. For instance, the historical trend is that the tendency to interpret Sibelius's Fifth Symphony, first movement, as a one-movement sweep is gradually overtaken in popularity by the tendency to interpret it as a two-movement pattern. Furthermore, by examining performances we can suggest reasons why this might have happened (section 3.3.5). To one side of this trend stand the Russian conductors, whose stylistic tradition provides yet another pattern of interpretation (section 3.4). Why this might be so is open to speculation. Hence, if it is fully interpreted, the information revealed by performance analysis can have implications which are not only analytically interesting but also culturally pertinent.

Finally, recordings can be drawn into a web of reception history by studying them using these methods. Further to viewing the piece, or the recording, as of autonomous structural interest, the scholar can trace lines through the recording as a document in order to draw out its implications into other cultural realms¹³. A recording constitutes a site of reception for influences including not only other performances, but also writings about music and other unsuspected factors - a concept which was illustrated by the large

¹² For a case study in this point, see the discussion in section 3.2.1, 'Initial observations', of Kajanus's recording of the Sibelius symphony.

¹³ This type of approach is outlined in Gary Tomlinson's article 'The Web of Culture: A Context for Musicology', *19th-Century Music* 7 (1984), p.350-362.

field diagram (Example 1-2) in section 1.1. Moreover, a recording can also influence both other recordings and conceptual thinking: an example might be the ways in which the performance of Sibelius's Fifth Symphony affected constructions of his symphonism in 1930s Britain and hence contributed to a awareness of British symphonic production¹⁴. This type of approach will be returned to in section 3.7 where some broader conclusions from the material examined will be drawn.

These contributions, viewed from a slightly different perspective, boil down to two major concerns: to shake up the firm boundary between the ways we construe performance and analysis, to their mutual possible benefit; and, also, to throw new light onto performances themselves, in order to deepen our understanding of them. These activities will be pursued in subsequent sections of this chapter.

3.1.2 Methodological issues

Tempo mapping and its error margins

The results in this chapter were obtained by using an empirical method to collect tempo data from forty-one recordings of the Fifth Symphony, first movement. The computer software used is known as Tempo, and was written by James Davis of Stanford University (in consultation with José Bowen). Whilst using this program the researcher listens to a performance from an independent sound source (i.e. CD player, cassette deck, or record player) and marks each metrical beat by tapping a computer key. The program uses the time elapsed between taps to calculate a Maelzel's metronome marking for each bar (or beat) of the music, and these figures can then be imported into a standard spreadsheet program to make tables or graphs of the data. This standardised methodology is known as 'tempo mapping', and has previously been explored by scholars including Nicholas Cook, José Bowen, and Sarah Martin¹⁵.

The computer program thus does not have any direct contact with the music, but relies on the intermediate human researcher to feed it the metrical structure to measure.

¹⁴ For a discussion of such issues which does not primarily focus on performance or recordings, see Laura Gray's thesis *The Symphonic Problem*, part of which has been published in the *Sibelius Forum* as 'The Symphony in the Mind of God'.

¹⁵ Cook, 'The Conductor and the Theorist'; Bowen, 'Tempo, Duration and Flexibility' and 'Finding the Music in Musicology'; Martin, *Analysing Musical Recordings*.

Hence it is the tempo of the metre which is shown on the graph, and not that of the musical events (notes and chords) themselves. This approach contrasts with some alternative methodologies which I shall mention below, and has various advantages and disadvantages.

One of the challenges this method presents is that of locating the downbeat, or indeed any beat, since it is this which the data I have collected is based on¹⁶. The ease and certainty with which a metrical beat can be located depends on the music investigated, and will affect the accuracy which can be claimed for the data¹⁷. Previous investigators have concentrated on the music of Beethoven, and on toccata-like piano pieces where regular note onsets define most beats and downbeats. However in his Fifth Symphony Sibelius often ties all sounding notes over barlines in a slow syncopated fashion (see, for example, bars 64-65, 68-69, 71-72, etc), or writes a rest on the downbeat (e.g. bar 28), which means that the barline can be clearly located only in retrospect. This is not a problem where the tempo is constant through the passage, as one merely continues tapping at the same rate. (Such a procedure corresponds to Nicholas Cook's practice of averaging out two bars whose dividing barline is unclear¹⁸.) The correctness of the researcher's tempo is confirmed on reaching the next articulated beat, usually the second of the bar. If this coincides, one can assume the tempo is correct; if not, the passage must be tapped again, taking the slight *accel.* or *rit.* into account. This makes for a slight unreliability of data at this point, since one cannot be sure by ear where exactly the change in tempo was implemented.

There are a couple of notorious areas in the first movement of the Fifth Symphony where particular care must be taken. One is bars 90-92, where there is an *allargando al ... Largamente* which is articulated only by occasional sustained chords for the wind, timpani, and double bass, placed on offbeats (Example 3-1a). Here the *forte* entry of the unison strings often startles one by beginning before, or after, the 'tapping' measurement has arrived at that point. In such a case the passage must be repeated until one has correctly anticipated the progress of the previous bar. Similarly, the very opening of the piece (bars 1-3) contains a pitfall, as the long pause on the last beat of bar 2,

¹⁶ It is possible to collect data from every beat of the music instead of finding an average of every bar as I have done here (i.e. in this piece, this would produce four times as much data) but this shows rather more foreground fluctuation than is useful or clear for the kind of work which is based on large spans.

¹⁷ The philosophical implications of having to locate the downbeat will be considered in section 3.1.3.

¹⁸ Cook, 'The Conductor and the Theorist', p.109, n.5.

together with the slurs of all instruments over the barline, mean that one has no idea where the conductor ‘moves off’ into bar 3 (Example 3-1b). However, this moment is not as challenging as it appears, since there is often a subtle articulation in the instruments’ sound on the downbeat, barely consciously perceptible, which causes one to choose the correct moment. Furthermore, there are only a certain number of options in most recordings: usually conductors pause for a whole number of beats (often one dotted crotchet exactly), which limits the number of re-takes necessary. (These matters would be easier if video instead of just audio tapes/discs were being used, as one could then follow the conductor’s beat, assuming he is both clear and in shot at the time.)

The answer to such difficult passages is, firstly, to tap the passage a number of times until one is satisfied that one has made a fair representation of it, and to use that final version to generate the data¹⁹. Fortunately, the Tempo program allowed the user to begin again in the middle of the movement at a chosen bar, and then to splice the data together at a chosen point. The other side of reliability is caution, and I have indicated in the text below where a particular recording has proved to be impossible to assess at a given juncture²⁰.

In addition to particular points of difficulty, small inaccuracies in the data will occur throughout any tempo mapping session. These are due predominantly to human motor control, since the response time of the computer is so fast in comparison. Once more, the flexibility of the program means that if one is aware that a hand or other part of the body has interfered with the accuracy of the procedure, one can simply take that passage again. The overall error margin for tapping in this way has been estimated by

¹⁹ Unlike some researchers, I do not habitually repeat the whole movement several times to calculate an average; I consider that in this way one has produced an artificial set of numbers corresponding to no actual ‘performance’ of tapping the piece (although I am happy to ‘cut and patch’, or start again, in certain areas which I have found to be unsatisfactory on a first ‘take’). Taking an average of, for example, three tappings of the movement would merely mean that my initial, faulty anticipation of the metre would still be present to a factor of 1/3. Furthermore, one is just as likely to make the same mistake on a subsequent re-trial. Such a procedure is probably perfectly satisfactory for music which does not contain major pitfalls as described here. (I discuss a case study for multiple re-tappings in the text below.) However, the length of the Sibelius excerpt chosen, and the number of recordings examined, mean that it is impractical for this study. For these reasons, I prefer to collect one, accurate, reading of the movement.

²⁰ E.g. in section 3.2.1 below (‘Kajanus’, under the heading ‘Initial observations’), where the impossibility is due to a different factor, namely faulty ensemble.

various researchers as perhaps 3 - 5% for each item of data²¹, or according to another estimation, correct within + or - 3 beats per minute²². As Cook points out, whilst a deviation of this magnitude may make over-interpretation of small details unadvisable, 'inferences regarding the broad shaping of tempo [...] are robust'²³. However since, like the previous studies on symphonic music, my interest is largely in the large-scale pattern (viz. the division into 'one movement or two' and other large articulations) these inaccuracies can be considered tiny in comparison. Where a focus on details of the graphs has had implications for their interpretation (as in sections 3.3 and 3.5.3) the reader has again been alerted to the possibility of inaccuracy.

The replicability of these results should not be in doubt, since a comparative case study in re-tapping the same portion of music gave astonishingly reassuring results. The graph shown in Example 3-2 illustrates two tapplings of the same recording (Sanderling [22]²⁴), done about four months apart. The outlines show what is without a doubt the same recording: in many places, the second tapping (line with crosses) covers exactly the same points as the first tapping (line with circles), for example during most of bars 1-106²⁵. The tiny differences in amount of articulation, for example at bar 498, do not by any means detract from the overall shape of the graph, which is the same both in outline and in the amount of up-and-down fluctuation shown²⁶.

Because - due to the mutual accuracy of the data points - this graph is hard to read, Example 3-3 presents the first part of the two data sets which generated it (shown in

²¹ Cook, 'The Conductor and the Theorist', p.114.

²² Bowen, 'Can a Symphony Change? Establishing Methodology for the Historical Study of Performance Styles' (in *Bericht der Internationaler Kongreß der Gesellschaft für Musikforschung: Musik als Text* (Freiburg: Bärenreiter Verlag, in press)), quoted in Martin, *Analysing Musical Recordings*, p.26, n 54.

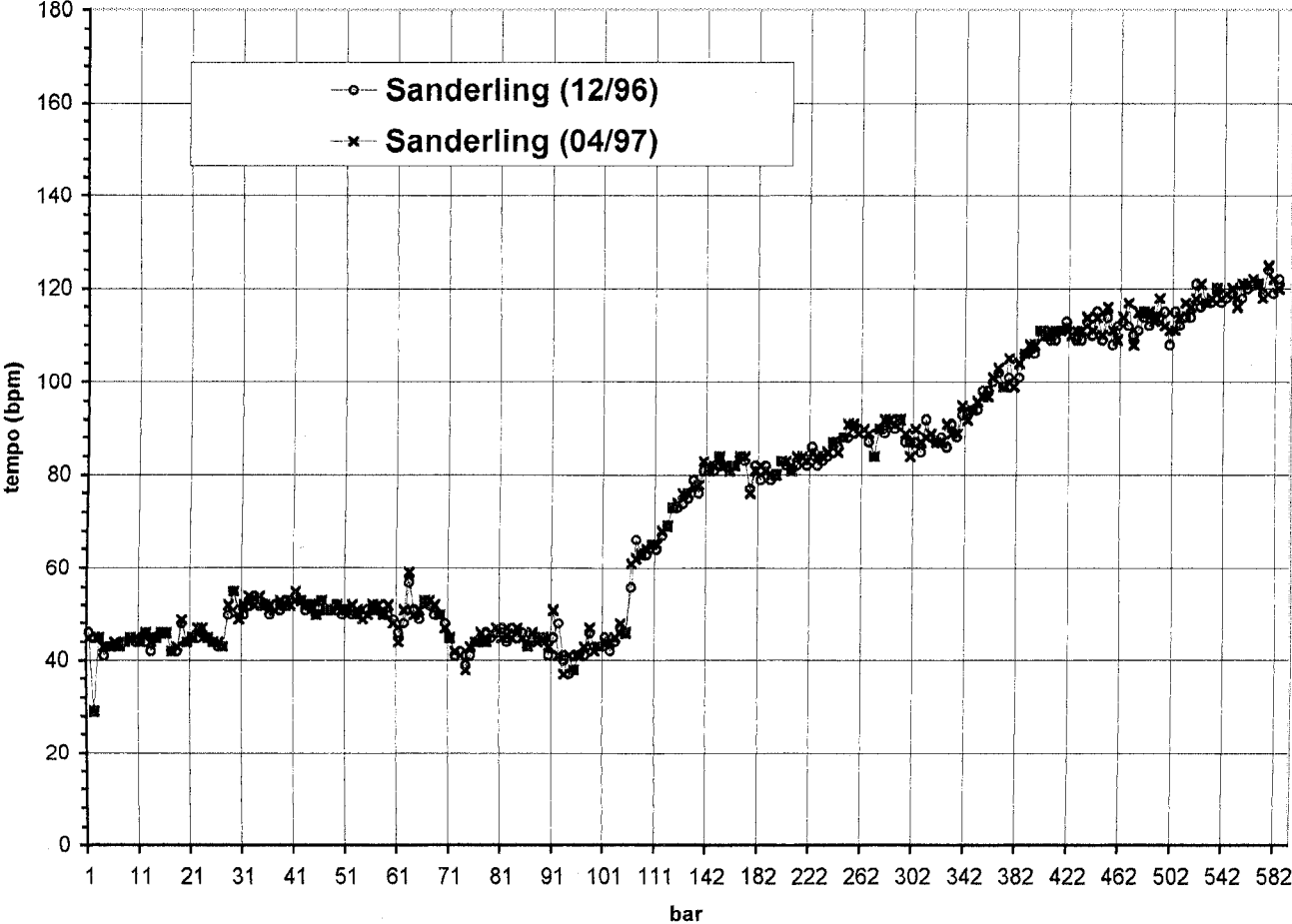
²³ Cook, 'The Conductor and the Theorist', p.114.

²⁴ For more information about the recordings and their numberings, see discussion under the heading 'The set of recordings' below.

²⁵ This graph can be compared with the graph of two distinct, though similar, recordings by Alexander Gibson which are shown on the same graph in Example 3-20. These are clearly different recordings, as shown by the contrasting tempo levels in bars 298-598 (reversed from bar 490 to the end), and the differences of interpretation during bars 100-108.

²⁶ The difference at bars 105-106 is potentially more significant, since it marks the moment of transition which can define a one- or a two- movement interpretation. In fact in neither version does the performance polarise either way (as can be seen from Example 3-16 below) - these articulations are simply too tiny.

Example 3-2: Repeated tapings of the same performance
(Sanderling [22])



Example 3-3: Table of data showing two tappings of the same performance

	Sanderling (12/96)	Sanderling (04/97)	Sanderling mod (col 2 minus col 3)	Average col 2 and col 3	Percent error [to 2 D.P.]	Average error [percent]	Average dmnce [absolute]
1	46	45	1	45.5	2.2	1.83	1.26
2	29	29	0	29	0		
3	45	45	0	45	0		
4	41	43	2	42	4.76		
5	43	43	0	43	0		
6	43	44	1	43.5	2.3		
7	43	43	0	43	0		
8	44	44	0	44	0		
9	45	45	0	45	0		
10	44	45	1	44.5	2.25		
11	44	44	0	44	0		
12	46	46	0	46	0		
13	42	44	2	43	4.65		
14	45	45	0	45	0		
15	46	46	0	46	0		
16	46	46	0	46	0		
17	42	42	0	42	0		
18	42	43	1	42.5	2.35		
19	48	49	1	48.5	2.06		
20	44	44	0	44	0		
21	45	45	0	45	0		
22	45	47	2	46	4.35		
23	46	47	1	46.5	2.15		
24	45	45	0	45	0		
25	44	44	0	44	0		
26	43	44	1	43.5	2.3		
27	43	43	0	43	0		
28	50	52	2	51	3.92		
29	55	55	0	55	0		
30	51	49	2	50	4		
31	50	52	2	51	3.92		
32	53	54	1	53.5	1.87		
33	53	52	1	52.5	1.9		
34	52	54	2	53	3.77		
35	52	52	0	52	0		
36	50	52	2	51	3.92		
37	52	51	1	51.5	1.94		
38	51	53	2	52	3.85		
39	53	52	1	52.5	1.9		
40	53	52	1	52.5	1.9		
41	54	55	1	54.5	1.83		
42	53	53	0	53	0		
43	51	52	1	51.5	1.94		
44	52	52	0	52	0		
45	50	50	0	50	0		
46	53	53	0	53	0		
47	51	51	0	51	0		
48	51	51	0	51	0		
49	52	52	0	52	0		
50	50	51	1	50.5	1.98		
51	51	51	0	51	0		
52	50	52	2	51	3.92		
53	50	51	1	50.5	1.98		

the second and third columns, in beats-per-minute and to the nearest integer). The fourth column shows the difference between them (as a positive number) - frequently zero - and the sixth column shows the percentage error, calculated as the difference divided by the average of the two tempos. The seventh and eighth columns show that, for the movement considered as a whole, the average error is 1.83 percent, which is an average difference of 1.26 beats-per-minute (metronome markings) across the movement²⁷. This result shows a smaller average error than the studies mentioned above, and - given that mechanical metronomes only have settings to the nearest 3 or 4 beats-per-minute across their middle range - these results must be considered to be relatively accurate²⁸.

This method of tempo tapping shows itself in practice to be successful both in illustrating the difference between overall tempo strategies (see, for example, the contrasting shapes of graphs in section 3.2 cf. graphs in section 3.3) and in revealing the patterns of local rubato which so clearly differentiate an individual's performing style (see discussion of Kajanus's conducting under section 3.1.2, 'Initial observations' subsection). Its uses, and subtleties, will become evident in the rest of the chapter as the results are inspected. To interpret these graphs successfully requires a certain initial suspension of disbelief in the process, which nonetheless must be coupled with a sharply critical attitude towards over-interpreting the findings.

Alternative methodologies

Tempo mapping - using a computer program to calculate the bar-by-bar tempo data - grew out of early attempts to measure tempi by using a mechanical metronome. To do this, one sets the recording playing, and then tries to align the speed of the metronome with that of the recording, by adjusting the setting of the slider until the beats are synchronised. This is a very difficult practice, and hence researchers using this method tend to make a far smaller number of measurements in order to merely sample the tempo at certain key points.

We can compare the efficacy of metronome measurement by considering a particular performance of Sibelius's Fifth Symphony, first movement, which has been

²⁷ A similar graphic result was obtained using two tappings of the recording by Leinsdorf (number [3]).

²⁸ Admittedly, these inaccuracies are measured in relation to one another, and not as against some ideal standard of correctness which is, of course, sadly unavailable. The *genuine* accuracy of the tempo graphs, viz-a-viz the music itself, and whether such a measurement is even possible, is a music-philosophical question and hence will be discussed in a separate section below.

measured by Robert Philip (with a metronome), James Hepokoski (with a metronome) and myself (using the tempo mapping program)²⁹. The first two researchers produce a number of data points, 11 in Philip and 13 in Hepokoski, which when plotted on a graph³⁰ give the outlines shown in Example 3-4. My own measurement of the same performance, that by Kajanus and the LSO, can be seen in reference graph number [1] in Appendix 4. This comparison suggests that, firstly, the metronome method gives an unreliable result, since, although using the same approach, the two graph-lines contradict one another. This is the case even where the two scholars have chosen the same points on the x-axis to measure: for example, at bar 507, where Philip has 120 bpm and Hepokoski has 112 bpm³¹. (Compare the 1.26 bpm error rate I found in replicating data collection using the tapping method.) Even this size of error means that the two graphs are significantly different in shape during the last 200 bars of the performance.

The problem is worsened by the fact that the two researchers select different points on the x-axis to sample the speed of the music. Hepokoski discerns a dip in tempo at bar 158, whilst Philip does not measure at this point. The latter's note amongst the data that, against a basic tempo of 63 bpm at the opening, there is a rise up to dotted crotchet = 68 after D (bar 28) does not tell us where or how this rise happens, what happens afterwards, or how or where the new tempo of 56 bpm (at bar 92) is reached - gradually or abruptly. Indeed, it makes very little sense to link up the dots between disparate measurements on a graph of this kind. By consulting reference graph [1], all the questions raised by this data can be answered. Furthermore, this graph shows that the earlier attempts have missed much of the middleground detail: for instance, how the conductor actually accelerates up to bar 88 and then makes a sharp drop in tempo³². It transpires that Philip's measurement of 56 bpm, and Hepokoski's of 60 bpm, at bar 92 are good measurements neither for the average tempo (before or after), nor the peak reached just before, nor the trough reached at that moment, but represent some kind of

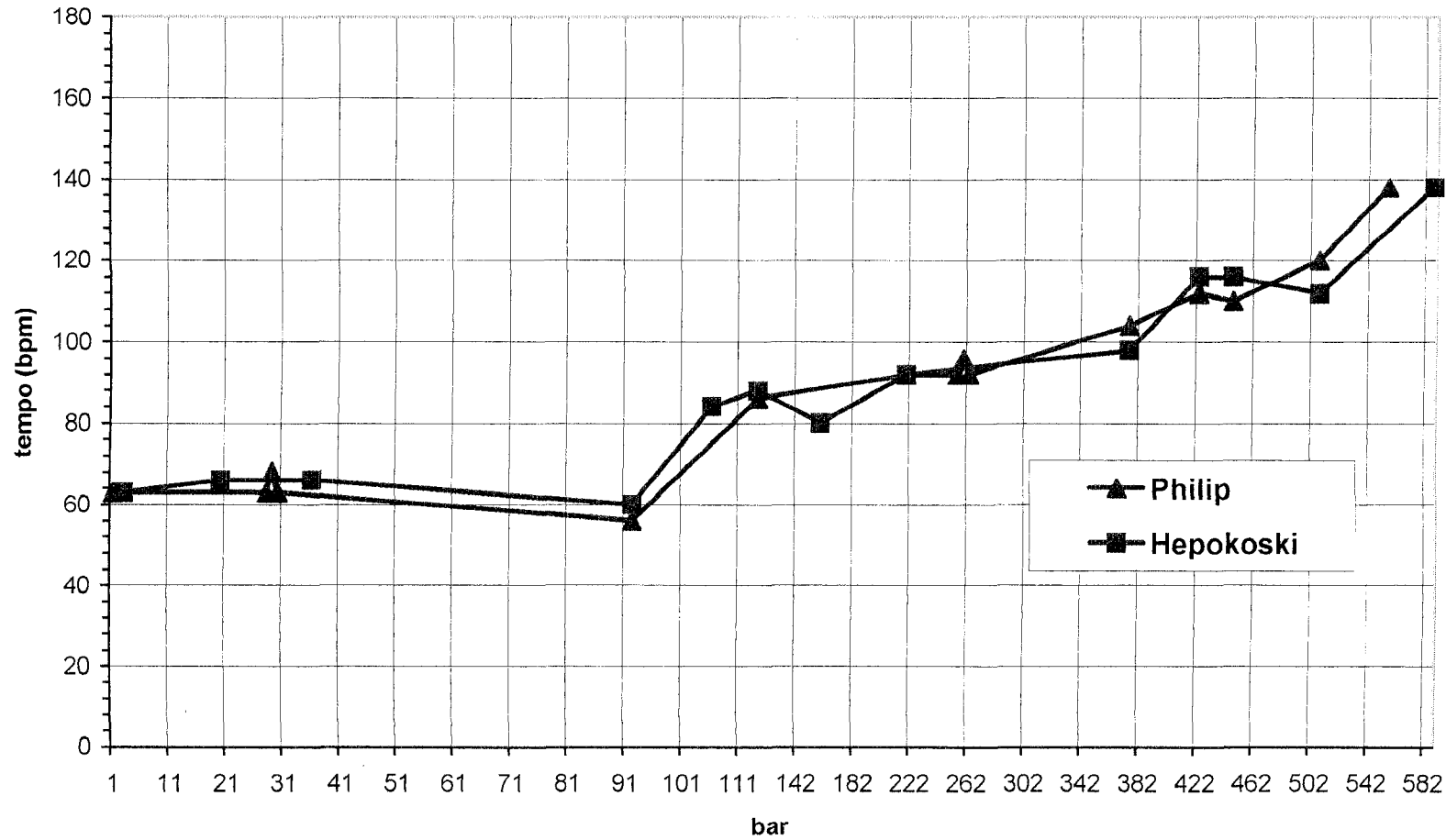
²⁹ Philip, *Early Recordings and Musical Style*, p.33; Hepokoski, *Sibelius: Symphony No.5*, p.89.

³⁰ This graph has been plotted for the present study, to show the data clearly; Hepokoski and Philip do not use graphic methods, nor mention the possibility of them, but merely list their data in a table.

³¹ Philip uses page numbers and rehearsal letters/written markings to indicate his points of sampling, but these have been converted to bar numbers for ease of comparison here, so that for instance 'Presto (p.60)' clearly indicates the *Presto* at bar 507.

³² To take another example, the drop in tempo after bar 158 followed by the slow climb up to bar 254 is hinted at in Hepokoski's line graph, but much clarified in reference graph 1.

Example 3-4: Tempo graphs of Sibelius's Fifth Symphony, first movement,
using metronome measurements



compromise which is hard to interpret. Unfortunately for Philip, too, the foreground ‘tempo rubato’ in which he is particularly interested³³ is entirely edited out by his chosen method, a feature of performance practice which is especially noticeable when comparing the tapping graph of Kajanus’s performance with those of later performances.

It is clear from this investigation that computer tempo mapping is far more accurate and is able to inform a wider range of issues than the results produced by measuring with a metronome. Nonetheless, it is these pioneering studies, characteristic of the early 1990s and before, which stimulated interest in this area and led to the tempo mapping programs being designed and distributed. Some sensitive and informative work has been undertaken using a basis of metronome measurements³⁴, and they provide an early intimation of what might be possible in the area of tempo measurement and interpretation.

A more advanced possibility for tempo measurement is presented by the new programs which are designed to measure directly the wave-form of a sound recording. One feeds the computer a CD recording, and it scans the CD to display on the screen a wave-form of the fluctuations of intensity (as finely or coarsely grained as one could require)³⁵. The main use of these programs is to extend investigation into measuring sound intensity (i.e. loudness) from the amplitudes of the resulting visual waveforms. Such graphs are still at an early stage of interpretation, however: they prove rather more counterintuitive than tempo graphs, since the measured amplitude of sound bears no relation to the perceived ‘dynamics’ of the music³⁶, and are usually not even recognisable by eye. For tempo measurement, these programs give only the illusion of increased objectivity and accuracy, since the human observer still has to go through the graph of sound intensity fluctuation and tell the computer where each note, chord or beat is considered to begin. The computer cannot, as yet, understand the music coming in and

³³ Philip, *Early Recordings and Musical Style*, chapter two, ‘Tempo rubato’, p.37-69. The first chapter, from which this data is compiled, is concerned with a more middleground ‘flexibility of tempo’.

³⁴ As well as Philip’s book which samples performances of a wide range of pieces, one might also point to John Rink’s article ‘Playing in Time’, and Risto Väisänen’s ‘Problems in Performance Studies of Sibelius’s Orchestral Works’, which prefers a ‘terraced’ (rather than diagonal) style of graph.

³⁵ One such program is *Sforzando*, written by Rod Johnson of Sydney University. A pilot study using this program appears in Vaughan, *Musical Analysis and Performance*, p.73 and p.81-83.

³⁶ This is due to the fact that, for instance, *p* from the full orchestra may actually be considerably louder than *mf* from a small sub-group, although to the ear it gives the effect of softer playing.

determine what constitutes a note onset (let alone a metrical beat) from the complex wave-form which it picks up; this would be an advanced feature of artificial intelligence, and is the next step in tempo analysis of recordings³⁷.

To analyse the tempo patterns in a large set of recordings of a long movement by hand from a wave-form graph would be impossibly intricate and time-consuming, with no increase in accuracy at the bar-to-bar level. Using this method would have excluded all those recordings not in CD format; furthermore, wave-form editing programs were not widely available at the time of commencing this study. The tapping method is a suitably medium-grained method to use for large movements which are being considered in their general outline³⁸. It also has the advantage of forcing the human observer to listen to the recording being measured, in order to check the veracity of the information being generated (see, for example, 'Other parameters' discussion, in section 3.1.3 below).

One final alternative methodology for tempo measurement is the analysis of MIDI data, produced by an electronic keyboard. Useful studies have been produced using this method³⁹, which is highly accurate and does not suffer from the problems of determining note onsets, since these are simultaneous with the keystrokes of the electronic piano. However, this method is obviously not suitable either for orchestral (or any non-piano) music, or for previously-recorded performances. It is more used for controlled experiments on students and volunteers, and not for *ex post facto* historical studies of this kind.

From this comparison of methodologies it can be seen that the tapping program occupies a middle ground between computer-based 'objectivity' and human subjectivity. The first stage of data input relies entirely on human perception and response; the data is then manipulated and graphed by the computer; and the interpretation of the graphs is done entirely by the human scholar. False claims to objectivity using this method are therefore out of the question, despite the 'empirical' nature of one or more stages⁴⁰: the

³⁷ Whilst it may be soon within reach for simple piano music, the 'buzzing, booming confusion' of orchestral music demands a human brain to interpret it for the foreseeable future.

³⁸ For a general critique of wave-form programs and their application to large studies of this kind, see Martin, *Analysing Musical Recordings*, p.26 and n. 55.

³⁹ See, for example, Vaughan, *Music Performance and Analysis*, p.85-95f; this section, entitled 'MIDI and Performance Analysis', also gives examples of previous studies using MIDI (p.91) and further details of the technology (p.91-92 and p.88).

⁴⁰ Sarah Martin discusses extensively the issue of apparent objectivity, suggesting there is resistance to introducing empirical methods into musicology 'because it involves *musicological* study of *scientific* data,

final stage of interpretation remains as subjective as a score-based music analysis, in its choice of details for examination and their incorporation into a narrative.

The set of recordings

The current study uses the tapping methodology outlined above to collect data from forty-one recordings of the work in question. This constitutes a relatively large sample, compared to Hepokoski's seven, and enables more detailed conclusions to be drawn. Sarah Martin, in studying Beethoven's Third Symphony, compared 22 recordings, which she considered a reasonable balance between breadth and depth, whilst José Bowen, in examining Beethoven's Fifth Symphony, measured a much greater number of recordings⁴¹. However large the sample in these cases, these writers cannot hope to achieve anything like completeness in their chosen repertory, since the popularity of Beethoven's music makes it extensively recorded. Sibelius's moderate popularity (in comparison) allows the researcher to gather a complete set of recordings, given certain criteria.

The set of recordings used here comprises all recordings released in Britain between 1932 (the first release) and 1989. The reason for this choice is that the present study began as a reception study, examining the cause and effect of recordings and writings in Britain (a perspective which still remains in Chapter Two). The cut-off date reflects both the burgeoning of recordings in the 1990s (presenting a similar problem to that of the Beethoven performance-analysts), and the discographical source through which the recordings were traced: Guy Thomas's *The Symphonies of Jean Sibelius: A Discography and Discussion*, published in 1989. These criteria give thirty-five recorded performances, to which are added six further performances either recorded or merely released after 1989. These recordings are listed in Appendix 3, the Discography, where

thus breaking down institutional boundaries' (Martin, *Analysing Musical Recordings*, p.9, emphasis in original). The fear in certain quarters seems to be that researchers will use 'hard data' to make 'overly generalised and narrowly objective' conclusions about music, and in particular to claim that performers and other musicians are wrong where they demur from these conclusions (p.11) This is likely to be a response that is fading, however, as performance studies make more effort to be sensitive to the performer and other types of commentator on music: see Martin, *Analysing Musical Recordings*, section 2.1, 'Reconstructing a Concept: The Case of 'Compensating Rubato'', p.64-82, where such differences are explored in a more sophisticated manner.

⁴¹ Martin, *Analysing Musical Recordings*, p.131; Bowen, 'Tempo, Duration and Flexibility', Figure 9d.

the recordings are hence numbered from one to thirty-six⁴², with the addition of [B1] through to [B6] for the extra recordings in a separate sequence. These latter recordings should not be labelled as simply numbers 37 to 41, as in several cases the chronology is mixed: the first three were performed earlier and only released in the early 1990s⁴³.

Appendix 3 shows the information in the form 'number - conductor surname - orchestra - date of release'⁴⁴; in the text each recording will be referred to in the shorter form 'number - conductor', or occasionally just by number, which is sufficient to identify it.

Each recording is represented by a 'reference graph' of the whole movement's tempo, and these are bound together in sequence in Appendix 4. They can hence be consulted at any point during the textual discussion, whilst specific graph examples continue to be found in the text near the point at which they are referred to.

3.1.3 Philosophical issues

Several questions arise in response to the tempo mapping of recordings and the language used to describe the results. Some of these issues have been touched upon in previous performance-analytical studies (as will be seen below), whilst some are only beginning to emerge. It is my purpose in this sub-section to confront a selection of relevant issues more squarely, both in order to continue the debate and as a point of reference for further study.

⁴² The recording originally numbered [6], conducted by Ehrlich, although shown in Thomas's discography as released in 'Europe', was not in fact released in Britain at the time, since Thomas's designation misleadingly refers to the continental mainland only. This recording has therefore been discounted although it remains in the numbered list.

⁴³ The same is also true of three of the recordings in the main sequence, namely [27] Panula, [31] Kondrashin, and [35] Berglund. These recordings have been listed according to their release dates in the sequence, following their position in Thomas's discography, but it may be necessary to bear in mind that they were performed earlier when considering performance trends and influences.

⁴⁴ For fuller information on the first 35 recordings, e.g. recording numbers, one should consult Thomas's discography directly: see Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.53-57. The list in Example 3-30 (section 3.6, 'Programme notes') presents an account of which release was actually used, since this affects the programme notes far more than the sound recording.

Postulating a beat

Lee Tsang has identified several theoretical problems with the empirical study of recordings, some of which (e.g. the ‘patching’ together of sections of data) have been incorporated into the above discussion, and some (e.g. the discrepancy between acoustical intensity and listeners’ perception) which are not relevant here. However, his main contribution has been a critique of the notion of ‘beat’, which doubts whether notes have a clear onset moment which can be identified. In a paper called ‘Bridging “The Gap”’, Tsang points out that many instruments have a gradual onset pattern to their sound, that is, the note does not start abruptly but makes a tiny crescendo into perceptibility. This onset shape can vary up to one tenth of the length of the note – hence raising the question of when one would tap. Furthermore, different instruments playing together (e.g. a violin and an oboe) have what is called a stream asynchrony, due to the different onset patterns of their waveforms. This adds to the complexity of identifying the start of a note, and hence a beat, within an orchestral texture.

Such issues are of great theoretical interest, and should be pursued within the area and methodologies of psychoacoustics where further research could greatly contribute to understanding. Nonetheless, in practical terms they do not necessarily affect performance studies in a crucial way, as the inaccuracies which Tsang describes are likely to be subsumed under the 3 - 5% margin-of-error which has already been taken account of in section 3.1.2. Furthermore, however difficult and unlikely it seems that individuals could identify, coordinate, or respond to the start of a note, it remains the case that musicians of all types regularly achieve this task to the satisfaction of the musical community. Rather than being artificial experimental behaviour, the anticipatory skills invoked in the methodology of tempo mapping are those that have been developed in ensemble playing, in conducting (or following a conductor), or in simply tapping one’s foot to a piece of music⁴⁵. Hence a critique such as Tsang’s would be as undermining to all forms of

⁴⁵ For example, Tsang states that ‘if [a] cor anglais player and [a] violinist initiate excitation at exactly the same time, the points at which their tones reach maximum amplitude will be divergent’ (excerpt from Tsang, ‘Bridging “The Gap”’, personal communication by email, 4th August 2000) – but the point is that the players wouldn’t (for this reason) initiate excitation at the same abstract moment: part of the expert process of playing the instrument involves taking account of this factor and placing the note where it will sound ‘together’ or ‘on time’.

music-making as it would to empirical research if taken too seriously⁴⁶. These arguments, whilst deeply worthy of philosophical consideration, should not be allowed to call a halt to the growing discipline of performance analysis, but instead should provoke research which will support and strengthen it.

Interpreting results - a movement division?

The tempo graph of a recording of Sibelius's Fifth Symphony, first movement, can be interpreted to reveal structural as well as stylistic aspects of the performance. Such an interpretation tells us not only where the performance was fast or slow, but also which points in the music are significant to the performance. I follow the theory that a constant tempo sets up a psychological expectation of its own continuation, so that a change in this constant tempo at a certain point 'marks this this point in the music for consciousness'⁴⁷ as far as the listener is concerned. The point thus marked-for-consciousness should hence be regarded as significant, and may in certain cases be interpreted as a structural boundary or articulation, with the size of the change considered to indicate the articulation's significance to the performance concerned. Changes in tempo of all varieties, such as rallentandos, ritenutos (a temporary slower speed, rather than a gradual slowing), pauses, or adopting a suddenly faster tempo, can all thus be used to mark structural points.

One particular form of tempo articulation has been studied in depth, and can be taken as representative of the other types. The use of slowing to mark structural articulation is 'a commonplace of performance practice', according to Nicholas Cook⁴⁸ and this correlation has been backed up by several experimental studies, including that by Schaffer and Todd who concluded specifically that 'one of the major expressive devices in musical performance is the use of slowing to signal the boundary of a musical unit'⁴⁹. Neil Todd found that a convincing musical performance could be generated by applying a tempo-distorting paradigm, based on hierarchical phrase structure, to a 'neutral'

⁴⁶ The difficulties involved with, for example, catching a ball which is flying through the air would no doubt seem prohibitive if considered mathematically – though, equally, much could be learnt about the human mind by studying it in this way.

⁴⁷ Cook, 'The Conductor and the Theorist', p.117. Cook borrows this latter phrase from Grosvenor Cooper and Leonard Meyer's *The Rhythmic Structure of Music* (Chicago: University of Chicago Press, 1960), p.8.

⁴⁸ Cook, 'The Conductor and the Theorist', p.117.

⁴⁹ Shaffer and Todd, 'The Interpretive Component in Musical Performance', p.139.

(metronomically strict) computer performance. This phenomenon could arise from the necessity, when singing, to breathe at the end of a phrase, thus in many cases delaying the start of the next phrase. The association between tempo changes and the end of syntactical or conceptual units would thus become ingrained. Hence the association between tempo inflection and structural articulation has support from both psychological theory and experimental findings.

There may well be explanations other than the structural for a tangible change of tempo. These might include the desire for variety, dramatic effect, or even technical difficulties. The subtleties of interpreting such a tempo gesture will be considered further below in connection with the intention of the performer. However, in the case of Sibelius's Fifth Symphony, where a pronounced articulation can be found in the middle of the first section of music (bars 1-586), this will provisionally be considered as a structural division of the deepest kind, dividing the passage of music into two nominal 'movements' or structural sections. Several factors reinforce the decision to observe a movement division (rather than merely a secondary division, or a more superficial gesture) at an appropriate point of structural articulation in the middle of this passage. The emphasis on formal considerations, in the symphony as a genre, means that gestures are likely to be interpreted in this abstract way, rather than in a necessarily programmatic or demonstrative manner. Furthermore, the well-known prevarication of the composer over the number of movements in this piece creates an area of conceptual weakness around the middle of the movement⁵⁰. The amount of critical writing about the possible two-movements-within-one structure, much of it well circulated (see section 3.7, 'Programme notes') prepares the listener to have to decide for him- or herself about the nature of the music, a decision that will be swayed by factors including his or her perception of whether the performance seems divided or undivided in sound. And the ambiguous balance of unity and contrast within the music (see Chapter Two, section 2.5) could be resolved either way even by a listener who has escaped having this issue verbally drawn to his or her attention. The perception of a single, or a double, *Gestalt* in this piece of music will thus be received with significant attention by many listeners. In other genres, or pieces, a large tempo articulation might be less significant and carry less interpretational weight.

Where there is a significant structural articulation in the middle of the music, therefore, one can hesitantly postulate a movement boundary in the performance. This

⁵⁰ See Appendix 1, on the earlier versions of the score.

leads to a consideration of what exactly defines the boundary of a movement, in music-analytical terms (rather than in a performance). The question might be put more simply, as: what is a movement? Such a simple question is harder to answer than it might initially seem. The article in the *New Grove Dictionary* makes a start on the topic: 'Term applied to any portion of a work sufficiently complete in itself to be regarded as an entity [...] Normally such portions are most obviously distinguishable by difference in tempo or "movement"' ⁵¹. In this definition, tempo is a principal factor in determining movement identity, which will hence be considerably affected by different performances.

Eric Kujawsky has given a fuller consideration of this question, and identifies three more general criteria for movement division: closure, unity (of content), and rhetorical gesture ⁵². Of course, many pieces that do not have literal closure (i.e. disjunction) still possess clear movement boundaries: Mendelssohn's Violin Concerto, for example, with its continuous musical links between movements ⁵³, suffers no resulting ambiguity. Unity of content can depend on many factors, including 'tonality [...], motive, theme, rhythm, tempo, meter, sonority, chord, harmony, affect and text' ⁵⁴ so that a passage of music that is constant in these all regards will be considered as a single movement, and one with constituent parts which contrast with each other in all these regards will be regarded as several movements. Rhetorical gesture is a more subjective aspect which to some extent depends on the other two criteria. Considering the first portion of Sibelius's Fifth Symphony under these criteria, we can see that it possesses no particular closure in the middle, but yet of the many possible unifying factors some are constant whilst some change, and the nature of the rhetorical gesture(s) is open to question (for example, as a sonata movement, or as an introduction and scherzo, etc). Indeed, the analytical controversy over movement division in Sibelius swings on the ambiguity of the latter two criteria, in which the mutual contradiction of the possible 'unifying' (or contrasting) factors plays a strong part. There is no given way, either in Kujawsky or between the music analysts, to prioritise these parametric factors (tonality,

⁵¹ Michael Tilmouth, 'Movement', *The New Grove Dictionary*, vol 12, p.660. Quoted in Kujawsky, *Double-Perspective Movements*, p.5.

⁵² Kujawsky, *Double-Perspective Movements*, p.4-14.

⁵³ That this is a nineteenth-century orchestral work is no coincidence. Playing with the elements of structure in this way is one of the 'deformational procedures' identified by James Hepokoski (*Sibelius: Symphony No. 5*, p.5-7) as characteristic of the post-Beethovenian symphonists.

⁵⁴ Kujawsky, *Double-Perspective Movements*, p.6.

theme, tempo, sonority, etc) into a hierarchy when they give conflicting messages, since such decisions will be influenced by an understanding of musical style (the importance of tonality, for instance, becoming less in the twentieth century). This is the way in which Sibelius manages to create a totally ambiguous structure which continues to be perceptually rich rather than easily resolvable.

Performance as a factor could affect, not so much the physical closure, but several of the unifying factors (tempo, sonority, and affect, for instance), as well as the 'rhetorical gesture' which is almost entirely dependent upon the style of performance. Performing, therefore, could make a considerable contribution to the perception of movement identity. For these reasons it will be assumed that performance articulation can determine in no small degree the understanding of Sibelius's Fifth Symphony as being in either three, or four, movements (that is, by dividing the first portion into two movements, or leaving it as one whole movement). How this understanding is claimed to be perpetuated around the diagram of influence between interpretation, performance, and analysis (developed in Chapter One) demands careful consideration.

The conductor's intention

Throughout this chapter, each performance is referred to in terms of its number and, usually, its conductor's name; furthermore, examples will be found, within the text, of discussion of the various performances in terms of what the conductor did or intended to do. The first of these may be seen to be merely a convenience; the second, however, may be thought to beg an important question. Does the conductor 'do' what we perceive in the music or in the graphs of its tempo? Objections to this idea generally fall into two categories: firstly, that the conductor may not have intended anything of the sort; secondly, that it is not the conductor who 'does' anything at all but the performers or other combination of people.

One simple aspect of the first objection applies to all performing musicians and not just conductors: any suggestion that performance timing is random and not amenable to control by the performer has been refuted by empirical research. On repeated trials, Shaffer and Todd found that pianists tested in a wide range of repertory could replicate their own 'timing profile' with an astonishing degree of accuracy. This confirmed their conclusion from previous studies that 'a concert musician has a very precise means of reproducing tempo and its variation in playing a practised piece of music', with its implication that 'the motor system has access to a stable and accurate timekeeper

together with a fairly definite representation of the relevant timing parameters'⁵⁵. This is confirmed here in the case of conductors by the multiple recordings of certain musicians (namely Gibson and Karajan⁵⁶) whose tempo outlines are distinctively their own even in performances made many years apart. At least these findings prove that tempo outlines are not randomly produced, but are subject to the performer's control.

Hence most conductors can be assumed to have intended the pattern of tempo which has been observed in their work; however, since the path between Performance and Interpretation is subject to friction, it cannot be assumed that they each did this to convey a certain idea (e.g. that the music is in a certain number of movements). For this reason, other phrases for describing the situation may be preferred to one which ascribes the Interpretation (I) to the conductor (or any performer). Alternatives might be that he or she 'acted in such a way as to cause (I) to happen'; or that (I) is 'conveyed' by his or her actions; or that he or she 'caused (I) to be perceived'. The first of these locates the Interpretation (I) at some kind of neutral level in the Performance trace; the second option avoids the question, and the third throws the responsibility onto the listener for perceiving the Interpretation that we are attributing to the Performance. To be too dogmatic about such a gambit would be foolhardy, as listeners may disagree on what a certain performance evokes for them. The process of moving from the 'I' of the conductor to the audible 'P' of the performance, and hence to the individual 'I' for each of the audience members is also mediated by the realisation and absorption aspects, and hence will always produce an individual result.

One possible paraphrase of this situation is that a certain Performance makes it *more likely* that a certain Interpretation may be inferred⁵⁷. Joel Lester would certainly claim that an Interpretation is both encoded into the Performance, and affects the listener's perception at the other end. Discussing the character (I) of Schumann's String Quartet in A major, first movement, he states that 'Deciding whether to view the movement as a structure based on neo-Classic mannerisms or as a vital reinterpretation of those mannerisms [...] directly affects how performers present it to us [P] and, thereby,

⁵⁵ Shaffer and Todd, 'The Interpretive Component In Musical Performance', p.150.

⁵⁶ See sections 3.2.3 (Gibson) and 3.3.1 (Karajan).

⁵⁷ One way of testing this would be to run controlled experiments with different performances and a large group of listeners who could register their opinions. Such experiments do not form a part of the present study, however.

how we hear it [I]⁵⁸, thus tracing a clear path from performers' 'I', to the performance 'P', to the listeners' 'I'. The division of a two-movement tempo graph (e.g. reference graph number [21]) into two perceptual *Gestälte*, linked by a diagonal line, is certainly a clear feature of the graph, and can easily be visually perceived in that way. To claim that the same patterns are inherently encoded in the corresponding performances is merely to make the same claim about the sound trace which is harder to consciously perceive⁵⁹.

The question of the conductor's intention is an interesting, though perhaps ultimately incidental question, comparable to the issue of the 'composer's intention' when analysing scores. It is of interest to know whether a certain *composer* intended a certain piece to be perceived as, for example, in sonata form (see Chapter Two), but the answer - of lack of it - does not stop analysts and other listeners from discussing how it might most interestingly be construed⁶⁰. In a different article, Lester breaks down the dichotomy inherent in the idea of 'performer's intention': in considering continuity issues in Strauss's 'Blue Danube' set of waltzes, he claims that 'it is irrelevant whether Ormandy's primary intention was to accent the cadence in bar 32 or to make the first waltz a discrete unit (or to make some other point, or even not to make any particular point), for both decisions are inextricably interwoven in his performance'⁶¹. Thus Lester claims that certain aspects are encoded into the performance irrespective of the conductor's actual intention. Similarly, it matters less whether Karajan (for example) intended to split the Sibelius movement into two movements, or to make an impressively-controlled *accelerando* in the middle of the movement, or to create tempo contrast in a long passage of music - for these decisions are likewise 'inextricably interwoven' in his performance.

It might furthermore be imagined that it would be best to simply *ask* the conductors what they intended to portray in a movement. This would be interesting, but for several reasons, most of them already explained, it would not answer the question. One is that to engage with performers is to engage with the *material* of performance, and not regard it as easily translatable into words (see section 3.1.1 above). Another is that

⁵⁸ Lester, 'Schumann and Sonata Forms', p.195.

⁵⁹ Such a claim about the perceptibility of sound traces relies upon the psychological theory of 'marking for consciousness', as explained above under 'Interpreting results'.

⁶⁰ For a consideration of the issue of composers' intentions from a recent, moderate perspective, see Ross and Judkins, 'Conducting and Musical Interpretation', p.17-18.

⁶¹ Lester, 'Performance and Analysis', p.213.

death, lapses of memory over years, and deliberate sophistry, as well as unavailability, intervene between conductor and interviewer (as they do between composer and interviewer)⁶². For this reason, such an approach alone would be simplistic. I have pursued some aspects of the text-music correlation in the section on programme notes below (3.7). Since performers who commit themselves to a recording generally expect an independent person to speak for them in this way (very few writing their own programme notes), I have taken this as a more interesting - even traditional - support of the performance than asking the performers directly.

The role of the conductor is given a careful examination in Ross and Judkins' article 'Conducting and Musical Interpretation'. They construct a number of 'puzzles' about the role of the conductor in interpretation, basing it on Levinson's delineation of interpretative components⁶³, which emerges as somewhat problematical: for example, if a conductor collaborates with a group of players to produce a performance, whose is the interpretation? There is no such problem with describing the situation in terms of my own scheme, propounded in Chapter One: for instance, if each player brings to the rehearsal a different interpretational scheme (I) (or none), he or she will perform accordingly (P) and the overall result will be heard by the conductor and feed into – or clash with – his or her own interpretation (I). The conductor's instructions (A, I, or something else) will then contribute partly towards a new I for all of the players, which will produce a new performance, and so on – the feedback process between Interpretation and the other factors is continuous, and is what the rehearsal period is for (though it also happens in the process of concert performance). In this way some aspects of the I will be shared, whilst others will remain individual though not necessarily put into practice – even whilst the performance (P) is a communal effort.

Hence – the comment 'the conductor does (I)' is really an abbreviation for 'the conductor and the orchestra do (I)', which has been abbreviated for purposes of

⁶² For instance, Simon Parmet writes of his analytical convictions: 'When reviewing the edition of the present book published in Sweden, a critic suggested that the most natural thing to do would be to ask Sibelius himself about this problem of the Fifth Symphony's first movement. I had, in fact, done so during a visit to Sibelius in 1954. After I had presented the indisputable arguments that seemed to suggest that the movement did really consist of two movements joined together, Sibelius abruptly changed the subject' (Parmet, *The Symphonies of Sibelius*, p.70, n. 1). Many other stories exist of this composer disclaiming structural aspects of his music that are later found to be supported in his notebooks. There is no reason to believe that performers should or would be any more straightforward about their interpretative ideas.

⁶³ i.e. in Levinson, 'Performative vs. Critical Interpretation in Music'; see Chapter One.

convenience. Furthermore, we must not overlook the contribution of the producer and post-production team, who could be said to contribute towards ‘doing (I)’ when they control the balance of the recording, or splice together parts of different performances to create a final satisfactory version. In some such cases even the tempo outline may be partly determined in post-production, though it is unlikely that this effect would be more than subtle except possibly in very early recordings⁶⁴. In this case, our comment to the effect that ‘the conductor does (I)’ is an abbreviation for ‘the conductor, orchestra, and production team together do (I)’⁶⁵ – though with the conductor being held responsible for certain aspects of the result.

Common sense comes to the rescue in attributing certain aspects of performance to the conductor. Of course the conductor and the performing musicians each make a contribution to the result. However, it is tempo that is primarily being studied here, and that is the one aspect for which the conductor is normally considered to be responsible: if a conductor cannot, or does not, impose his tempo upon an orchestra, he is generally assumed to be incompetent. (There may be other aspects: balance, sonority, and articulation may be amongst those things affected by a conductor (as discussed above), especially in rehearsal.) If, on the other hand, orchestral tone quality were the primary factor being examined, it could be reasonably assumed that the orchestra would make a much larger contribution, perhaps even in many cases a larger contribution than the conductor. The tone quality of, for example, the Vienna Philharmonic, may be more distinctive than the ‘colour’ produced by a particular conductor – but it would be

⁶⁴ We should include here the contribution of those members of the recording team who were employed to make frantic gestures for acceleration when the recording time was about to elapse, in the early recording process. However, such practices can be assumed to be extinct by 1932 when the first recording of Sibelius’s Fifth appeared. (See Philip, ‘The Recordings of Edward Elgar’, p.485: ‘The fast tempos of the pre-war period are sometimes discounted because of the need to fit the music on to the short sides of the records. This was an important factor in the days of acoustic recordings, before 1925. But after that date [...] the practice of speeding up the music to fit it on to a side became much less common.’)

For a different contribution of the recording process, consider Leinsdorf’s performance (section 3.2.2) which is disjunct in the 78s format for which it was recorded, but would make strange continuity if spliced together for a CD – as indeed it does when shown continuously on a reference graph.

⁶⁵ There are amusing stories of conductors who, on hearing an unusual tempo splice in an (early) recording made out of their performance, decided that they liked it that way, and incorporated it into their performance (discussion in ‘Off the Record’, Radio Three broadcast, 17th August 1996). (Editing stories, commented the presenter, ‘are legion’.)

surprising, and worrying, if the same were true of tempos for a given piece. Since the conductor has responsibility for the distribution of sounds in time, whilst the balance and nature of the sounds are the joint responsibility of the conductor and orchestra, it may be the case that the conductor can naturally make more of an impact on the perceived *structure* of the music (since this deals with the pattern of music in time), whereas the *character* of the music derives from the nature of the sounds and hence is the responsibility of orchestra and conductor together.

Using multiple recordings of the same piece allows us to test the theory that conductors are primarily responsible for tempo outlines. Where a conductor performs the same piece with a different orchestra, and the same orchestra is led in the same piece by a different conductor, we can begin to isolate the contributions of each party. Jose Bowen found that, for Mozart's Symphony nr. 40, first movement, 'The shapes for different performances by the same conductor are [...] remarkably similar despite the decades between performances and the different orchestras involved'⁶⁶. Likewise, repeat performances by the same conductor of Tchaikovsky's Sixth Symphony, first movement, 'yield similar results not only in general approach but down to the details of single notes and phrases'⁶⁷, even when the performances date from years later and use different orchestras. The picture that emerges from my study of Sibelius's Fifth Symphony, first movement, shows a more complicated, family relationship. Berglund's performance number [35], with the Helsinki Philharmonic, shows more in common with the same conductor's performance with the Bournemouth Symphony Orchestra [19] than it does with the same orchestra's performance under Panula [27] - especially in the distinctive treatment around bars 298-338⁶⁸. However, the impression made by Karajan on the Philharmonia Orchestra (recordings [5] and [13]) persists in his later recordings with the Berlin Phil. (recordings [14] and [24]), but there is also a trace of it in subsequent Philharmonia recordings, namely those by Ashkenazy [28], Rattle [29], and Salonen [32], suggesting that the orchestra may have carried elements of the interpretation between conductors. There is a similar pattern with the LSO, which carried the one-movement interpretation from Kajanus [1] to Collins [7] to Gibson [12].

⁶⁶ Bowen, 'Tempo, Duration and Flexibility', p.147 and Fig. 7a-7c.

⁶⁷ Bowen, 'Tempo, Duration and Flexibility', p.151.

⁶⁸ though the small rise in tempo around bars 35-40, for the beginning of the second rotation before the tonality relapses into tonic colour at bar 41, may have been inherited from the orchestra - compare performance [35] to performance [27].

If an orchestra can be thought to be responsible for aspects of tempo control, this will need further research work to investigate how, as well as to what an extent, this control manifests itself. In the meantime, to imply that ‘the conductor made a certain tempo outline (and, hence, interpretation)’ must be considered no more than a convenient shorthand, albeit one that contains a large amount of truth.

Other parameters

One objection to the current method of study might be that choosing tempo as a topic for analysis gives a very partial view, ignoring all the other parameters. This would indeed be a serious objection if substantial conclusions were based on the tempo graphs alone, with no contact with the sound of the performances. However, an advantage of doing one’s own data collection (rather than delegating it to an assistant, or using computer programs which collect the data⁶⁹) is that one is forced to listen to each recording at least once, if not several times, and can make note of any other striking features in the whole texture of the music whilst tapping it into the computer. Frequently it emerges that performers use dynamics, texture, phrasing, and so on, in conjunction with tempo to make a particular effect. Examples of this will be given in the discussions of the use of tone colour to articulate recapitulations (section 3.5.1) and of the use of balance, timbre, articulation and dynamics to contribute towards a one-movement interpretation (section 3.2.2 on Tuxen). In such cases the parameters operate together to achieve the interpretational aim, and the presence of tempo fluctuation can therefore be taken to be representative of this concerted effect.

Having a clear record of tempo patterns is useful even when considering the contribution of other parameters, as one can then begin to isolate the influence of each. Sarah Martin’s work on Furtwängler’s rubato and dynamics produced an interesting theory that they worked in inversion, with *piano* dynamics coinciding with an increase in tempo⁷⁰. In connection with the Sibelius movement, Guy Thomas’s perception that Rattle’s performance [34] was ‘complete with the rarely observed *stretto* that runs throughout the *Allegro* [i.e. the second] half of the first movement’⁷¹ must rely on elements of articulation, dynamics, and other factors (including the relative interest of the content) which contribute to a sense of growing excitement, since in literal tempo terms it

⁶⁹ See ‘Alternative Methodologies’ sub-section, in section 3.1.2 above.

⁷⁰ See Martin, *Analysing Musical Recordings*, p.75 and discussion on p.74-77.

⁷¹ Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.24.

is untrue (as discussed in section 3.4.2). In order to begin to discuss perceptual effects and their contribution to the experience of music, one should have a record of the progress of ‘clock time’ to compare them to, in order to establish the nature of the gap between that and the perceived passing of time⁷². To suggest that patterns of tempo constitute the only influence upon our perception of the flow of a piece of music would be to overstate the case; it is rather that they constitute a useful starting-point for investigating such percepts in detail.

Recordings vs. live performances

The very fact of using recordings, rather than live performances, for study brings up other issues as well as that of production/post-production manipulation (see ‘The conductor’s intention’, above)⁷³. Recordings are the surviving products of ongoing performance traditions. As such they can be compared to a strawberry plant where only disjunct strawberries are visible above the straw-covered ground, but with a continuous runner underneath the ground which connects the plant together. It would be fallacious to assume a causal connection between one strawberry and another, and it may be fallacious to assume relationships between subsequent recordings when in fact the patterns of influence travel ‘beneath the surface’ of performance history, through performances and teachings which never reach recording. This hidden influence may include local performance traditions represented in concert halls but not preserved in recordings, as well as the relationships between a teacher and pupil that enable patterns of interpretation to be passed on⁷⁴. With increasing scholarly biographical information about conductors becoming gradually available⁷⁵, such patterns of influence should be more visible to those studying conducting (and other performing) styles.

⁷² See Kramer, *The Time of Music*, especially section 1.6, ‘The Dual Nature of Time’, p.16-19, and Chapter 11, ‘The Perception of Musical Time’, p.323-374.

⁷³ One such issue, of the relation between tempo and speed in recordings, is discussed on p.220 fn 141.

⁷⁴ My thanks to Claire Sharpe, previously of Kings College London, for raising this issue with me. An example of teacher-pupil influence between Koussevitsky and Bernstein is discussed in section 3.3.2 (on tempo ‘arches’), and another, between Kondrashin and Levi, in section 3.4.1 (on the ‘stepped’ interpretation). In each of these cases some interpretative strategy is transmitted between teacher and pupil, clarifying the process of carrying on a performance tradition.

⁷⁵ For instance Lebrecht, *The Maestro Myth* (first published in 1991) and particularly the forthcoming volumes *Twentieth-Century Conductors*, ed. Gary A. Greene (Westport, Connecticut and London: Greenwood Press, forthcoming) and *The International Dictionary of Conductors*, ed. Charles Barber and

John Mueller provides a discussion of the divergence between recordings and live performances in terms of tracing reception patterns, pointing out that the market for each is different in location, cost, and character. This may well affect the kind of performance that is generated; and certainly the use of a recording studio, rather than a concert hall, may alter the nature of the interpretation. But Mueller reminds us that, like radio broadcasts:

Recordings cannot very well by-pass the symphony orchestra, which is the very source of their documents. The orchestras cannot record what they do not play, and they do not play what they do not perform in public⁷⁶.

Hence those performances of a work which are captured in recordings are a sample of the super-set of all performances of a work, and may be considered to some extent representative of it.

The set of forty-one recordings used in this study include some recorded ‘live’ performances, i.e. those that were made in the concert hall with an audience in a single take. In these cases the recording process might be thought to disrupt the performance as little as possible. It is useful and instructive to compare, for instance, Celibidache [B2] and Andrew Davis’s [B6] performances with the rest of the set, if only to observe how precarious the performance process can be (see section 3.3.4 below).

Against graphs, and the ‘visual analogy’

Another philosophical line of thinking uses aspects of the theory of time to question all visual analogies for the understanding of music. Robert Adlington has argued that, whilst vision (and many methods of music analysis) are ‘synoptic’, i.e. present the whole composition at once, listening (and hence the experience of music) is ‘dynamic’, i.e. only reveals its nature gradually⁷⁷. This creates an incompatibility between most modes of music analysis and the real-time experience of ordered sound. Jonathan Kramer has to some extent bridged the gap between these with his discussion of ‘cumulative listening’, whereby listeners gather information about a piece to add to a static model of

Jose Bowen (Berkeley and Los Angeles: University of California Press, forthcoming) which will undoubtedly be useful in reducing the reliance on web pages and word-of-mouth for information about recent conductors.

⁷⁶ Mueller, *The American Symphony Orchestra*, p.4.

⁷⁷ Adlington, ‘Spaced Out’, p.1 and *passim*.

it⁷⁸. But the doubt cast by Adlington upon the adequacy of visual means (including the score) to represent the aural experience of listening to music could undermine the use of graphs to represent tempo in different performances, and the attempt to draw conclusions from them.

Adlington points out that vision is only a metaphor for audition in this context, rather than a natural way to represent it, and also considers the discussion of music in the alternative terms of ‘movement’, and ‘narrative’⁷⁹. Fortunately he recognises that visual representation (due partly to the acceptance of the score as a part of the music) is a recognised aspect of our musical culture, and hence should be welcomed as part of our ethnological bias⁸⁰. Therefore we can continue to use such methods as long as we are aware of our practice in doing so, and do not become ‘victimised by metaphor’ as described in Chapter Two, section 2.4.

A more specific criticism is posed by Desain and Honing, whose summary is worth quoting at length:

In the literature of musicology, computer music research and the psychology of music, timing or tempo measurements are mostly presented in the form of continuous curves. The notion of these tempo curves is dangerous, despite its widespread use, because it lulls its users into the false impression that a continuous

⁷⁸ See, for example, Kramer, *The Time of Music*, p.368-370.

⁷⁹ Adlington, ‘Spaced Out’, p.2-3 and p.4-5. These three metaphors represent one each of the sensory modes discussed in Chapter One - the Visual, Kinaesthetic, and Aural modes respectively. Adlington’s discussion suggests he may be Aural-dominant, since he prefers an experiential, non-spatial understanding of music (in contrast to the majority of musicians, who might be thought to be predominantly Visual-based and, to a lesser extent, Kinaesthetically-based, if Victoria Vaughan’s experiment described here in section 1.3 under the heading ‘Developing the Interpretation concept’, can be thought to be representative) - which perhaps accounts for his determination to critique the dominant model, since it does not match the experience of an aural-dominant person. The pronounced preference for the Visual modality amongst western musicians could account for the strength of the visual metaphor in our musical culture; alternatively, the strength of the visual metaphor in the teaching of music might be thought to account for people developing a visual-cognitive preference under that education, or for visually-based people’s initial self-selection as professional musicians. To find out would take considerable further research.

⁸⁰ ‘Spatialised representations of music serve to recognise and celebrate the visuo-spatial aspects of musical thought so central to the notation-dominated traditions of Western classical music’ (Adlington, ‘Spaced Out’, p.9.)

concept of temporal flow has an independent existence, a musical or psychological reality⁸¹.

A part of these writers' objection centres on the use of '*continuous* curves' to represent tempo. They prefer a 'scattergram' of measurements, since the line linking disparate points into a graph is meaningless⁸². In fact, the idea of finding a velocity measurement which applies for a whole bar, and then jumps disparately into a different value in the next bar - which would be implied by either a scattergram or a continuous curve - is in any case bizarre. Since tempo is at all moments changing, even in the middle of some beats, an infinitely smooth graph based on an infinitely large number of data measurements would be the only accurate portrayal of the progress of the music. However, given that tempo must be measured between two actual events, only a discrete number of measurements are possible, precluding the possibility of such a continuous graph. The linking of a relatively large number of data points, as on the graphs shown in the reference section in Appendix 4, represents a compromise between these objections, and serves at best to give a sort of moving average⁸³.

Desain and Honing also warn us that 'one cannot perceive timing without events carrying it'⁸⁴. This is answered by the tendency of performance analysts to construe the graphs as measuring the events of the performance, and not some abstract skeleton underlying it. The apparent objection that graphs of tempo do not represent perceptual reality can best be answered by a lateral argument. It may be true that, as David Epstein points out, 'we do not normally experience the music from this perspective of an overview, but rather via a moment-to-moment voyage between different tempi'⁸⁵. Yet that is precisely the value of such graphs, that we can get to see things which might not otherwise be explicitly perceived. The same value lies in complex methods of analysis

⁸¹ Desain and Honing, 'Tempo Curves considered Harmful', p.123.

⁸² This problem, in a more extreme form, was mentioned under 'Alternative Methodologies' in section 3.1.2 above, where the practice of joining a smaller number of non-contiguous data points was criticised.

⁸³ It is also worth pointing out that in reading these graphs back, one is not entirely dependent on the line and its generalised up-and-down movement. By using the spreadsheet, one can also consult the lists of data directly – which has often been done in writing this chapter (cf. also the numerical tables in section 3.3).

⁸⁴ Desain and Honing, 'Tempo Curves considered Harmful', p.132. They are basing their argument here on an article by the psychologist James Gibson called 'Events are Perceivable but Time is Not', in *The Study of Time 2*, ed. J.T. Fraser and N. Lawrence (Berlin: Springer Verlag, 1975).

⁸⁵ Epstein, *Shaping Time*, p.104.

(e.g. Schenkerian analysis) that for many people do not immediately match their experience of the music. Our experience of music, and our understanding, can be informed by various inputs which enrich our ‘interpretation’ of the music itself.

3.1.4 The graphs

The graph of the score

In this section, the graphs which are likely to result from the tapping procedure are introduced and examined. A good way to become acquainted with the tempo graphs is to consider the graph which would result if Sibelius’s metronome markings for the first movement of the Fifth Symphony were followed exactly: see Example 3-5. This graph has been produced from numbers typed directly into the spreadsheet, as it represents information derived from written sources, and not from a real performance. The shape of the tempo structure shown here is highly distinctive to the symphonic movement being considered. It forms a strong contrast with the score graph of, for example, the first movement of Beethoven’s *Eroica* symphony, which is shown in Example 3-6. In both these graphs, bar numbers are shown along the bottom (x-axis), and tempo in beats-per-minute up the left hand side (y-axis). The Beethoven graph consists of a single horizontal line, showing that the initial tempo of 60 dotted minim beats per minute is maintained throughout⁸⁶. This is not to say that the work would have been performed in such a manner, merely that these are the tempo(s) suggested by the score⁸⁷. Such a constant tempo is, of course, typical of the majority of pieces of music of this earlier period of musical history.

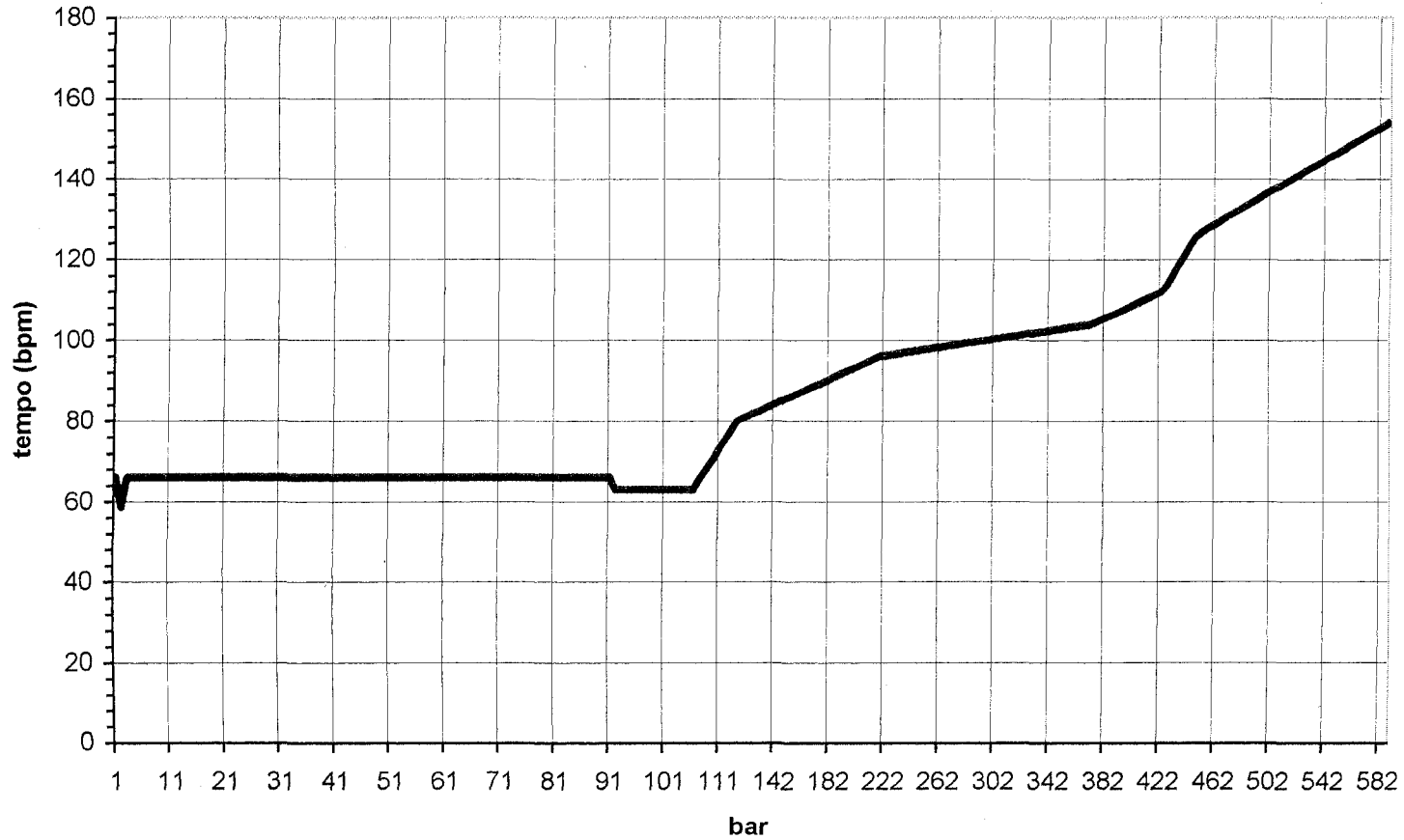
The graph of compositional tempi for the Sibelius movement can be derived from the composer’s post-publication metronome markings. These appeared as a list in the Finnish journal *Musiikkitieto* in 1943, and subsequently have achieved circulation in English publications⁸⁸. They are reproduced below in a table.

⁸⁶ The beats in the Beethoven movement are assumed to be one per bar, as suggested by the metronome marking.

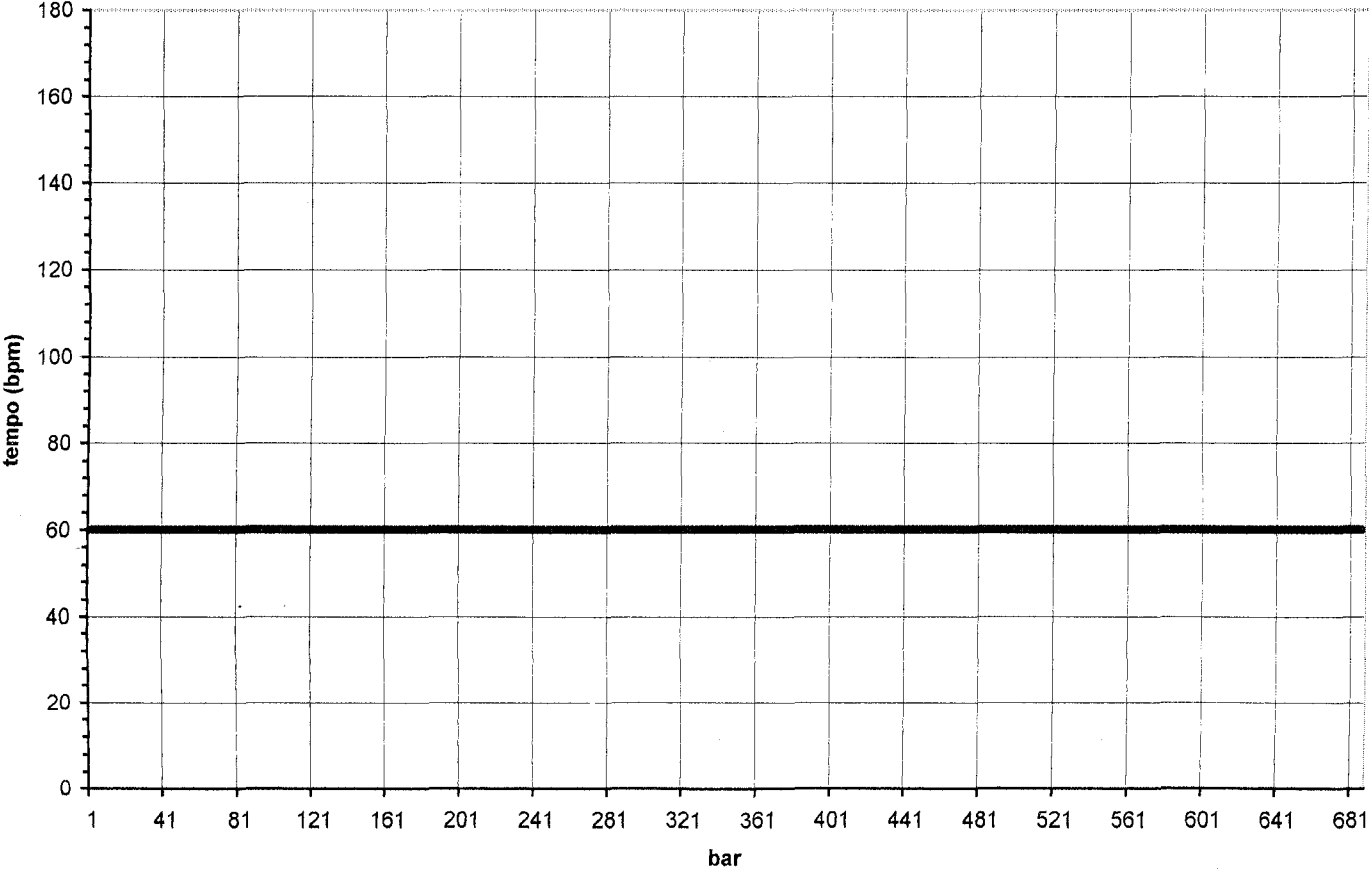
⁸⁷ Certainly the twentieth-century tradition of performing this piece gives anything but a straight line: see Martin, *Analysing Musical Recordings*, Chapter Three, ‘The *Eroica* on Record’, p.130-219.

⁸⁸ ‘Metronomimerkinnat Sibeliuksen Sinfonioihin’, *Musiikkitieto*, 1/1943, p.12. The same information can be found in Cherniavsky, ‘Sibelius’s Tempo Corrections’, published in 1950, and is reproduced in Hepokoski, *Symphony No. 5*, p.88.

**Example 3-5: Score data for Sibelius's Fifth Symphony,
first movement**



Example 3-6: Score data for *Eroica*, first movement



Section	Tempo (in bpm)	Value of beat
Tempo molto moderato (bar 1)	66	Dotted crotchets (12/8)
Largamente (bar 92) poco a poco meno moderato (bar 107)	63	(same)
Allegro moderato (bar 114) (ma poco a poco stretto)	80	Dotted minims (fast 3/4)
D (bar 218)	96	(same)
K (<i>vivace molto</i>) (bar 372)	104	(same)
M (bar 423)	112	(same)
N (bar 447)	126	(same)
<i>Presto</i> (bar 507)	138	(same)

These bar numbers and tempo indications are plotted in the graph on Example 3-5. The constant tempo of 66 bpm, from bar 1 to bar 91, and the constant tempo of 63 bpm, from bar 92 to bar 106, are represented as horizontal lines on the graph, just as in the Beethoven example above. The small dip in bar 2 is caused by a fermata on the last beat of this bar, which is estimated for these purposes to increase this beat to 1½ times its usual length. The remainder of the tempo points suggested by Sibelius are plotted on the graph, and the gaps joined up with diagonal lines. This assumes a constant rate of acceleration between each pair of points indicated - the simplest way (though not the only way) to realise the instructions *poco a poco meno moderato* and *poco a poco stretto*⁸⁹.

The third column of the table above shows that the value of the beat changes at bar 114, from a dotted crotchet to a dotted minim. This is simultaneous with a change of time signature, as illustrated in the following diagram, which should be compared with Example 3-7, an excerpt from the score at this point.

⁸⁹ The acceleration rate from bar 507 (the last tempo indication) until the end of the movement is presumed to continue at the same rate as between bars 447 (the previous tempo indication) and 507, since there is no tempo indication given for the end of the movement.

Example 3-7: The transitional area around bar 114, showing change of time signature

[illegible]

Bars 1-113:

12/8

bar	-	-	-
beat	beat	beat	beat

Bar 114 onwards:

3/4 3/4 3/4 3/4

bar	bar	bar	bar
beat	beat	beat	beat

The time signature from bar 1 until the downbeat of bar 114 is 12/8, with a dotted crotchet beat. At this point the note values suddenly double to give a dotted minim beat, and barlines are added to break up the long bar into four 3/4 groups. The result is that, although beats move at the same rate on either side of this point, the arbitrary barlines now pass at a fourfold speed. The string parts of the score show this particularly clearly. To maintain the constancy of the beat, the bar numbers on all the graphs shown in this thesis have thus been compressed by a factor of four from the downbeat of bar 114 onwards. This is the best way to preserve a sense of the music passing at the same rate throughout the entire passage⁹⁰.

Alternative graphs

Appendix 4 contains a full set of ‘reference graphs’, with each of the forty-one performances plotted in full on its own graph. The format of the reference graphs matches that of the score graphs shown above: they show the progress of the bars along the x-axis, and the tempo in beats per minute up the y-axis in a linear manner. (The example graphs used in the text follow a similar pattern, except that they may use different scales to show more detail.) However, there are alternative ways to illustrate the same information, particularly for the y-axis. It is worth considering a few of these, as they may give alternative slants on the data.

One fairly popular means of illustrating timing data shows the ‘duration’ of the beat instead of its ‘tempo’ up the y-axis. This school of thought includes some scientific studies where duration is naturally the simplest aspect to measure between two beats. The main difference to the eye is that the y-axis appears to be ‘upside-down’ when compared

⁹⁰ The grid squares on the reference graphs illustrate this constancy, being placed at a distance of forty beats (10 ‘bars’ of the old notation), irrespective of the grouping of these beats or their altered notation.

to the tempo graphs above: compare Example 3-8 with reference graph [1]. However, this is not a simple mirror reflection, but a mutual '1/y' relationship between the two types of graph, since tempo is found from the inverse of duration (whilst duration is measured in seconds per beat, tempo is measured in beats per minute). This means that, compared to the format of a tempo graph, the y-axis of a duration graph appears both upside-down and increasingly stretched as it goes up. Duration graphs are also used by other writers including Bruno Repp⁹¹, and David Epstein who finds them 'counterintuitive'⁹². From a musical point of view this is easy to agree with. Repp perceives that a certain performer is 'slowing *down* in the middle' yet his graph shows a 'slightly *elevated*' section to represent this⁹³, a persistently mixed (or crossed) metaphor in his work. Hence to avoid this counterintuitive quality, I will use the culturally more natural pattern that up represents faster speed (higher activity) and down represents slower speed (less activity).

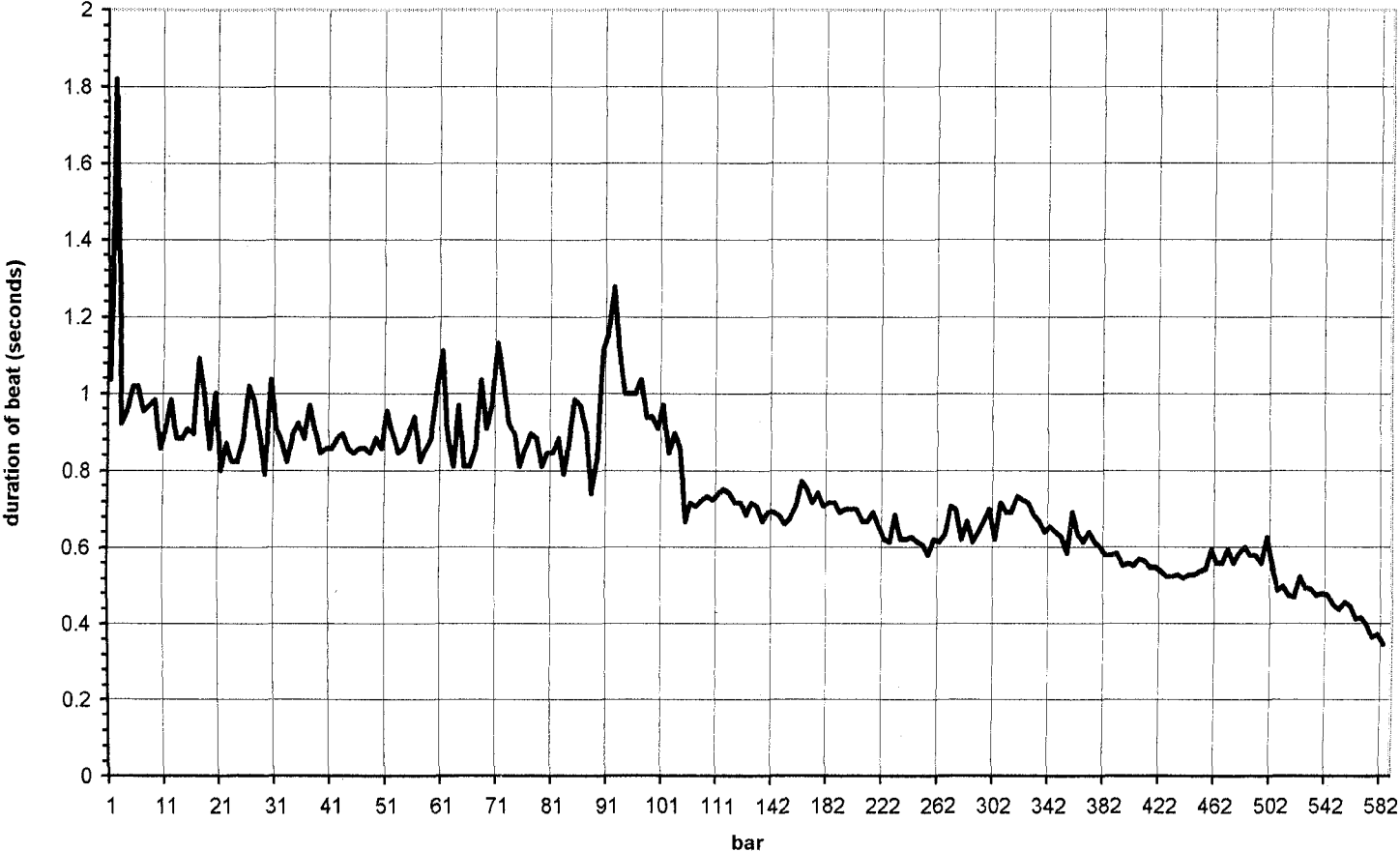
When revising the set of reference graphs so that the y-axis began uniformly at 0 bpm instead of 20 bpm, it occurred to me to wonder what 0 bpm represented. This would be an infinitely slow speed, and so represents an asymptote rather than a possible value. Hence using the current linear scale for the y-axis may be misleading, since to double the tempo takes twice as much height as one goes up the y-axis (for example, the gap from 40 to 80 bpm is twice as large as the one from 20 to 40 bpm). To counteract this aspect, I replotted some graphs using a base-10 logarithmic scale for the y-axis, so that doubling the tempo is represented by a constant distance all along the length of the y-axis. The resulting graphs looked much the same as the normal linear graphs (compare Example 3-9 with reference graph [1]), the only difference being that vertical upward peaks (and increases in tempo) were rather diminished, and downward troughs correspondingly magnified. Due to the difficulty in reading intermediate values off the y-axis in this type of graph, I have left the graphs in the linear form. However, it should be remembered in

⁹¹ Various articles by Repp including 'A Microcosm of Musical Expression', see Fig. 5, 7, 9, and 11; also see Schaffer and Todd 'The Interpretive Component in Musical Performance', Fig. 1.

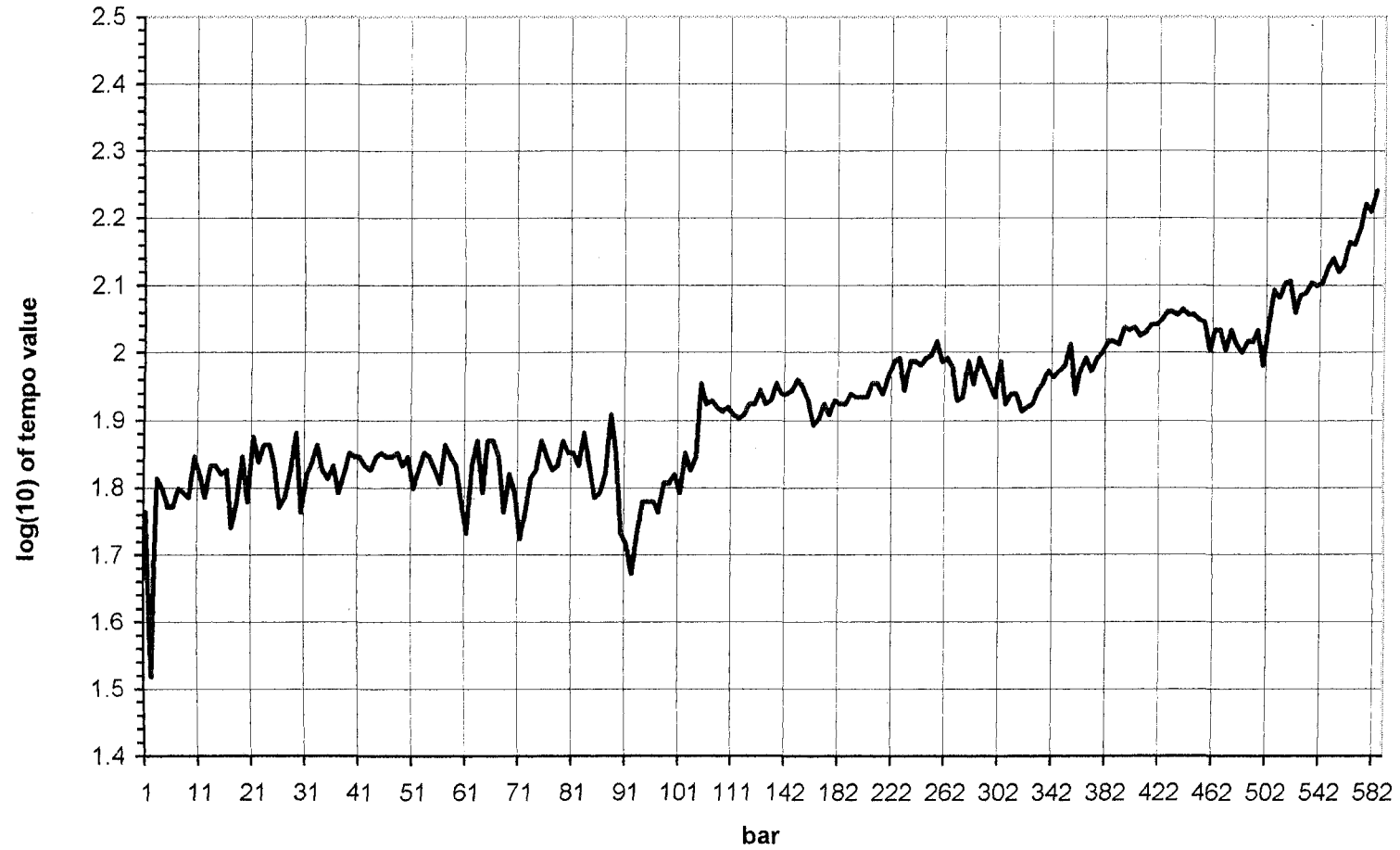
⁹² Epstein, *Shaping Time*, p.102. Repp also concedes the counterintuitive nature of these graphs when he suggests that the reader 'regard these profiles simply as visual patterns, as it is difficult to "auralize" them accurately' ('A Microcosm of Musical Expression', p.1091).

⁹³ Repp 'The Infinite Variety of Temporal Shaping', p.29, emphases added. Much of the material from this article, although not the above discussion, appears in Repp's 'A Microcosm of Musical Expression'.

Example 3-8: Duration graphs of Kajanus [1]



Example 3-9: Logarithm graph of Kajanus [1]



looking at the graphs in their final format that these are equally valid ways to depict the data, and may give a slightly different impression to the eye.

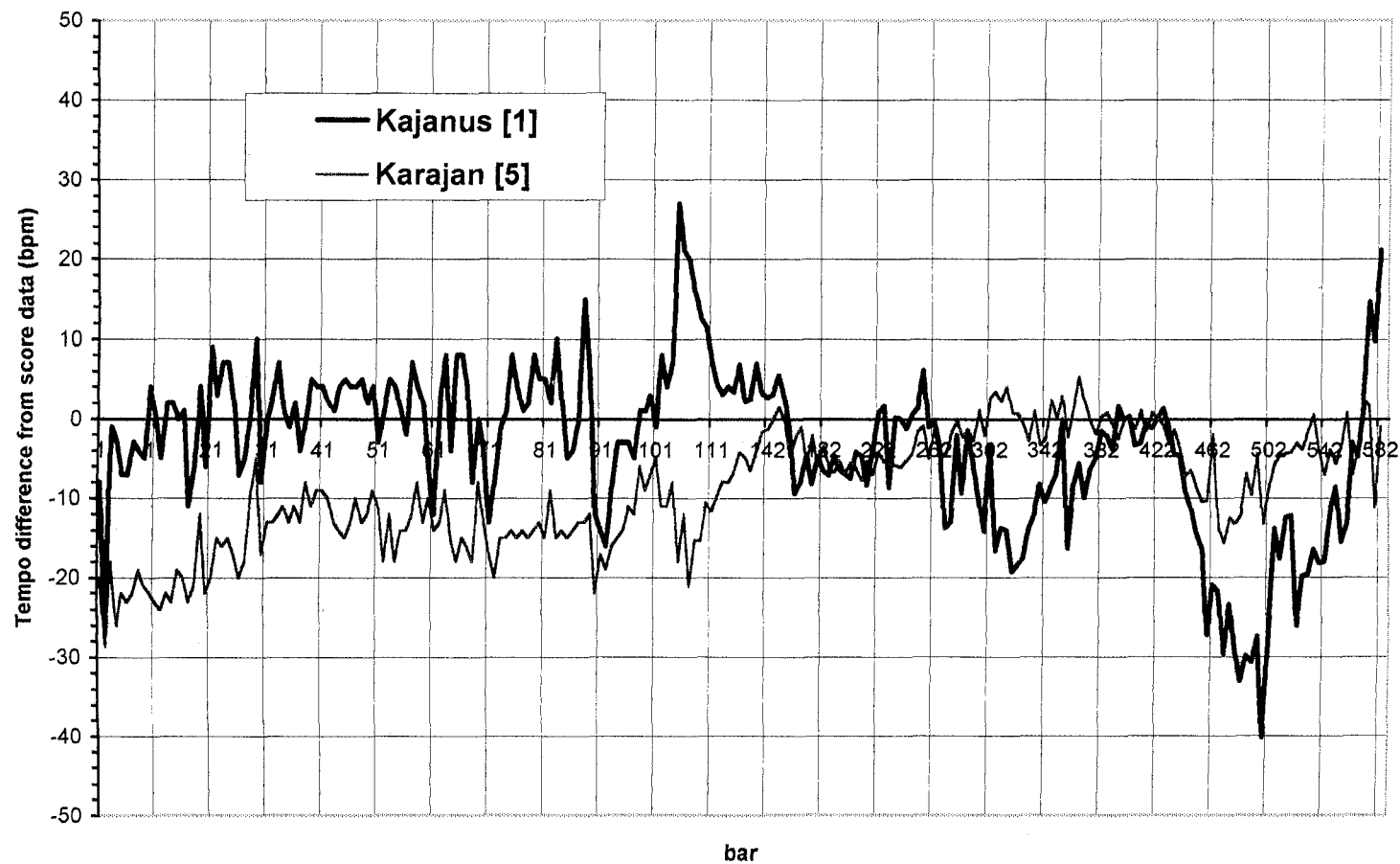
Another possibility for the reference graphs was to use a graph which would compare the data generated by each performance to the set of values suggested by a metronomically-accurate performance (the one illustrated in Example 3-5 above). This can be done either by finding ‘performance tempo - score tempo’ (subtractive method) or by finding ‘performance tempo / score tempo’ (ratio, or divisive method)⁹⁴. These two types of graphs look quite similar to each other, as shown from the samples in Examples 3-10 and 3-11 respectively. They are interesting as a novelty – and the plotting of two performances together shows interesting features such as ‘mirror image’ tempo behaviour around bars 101-142 - but are not prioritised in this chapter partly as they would suggest something anachronistic: the given tempo markings were not widely available for the first part of the performing tradition, and hence did not represent a prevalent ‘norm’ for performers to relate to. Equally, later performers may not have had access to these tempo markings, or chosen to relate to them as a norm - e.g. the ‘old’ tempo markings in the orchestral parts (e.g. 40 bpm instead of 66 bpm at the opening) may have represented a stronger norm in conductors’ minds (see Appendix 1). Such graphs would tie the performances too closely to the metronome markings. Where issues of literality vs. creativity with respect to the score were being considered, this type of graph might be useful in order to check the similarities and differences of different styles of performance. However, it is usually just as clear to superimpose the conductor’s graph onto the outline of the metronome graph, as on Examples 3-12 and 3-13, which convey the same information.

Four caricature graphs (and two ‘average’ graphs)

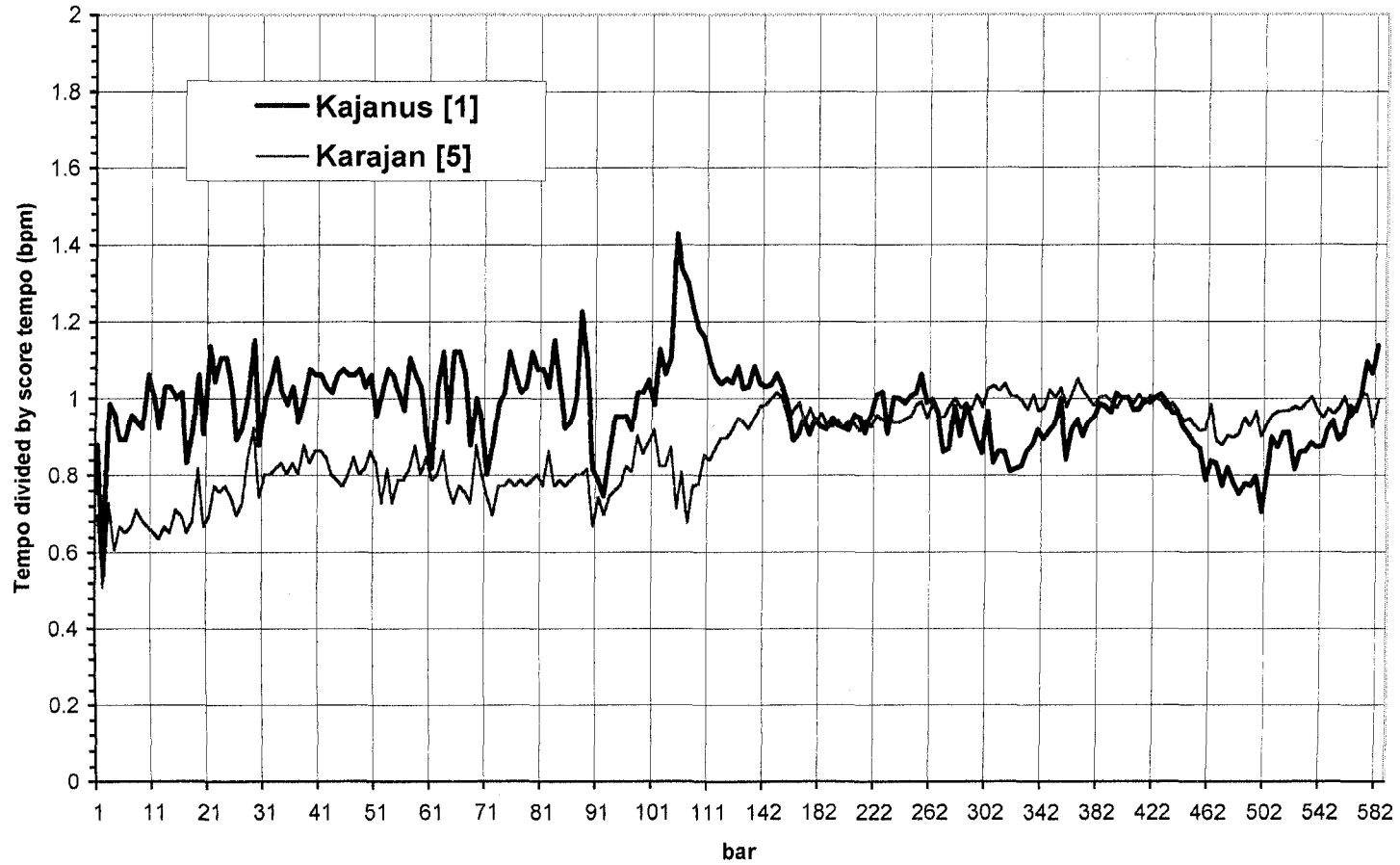
From the information above, we can surmise two reasons why the performance tradition for Sibelius’s Fifth Symphony is so varied. One is that the exact tempo markings would not have been available for some to the performers (as described above), even though the verbal instructions given in the score are quite complicated. This would naturally stimulate a variety of solutions to the temporal puzzle posed by this piece of music.

⁹⁴ My thanks to Nigel Hall of the Law Faculty, Southampton University for prompting the idea of this graph, and several other useful layman’s observations on the graphs in this section.

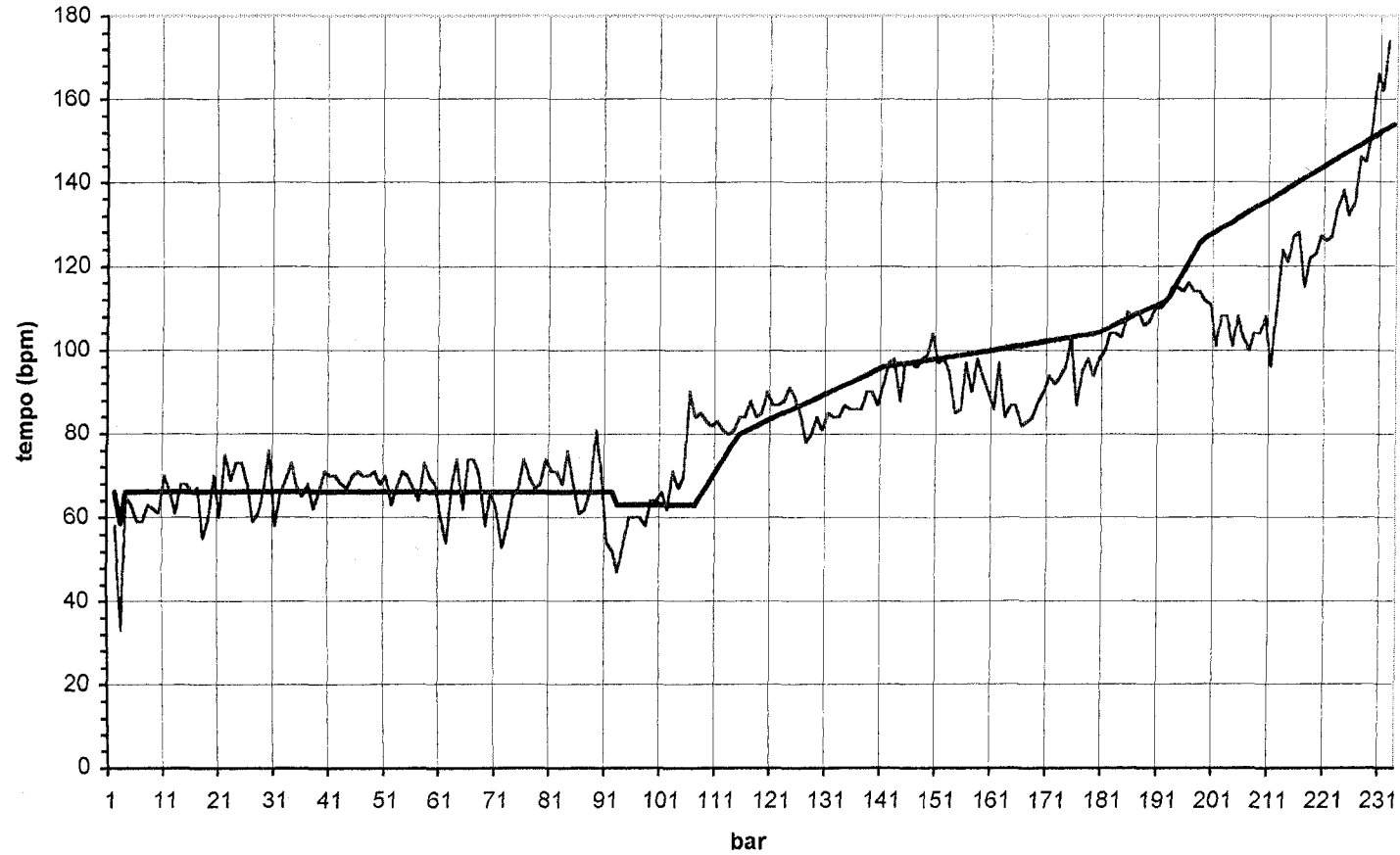
Example 3-10: Subtractive graph (relative to score tempo)



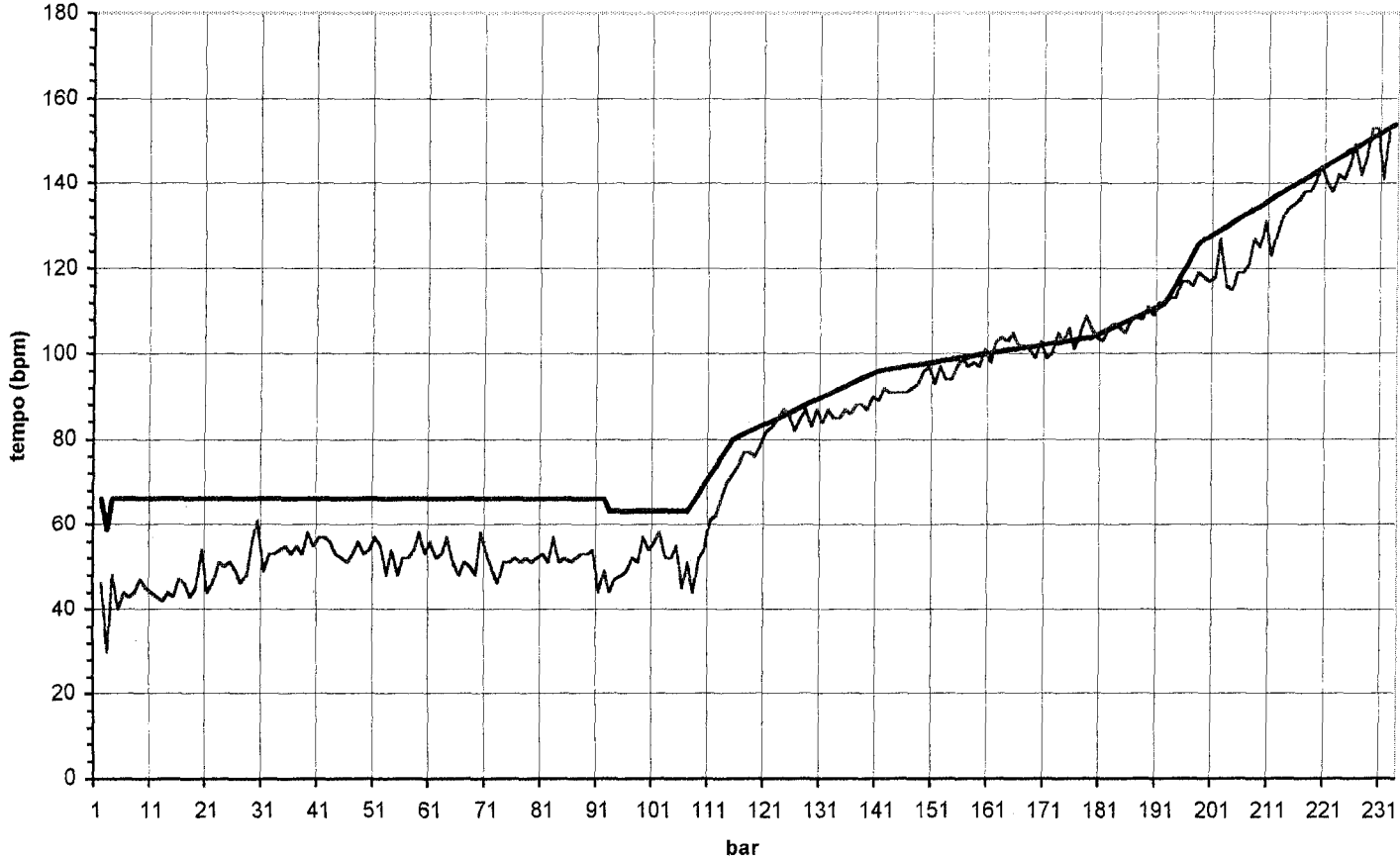
Example 3-11: Divisive graph (relative to score tempo)



Example 3-12: Kajauus [1] superimposed on score data



Example 3-13: Karajan [5] superimposed on score data



The second reason is that, even when it becomes available, the shape of the tempo outline given in Example 3-5 above is perceptually ambiguous, such that if one had to redraw it from memory one would probably produce a simplified outline which ignored some of its features and exaggerated others. This has been demonstrated psychologically with other ambiguous figures, such as that in Example 3-14: some people remembered it as a pick-axe (and drew the shaft longer), whereas others remembered it as an anchor (and drew the side prongs longer)⁹⁵. The same, we may postulate, is true not only of the visual graph but of this piece of music itself, as perceived from the tempo markings in the score or from a string of performances aurally experienced. The score-reader and/or listener (which includes potential conductors) will tend to focus in on certain features of the music and its tempo outline: for instance the particularly sharp rate of increase from bars 107 to 114; or the levelling-off of tempo between bars 218 and 372; or the concave curve created between bars 218 and 447; and such features will tend to become more pronounced in his or her own ‘interpretation’ of the music.

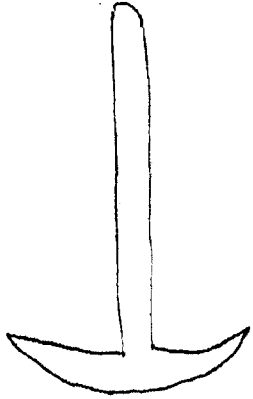
This perceptual polarisation means that, in practice, each performance of the first movement of the Sibelius Fifth Symphony produces a tempo graph which approximates one of four simplified ‘caricature’ graphs as shown in Example 3-15. Each of these represents one view of the score tempo graph above, so that that labelled ‘diagonal outline’ takes the gradual acceleration in the second half of the movement to be its most salient feature, whilst that labelled ‘stepped outline’ concentrates most of the acceleration into the sharp increase between bars 107 and 114. The outline labelled ‘two-movement’ reproduces both of these features to a lesser extent, with a gradual acceleration in the second half following a sharper tempo transition in the middle, whilst the ‘one-movement’ outline construes the tempo outline as a smooth curve leading out of the first half of the movement. None of these are more ‘accurate’ than the others, and none can be recommended over the others on aesthetic grounds.

What is interesting is that hardly any of the recorded performances in the set of forty-one fail to polarise in one of these four directions, making them easy to classify primarily as one of these four types, ‘one-movement’, ‘two-movement’, ‘stepped’, or ‘diagonal’. The recordings are broadly categorised into these groups, with mention of other significant features, on Example 3-16. No performance produces a tempo outline

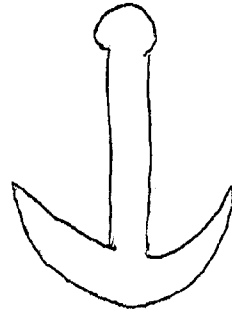
⁹⁵ This research on ‘reconstructive memory’ was originally reported in F.C. Bartlett, *Remembering* (Cambridge: Cambridge University Press, 1932). See, for example, Mike Cardwell et al, *Psychology for AS Level* (London: HarperCollins, 2000). p. 18.

Example 3-14: Ambiguous perceptual object: a pickaxe or an anchor?

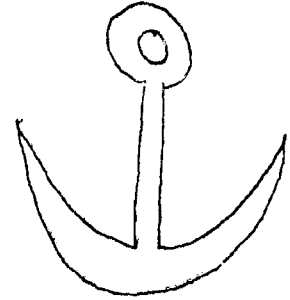
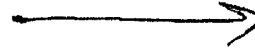
180



pickaxe

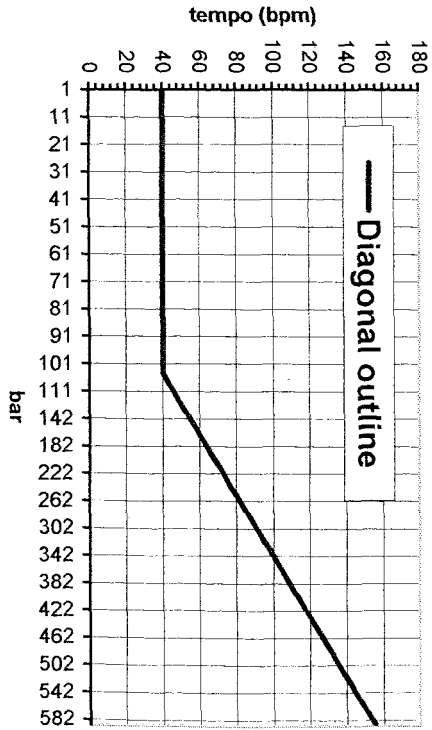
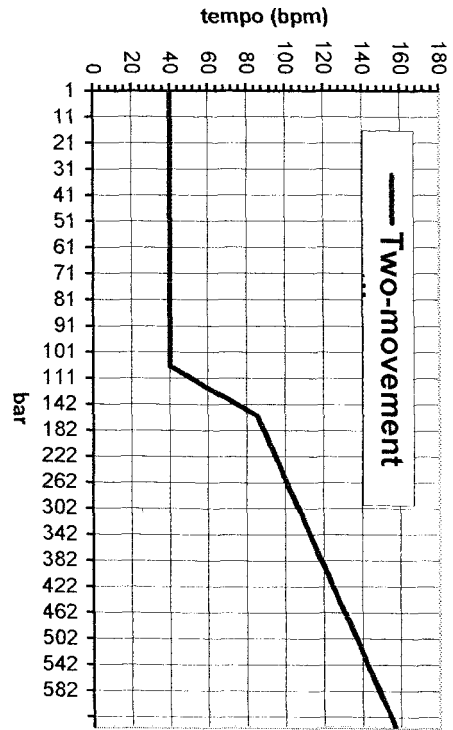
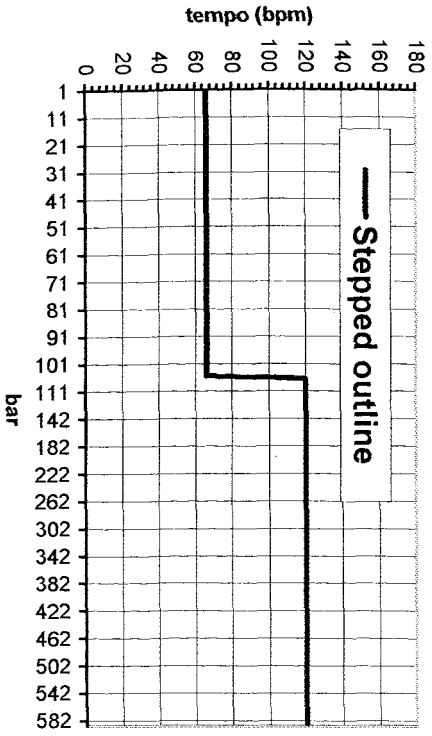
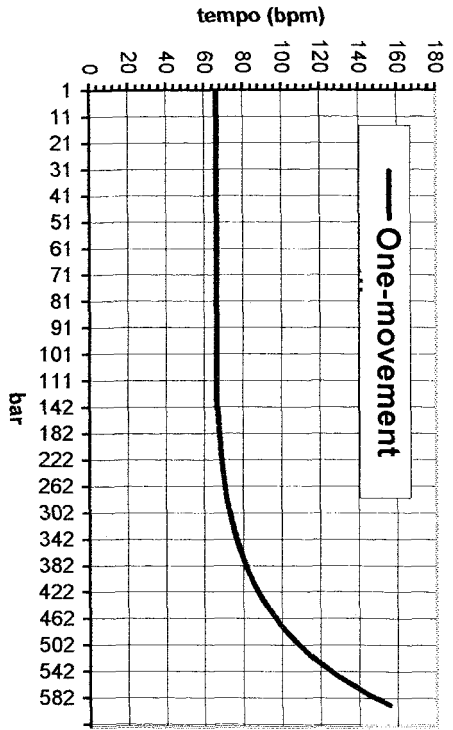


?



anchor

Example 3-15: Caricature graphs



Example 3-16: Classification of performances as one-movement, two-movement, stepped, diagonal, or none of these, also showing recapitulation feature

[1] Kajanus	One		(Stepped)		
[2] Koussevitsky	One				
[3] Leinsdorf	One				
[4] Tuxen	One				
[5] Karajan		Two			
[7] Collins	One				
[8] Ormandy					
[9] Hannikainen		Two			
[10] Barbirolli		Two		Diagonal	+ Recap
[11] Sargent		Two		Diagonal	
[12] Gibson	One				
[13] Karajan		Two			
[14] Karajan		Two			
[15] Bernstein		Two			
[16] Maazel				Diagonal	
[17] Barbirolli		Two			(+ Recap)
[18] Pretre		Two			
[19] Berglund					+ Recap
[20] Gibson	One				
[21] Colin Davis		Two			
[22] Sanderling					
[23] Tjeknavorian	One				
[24] Karajan		Two			
[25] Ormandy					
[26] Rozhdestvensky			Stepped		
[27] Panula		Two			
[28] Ashkenazy		Two			
[29] Rattle					
[30] Gibson	One				
[31] Kondrashin			Stepped		
[32] Salonen		Two		Diagonal	+ Recap
[33] Bernstein					
[34] Rattle					
[35] Berglund		Two			+ Recap
[36] Saraste		Two			
[B1] Horenstein			Stepped		
[B2] Celibidache	(One)	Two		(Diagonal)	
[B3] Järvi		Two			
[B4] Levi			Stepped		
[B5] Blomstedt		Two			
[B6] Andrew Davis		Two			

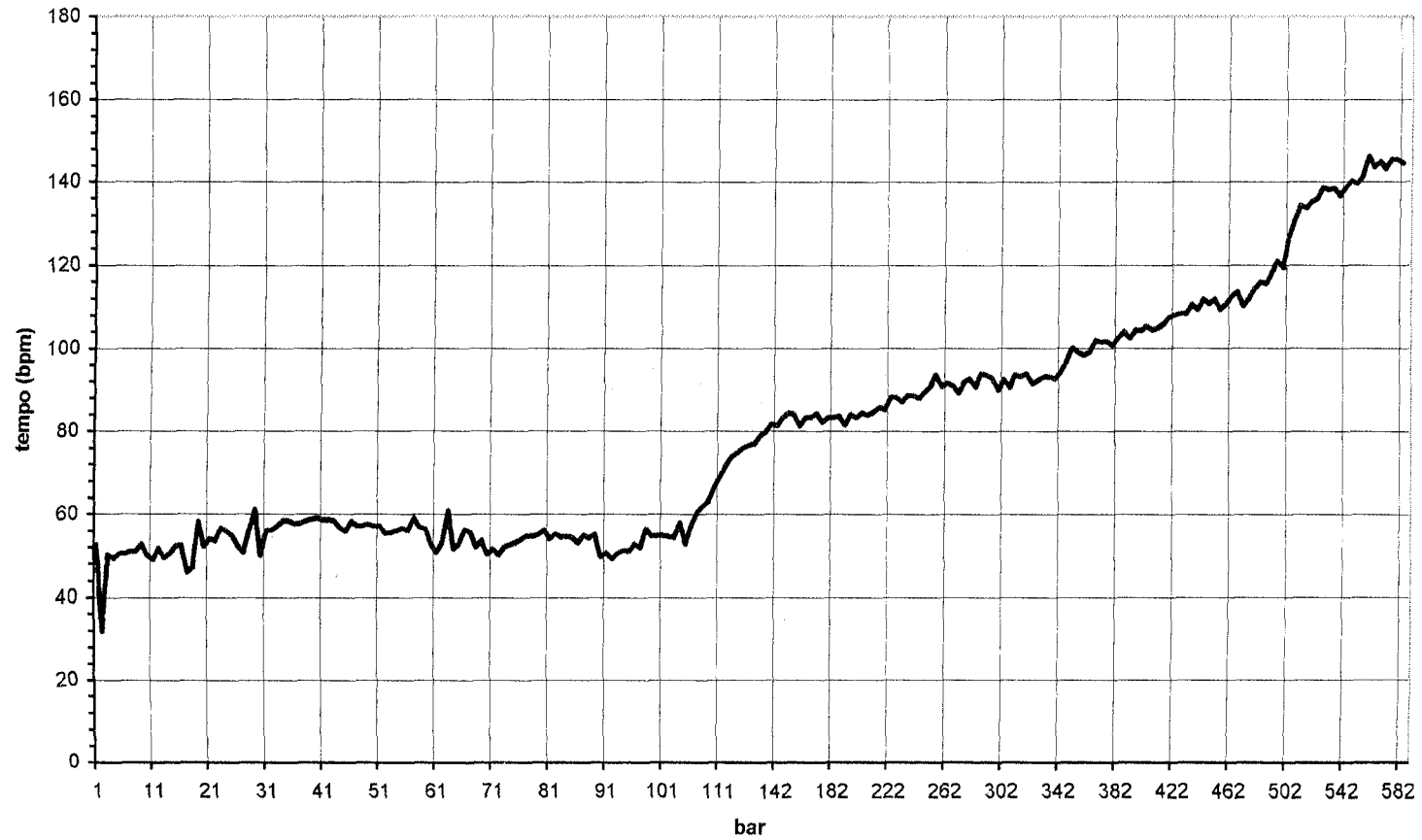
that looks much like the shape of the score graph - which means that no-one is following Sibelius's tempo markings entirely accurately⁹⁶. Rattle's performance [34] is perhaps the closest to this literal tempo outline, despite exaggerating some of its features as can be seen from its reference graph. Only a few recordings (both of those by Rattle and Ormandy, one each by Berglund and Bernstein, and that by Sanderling) have proved hard to classify, for the reason that they do not polarise distinctly into one of these patterns, often showing weak traces of more than one. An example of this would be Sanderling's performance (number [22]), which could be classified as either stepped or one-movement, but is not convincing as either of them. Rather than force the performance into one of these categories, and hence undermine the validity of the rest of the data, the descriptions for these few performances have been left blank. In most cases, these elusive performances have other interesting features which are discussed at appropriate places within the text below.

One other pair of artificial graphs is worth mentioning here: the 'mean average' graph, formed by taking the mean value for each bar from the set of forty-one real performances (Example 3-17), and the 'median average' graph, formed by taking the median value for each bar (Example 3-18). The idea for these graphs was taken from the work of Bruno Repp⁹⁷, and whilst it is initially difficult to see what can be concluded from them, a couple of observations are prompted. It is interesting to note that the average of a large set of performances does *not* equate directly to the score graph, Example 3-5 - that is, the metronome markings given by the composer are in no sense 'average' for the performing tradition. From these two 'average' graphs, it can be seen that certain features emerge from the performing tradition as a whole for this piece and dominate its interpretation: the tiny peaks in bars 30 and 64 which create a 'rotation parallelism' at the cadence (see section 3.5.2); the small increase in bars 19-20 for the

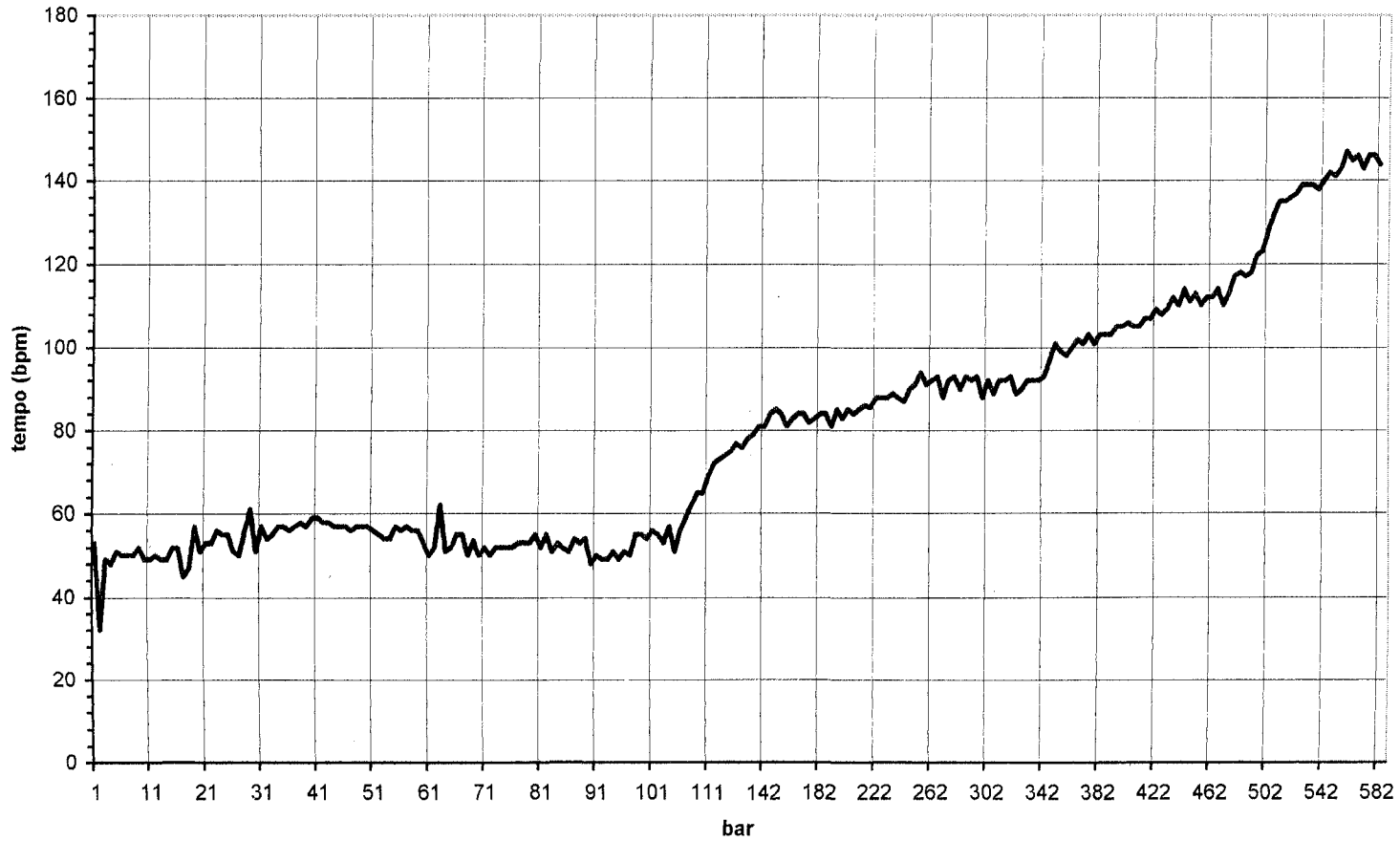
⁹⁶ See section 3.3.5 for a discussion of performance 'literality'.

⁹⁷ For example, Repp, 'The Aesthetic Quality of a Quantitatively Average Music Performance'. Repp's original impulse came from the psychological finding that 'averaged' faces are judged as more attractive (p.419), which he also found to be true of tempo-averaged piano performances. Unfortunately it is more difficult to synthesize a full orchestral texture convincingly from the graphs presented here.

Example 3-17: Mean average graph of all performances



Example 3-18: Median average graph of all performances



second subject area⁹⁸; some measure of tempo transition following bar 106 (due to the numerical contribution of the ‘two-movement’ and ‘stepped’ performances); and an articulation for the coda at bar 498.

The few performances that do not produce one of the four archetypal patterns can seem the most similar to these ‘average’ graphs. This is because these performances, like the ‘average’ calculations, fall part-way between the one-movement, stepped, diagonal, and two-movement patterns⁹⁹. Ormandy’s performance number [8] is the most similar, and is surprisingly close in particular to the median graph¹⁰⁰. Recommendations might arise from this: for instance, if one wishes to experience or sample a performance which is ‘average’, at least in its tempo articulations.

Since most of the performances fall into one of the four caricature patterns depicted above, it is convenient to begin to discuss them under these four headings. The ‘one-movement’ interpretation is discussed first, for reasons of historical precedence (section 3.2), and I shall provide a detailed examination of its first proponent, before moving on to examine the continuation of this tradition, and a particularly interesting (or eccentric) example of it. The two-movement performances are discussed next, following the same outline (section 3.3). Then the discussion moves to the two other outline patterns, ‘stepped’ and ‘diagonal’ (3.4).

Of course, the performances themselves do not produce so simple an outline as the caricature patterns provided above. In particular, other features may be superimposed upon the one- or two-movement outline, which are arguably more local in their import. However, these features may still affect the whole *Gestalt* of the tempo outline, and hence its perceived form (section 3.5). There follows a discussion of the programme notes which accompany the recordings (section 3.6), and a summary which reconsiders

⁹⁸ Interestingly, the opposite of the result which Sarah Martin found for the *Eroica* Symphony (see Martin, *Analysing Musical Recordings*, Example 3 and *passim* in chapter 3), due to the differing nature of the musical materials.

⁹⁹ Since the predominance of two-movement interpretations causes the average graphs to look like weak two-movement interpretations, most of the performance graphs in this group tend to look a little more one-movement-like than them.

¹⁰⁰ Ormandy [8] does have its own additions to the average performance: for example the pronounced *accel-rit* pattern in bars 58-61, and the faster tempo for the second subject in the first rotation (bars 19-27) which is exaggerated from the average graphs.

the reception angle of Chapter Two and the theoretical model expounded in Chapter One, and so may be taken as a conclusion to the whole thesis (3.7).

3.2 *One-movement interpretations*

This section describes and explains those performances within the set whose tempo graph suggests a one-movement interpretation. Kajanus's performance (section 3.2.1) is in many ways the most complex of the group, whilst the other early examples (section 3.2.2) are more representative. Gibson's performances (section 3.2.3) supply the opportunity to compare a typical one-movement pattern with the contrasting two-movement pattern in other recordings, whilst Tjeknavorian's interpretation (section 3.2.4) is a *sine qua non* of the one-movement style of interpretation for this piece.

3.2.1 A unique performance: Kajanus

The importance of the first recordings of Sibelius's symphonies, by Robert Kajanus (1856-1933) in the early 1930s, cannot be overestimated. Kajanus was not only a prominent figure in Finnish musical life, but also a close friend of Sibelius. Having founded the Helsinki Orchestra in 1882 he would often follow premieres conducted by Sibelius himself with his own renderings of the same work in following years¹⁰¹, and these were intended to be as faithful as possible to the interpretation of the composer¹⁰². Kajanus's recordings, including that of the Fifth Symphony (1932), are therefore vital to any reception study of Sibelius. Furthermore, an understanding of the style and structural aims of Kajanus's work provides a necessary basis for plotting the way in which the rest of the recorded legacy was to develop.

'Few composers have benefited as much from the invention of the phonograph as has Sibelius' claimed Harold Johnson in 1959¹⁰³. The major wave of popularity for the composer in the 1930s was caused by many contributing factors¹⁰⁴ but one significant

¹⁰¹ See Vaisänen, 'Problems in Performance Studies of Sibelius's Orchestral Works', p.130.

¹⁰² De Törne recounts how Kajanus was once discovered hiding in the gallery of the concert hall where Sibelius was rehearsing, despite the fact that Sibelius had forbidden any spectators to be in the building (*Sibelius: A Close-up*, p.14).

¹⁰³ Johnson, *Jean Sibelius: A Definitive Critical Biography*, p.207.

¹⁰⁴ See Laura Gray, 'Sibelius and England'.

factor was the advantage taken by record companies of the new electrical process which allowed relatively faithful reproduction of the complex sounds of a symphony orchestra. The Columbia company was the first to instigate a project to record Sibelius's symphonic music. Their recordings of the Second Symphony (the first to appear) and the First Symphony, both released in 1931, were sponsored by the Finnish government, and used Kajanus as the conductor of a collated, London-based orchestra. The project of recording the symphonies was taken over by HMV in Britain and funded by subscriptions from the newly-formed Sibelius Society. Volumes 1 and 2 of this series contained the Fifth and Third Symphonies, from 1932 and 1934 respectively, with the London Symphony Orchestra also conducted by Kajanus.

The response to the first of these releases caused Scott Goddard to remark in 1931 that 'one of the most significant signs of the past year is the considerable increase of interest in the music of Sibelius in this country', attributing this increase to the public's ability to 'play the work daily and at last get close to the music'¹⁰⁵. Since live performances of Sibelius's major works (as well as available scores to buy or borrow) were at that time 'exceedingly rare'¹⁰⁶, and since no other recordings of the works were to appear for several years¹⁰⁷, Kajanus's recordings became representative of the symphonies in the eyes of the British listening public. This public included those who were to become critics and commentators on the symphonies: Laura Gray has claimed that 'after 1930, [...] recordings made it possible for critics and scholars to turn their attention towards detailed analysis of Sibelius's symphonies', and it is significant that the first two such analyses (by Gray and Tovey) appeared only a few years later in 1935. Hence at this stage one can only speculate about how much Kajanus' renderings of the works affected how they were construed by such analytical writers, which would have had a further impact on the musical community in general.

The recordings made a deep impact on listeners not only because of their priority, but also because of the well-known links between Sibelius and the conductor. Kajanus's insights into his music were appreciated by Sibelius who (according to his biographer Bengt de Törne) praised his colleague's 'acquaintance with the score [...] which went far

¹⁰⁵ Goddard, 'Sibelius's Second Symphony', p.156.

¹⁰⁶ as Cecil Gray pointed out (Gray, *Sibelius*, p.9).

¹⁰⁷ between 4 years in the case of the Second Symphony (Koussevitsky recorded it in 1935) and 20 years in the case of the Third Symphony (which Collins recorded in 1954). See Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.37-57.

beyond even the most accurate knowledge of all his notes'¹⁰⁸. This appraisal provides a clue to unlocking the secrets of the performance: Kajanus's performing style, in common with many other conductors of the early part of the century, is not a literalistic rendering of the notes but an attempt to convey the inner structure or impact of the music. The significance of the composer's comment can be appreciated if it is juxtaposed with his contrasting description of the subsequent recordings of Herbert von Karajan, who was according to a reported comment of Sibelius 'the only conductor who plays what I wrote'¹⁰⁹. This no less complimentary description shows the relatively literal, or positivistic, qualities of Karajan and the later tradition, as contrasted with the structure-based, interpretative style of Kajanus and his early followers. (See section 3.3.5 for further supporting discussion of these conductors' differing aesthetic aims.) The difference in perspective which these comments imply should be borne in mind in examining the early performance tradition of Sibelius's Fifth Symphony, as they will aid a correct interpretation rather than one which is slanted according to the perspective of later times.

Guy Thomas has called Kajanus's recordings of the Sibelius symphonies 'a frustrating mixture of the memorable and the untidy and sloppy'¹¹⁰. Indeed he goes so far as to speculate that at the post-production stage the wrong version of the final section of the Fifth Symphony, first movement, was kept and the better version thrown away¹¹¹. This startling theory could be considered partly the result of viewing the recording from a late-twentieth-century perspective which over-values accuracy, as Robert Philip has pointed out: many old recordings make a slapdash, uncontrolled impression upon us by factors such as rhythmic freedom and flexibility of tempo, which constitute 'changes in style, not just in competence'¹¹². However it is also a reasonable assessment of the quality of the recording, which leads to some difficulties when making a tempo graph of

¹⁰⁸ De Törne, *Sibelius: A Close-up*, p.14.

¹⁰⁹ Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.30 fn.8. This comment which Sibelius is said to have made to Walter Legge of HMV is reported in *Conversations with Karajan*, ed. Osborne, p.108.

¹¹⁰ Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.8.

¹¹¹ See Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.30 n.7, following discussion with Anthony Griffith, formerly of EMI.

¹¹² Philip, *Early Recordings and Musical Style*, p.6.

the performance. A notable point of difficulty comes at the end of the movement (from bar 563 onwards), where the strings finish ahead of the brass. In this section I have done the best that I could, following the brass predominantly as they give the most evident sense of pulse; however, this portion of the data set may be considered relatively unreliable.

Initial observations from the graph of Kajanus's performance might include its fast speed and the high amount of 'rubato' used compared to many other performances of the movement (shown respectively by its placement high up on the y-axis and the ragged up-and-down movement of the line). These observations resonate with other commentators' observations on changing performance style throughout the twentieth century. Jose Bowen's investigations of symphonic recordings from Mozart to Tchaikovsky leads him to conclude that 'early recordings [...] tend to contain large numbers of small tempo fluctuations', a quality which he labels 'flexibility', a term perhaps to be preferred to the more common 'rubato' since the latter's etymology of 'robbed [time]' suggests a compensatory mechanism which may or may not be found in an irregular pattern of tempo¹¹³. This flexibility is in contrast with later recordings of the same music, whose tempo graphs tend to be 'simply flat'¹¹⁴. Comparing Kajanus's performance (and indeed that of any of his immediate successors) to any of those from the mid-1950s onwards (i.e. performance number [5] onwards) one can conclude that the tempo 'flexibility' shown by the ragged up-and-down zigzag line is indeed a feature of early-twentieth-century performance style, now largely obsolete in this repertory.

Bowen speculates that 'while some works are speeding up [during this century] and some are slowing down the repertoire as a whole is getting neither faster nor slower'¹¹⁵. In general it is music from the era of Bach whose performances have become faster whilst late Romantic music such as Tchaikovsky seems to be performed more slowly. This being the case one might imagine that Sibelius's music might be performed more slowly as the century goes on, especially as Kajanus's early performance is one of the fastest on record, at least in its early stages: bars 3-89 maintain an average speed of between 60 and 70 bpm, whilst many of the performers average about 50 bpm throughout this section. However there seems to be very little overall trend in speed (the only other

¹¹³ See Sarah Martin, 'Reconstructing a Concept: The Case of 'Compensating Rubato'', part 2.1 of *Analysing Musical Recordings*, p.64-83.

¹¹⁴ Bowen, 'Tempo, Duration and Flexibility', p.154 and p.156.

¹¹⁵ Bowen, 'Tempo, Duration and Flexibility', p. 115.

two recordings to consistently maintain a speed above the 60 bpm line are Leinsdorf, from 1949, and Horenstein, from 1971) and what discrepancies between performances there are seem to be more a result of the changing conception of the piece (from one to two movements, as will be described below) - and an ambiguity in the performance directions. Risto Vaisänen has explained how the indication of 40 bpm inscribed on the score and parts of the second (1916) version of the symphony was not entirely superseded by the 66 bpm he later indicated for the revised (1919) symphony in the parts, and that the former continued to show on certain orchestral materials despite the composer's circulation and later publication of the revised marking of 66 bpm¹¹⁶. In this case, then, Kajanus's tempo in the opening portion of the symphony follows the composer's preferred tempo closely (as one might expect from his close relationship with the composer), whereas most other conductors seem to hover between the two markings of 40 and 66 bpm like the philosopher's donkey stranded between two bales of hay.

Other aspects of tempo revealed by a graphic analysis have more of a structural, rather than simply stylistic, basis. Kajanus's performance of Sibelius's Fifth Symphony, first movement is, when viewed broadly, a one-movement interpretation with a single sweep of tempo which is shown in the graph, number [1]. It does not possess a central tempo transition which separates out a 'first movement' from a 'second movement' somewhere around the middle of the passage, and this should be verified by comparing it both to the caricature graphs shown above of a one- and a two-movement interpretation, and also to contrasting graphs such as that of Blomstedt [B5], a classic example of the two-movement pattern. The fast speed of the first part of the movement, discussed above, in Kajanus's performance, allows him to link the first part of the movement to the second part without the need for a steep tempo transition. Indeed there is a correlation between brisk opening speeds and a one-movement interpretation - though there are exceptions to this rule (e.g. Tuxen [4] whose opening speed is as steady as many of the two-movement group).

Superimposed upon the one-movement interpretation are several other features which inform and disguise it. The first of these is the slower speed at which Kajanus begins the *Largamente* passage at bar 92. His slackening of the tempo at this point is in order to quicken it again, as can be seen from the graph of bars 92-105. Beginning the acceleration *before* the movement division, rather than at or soon after it as many

¹¹⁶ Vaisänen, 'Problems in Performance Studies of Sibelius's Orchestral Works', p.137-8, and personal communication by email, 1st February 1998.

conductors do, provides a continuity of performance style through the potential movement articulation at bar 106, breaking down the dichotomy of ‘first movement = constant tempo; second movement = accelerando’ which characterises the performance styles of typical two-movement interpretations. The principle of ‘reculer pour mieux sauter’ is also at work in Kajanus’s interpretation of the coda. Whereas most conductors go straight through the coda at bar 498 (e.g. Karajan [5] or Collins [7]) or make a single sudden increase in tempo to match the *Presto* marking (e.g. Rozhdestvensky [26] and many others), Kajanus pulls back the tempo of the section before (from about bar 455, where the opening motif reappears in the trumpets) in order to allow himself scope to continue to accelerate considerably right to the end of the coda¹¹⁷. This method, as well as providing drama at the end of the movement, enables Kajanus to soften structural boundaries whilst still recognising them.

Although there is acceleration in Kajanus’s performance both before and after the potential movement division at bar 106, there is not a smooth continuous acceleration through this movement division. The acceleration is interrupted by a vertical line joining bars 104 and 105, showing an abrupt increase of twenty beats per minute at this point. This sharp acceleration into the second section of the movement creates a contrast exactly at the point of articulation which threatens to break the music into two portions or perceptual wholes. Hence there is an ambiguity in Kajanus’s performance, with the ‘step’ in tempo hinting at a contrasting two-movement plan, within the overall sweep of tempo which suggests an predominantly one-movement plan. The two elements of Kajanus’s performance of this passage went on to spawn two performance traditions. In one tradition, dominated by Russian conductors, the ‘stepped’ pattern is predominant: compare the third of the caricature graphs given above (and discussion in section 3.4.1). The other tradition made its presence felt more immediately: recorded performances of this piece in the next twenty years and following produced a clearer one-movement outline, as on the first of the caricature graphs.

Hence Kajanus’s importance in this recording is twofold. Historically, he initiates two distinct lines of performance tradition which can be traced through interpretations of the rest of the century – and which, arguably, had a similar impact on the early analytical

¹¹⁷ These data points can only approximately represent the tempo for bars 563 to the end, where the performance suffers from the ensemble problems mentioned above. The graph in fact represents a conservative estimate of the tempo, since the strings finished even earlier than the brass which guided the tempo mapping.

writings. Structurally, his performance shows how aspects of interpretation may be superimposed to give a fuller idea of the structure of this movement, especially in its ambiguous ‘one-movement/two-movement’ nature. His answer to the question ‘one movement or two?’ for this movement would be ‘both’, a response which can equally be found manifested in the analytical literature. For example, both Abraham’s and Howell’s accounts of this movement constitute analytical expressions of the interpretation ‘one movement *and* two movements’ in proposing parallel schemes for the passage¹¹⁸. The graph shown above argues against the theory that, whilst an analysis can show conflicting possibilities for the understanding of a piece of music, a performance must commit itself to a single interpretation¹¹⁹. There are other ways in performance to suggest both aspects of this interesting movement, but perhaps it was this structural aspect of Kajanus’s interpretation which led Sibelius to commend ‘how Kajanus builds up my symphony’, saying that ‘he actually makes you feel the construction of the work like a huge building’¹²⁰.

3.2.2 The one-movement pioneers

The early tradition of recorded performances of Sibelius’s Fifth Symphony tended to follow the one-movement pattern for the first movement. Each of the next four recordings released in Britain (with the notable exception of number [5] by Karajan) reduced Kajanus’s basically unified sweep into a simpler pattern which binds the portion

¹¹⁸ See Chapter Two, section 2.5 ‘The analysts’, under the heading ‘One movement or two’: Abraham, ‘The Symphonies’, p.28-30 and Howell, *Jean Sibelius: Progressive Techniques*, p.43-44 and Example 13.

¹¹⁹ E.g. Levinson claims that ‘performative interpretations of musical works [...] reside in particular realizations of them, and so entail particular values of all the constitutive musical properties of the work, which obviously cannot coexist with other such choices, either in conception or in sounding. Performative interpretations irreducibly compete for space in a way that individually valid but superficially opposed critical interpretations [...] do not’ (Levinson, ‘Performative vs. Critical Interpretation’, p.39). Levinson also gives the opposite point of view (paraphrasing Alan Goldman), that performance interpretations do not ‘clash’ with each other but critical interpretations do – but here the commonality of the theory of the ‘interpretation’ established in Chapter One shows that interpretational elements may coexist in either case, since they do not occupy ‘space’ in the literal way that Levinson assumes (see section 1.2 and 1.3 for further critiques of Levinson’s theory).

¹²⁰ Reported in De Törne, *Sibelius: A Close-up*, p.16.

of music into a single whole. Yet each of these interpretations has distinctive middle-ground features which are combined with its overall one-movement pattern.

The distinguishing feature of Koussevitsky's performance (number [2]) can be seen clearly in its tempo graph, where the unified pattern is interrupted by a passage at a much faster rate than its surroundings: bars 70-91. This passage (corresponding to the third 'rotation' of musical material), when taken at the same speed as its surroundings - as for example in Karajan's recordings - can sound somewhat glassy-eyed and static, on account of its uncertain harmonic direction, thin textures and arhythmic figuration: Koussevitsky's response is to choose a faster tempo, matched only by Kajanus, recording number [1]. Yet despite this feature a tendency line or 'caricature' drawn through the rest of the whole movement would look much like that of the first type shown above - it is predominantly a single conception or sweep of tempo, since there is no pronounced transition portion, as there is in a typical two-movement version, to separate out two constituent movements from one another. The section of bars 71-90 performed at faster tempo can be regarded as a middle-scale feature superimposed on a large-scale single movement conception.

The tempo graph of Leinsdorf's performance, number [3], shows an articulation only at the coda (bar 498) - a feature common to many of the one-movement interpretations, but by no means enough to split them into two constituent movement-sections. (The coda is not sufficiently self-contained to stand alone, since its ninety-bar length consists largely of reiterations of tonic/dominant harmony.) Leinsdorf's recording is the only one from the era of 78-rpm records not yet to have been remastered onto compact disc: as it stands the first movement is spread over three sides of non-continuous recording. This format means that data collected from tapping along with the recording is unreliable at the point of side change, whether this occurs in the middle or at the end of a bar. Hence data points for bars 68-69 and 218 have been omitted from this performance analysis, leaving two small gaps in the graph which correspond to the side changes. One can observe that the Leinsdorf's tempo picks up at a different point from where he left off in each case (especially at bar 219). This is not the case with Kajanus's performance, which was also initially recorded onto separate 78s: after the first side-break at bar 62 the latter conductor picks up the same average or basic speed (circa 70 bpm), and after the second side-break at bar 218 he manages to maintain a rather complex pattern of acceleration from just after the re-establishment of the tonic at bar 158, through the trio,

to the start of its development in bar 258¹²¹. This may suggest that Kajanus was able to maintain a stronger sense of internal pulse between takes than Leinsdorf, whose recorded sections of the movement are more disparate.

Tuxen, in recording number [4], gives another performance which can be seen to be a one-movement conception since it, too, has no particularly pronounced transition section at the centre. Superimposed on this background pattern is a middle-scale undulating pattern of tempo modulation, in the second half of the movement in particular - which however is not the same as that in the graph of the score's tempo markings. Such 'arches' of tempo, when found against a background of a constant tempo, have been proposed by some researchers to represent Schenkerian spans of prolongation (especially in Furtwängler's performances of the early 1950s, which are exactly contemporaneous with the Tuxen recording here)¹²². However, it is doubtful whether this would be a useful interpretation here, partly since Tuxen is not known to have any particular Schenkerian interests, but also because the tempo arches in his performance prolong past the significant middleground contrapuntal/tonal events (such as they are in Sibelius) - for example the cadence onto B major for the trio at bar 218. It is more likely that his articulations represent respectively a desire to let the tempo settle down for the return of the familiar material between bars 298 and c.362 (before the *vivace molto* indication at bar 372 takes hold), and the usual spurt of tempo for the coda at bar 498.

Tuxen's recording illustrates the fact that the difference between a two-movement and a one-movement interpretation can be heard as well as seen. The increase in tempo during the crucial transition section (between, say, bar 99 and bar 142) is gradual, compared to that found in a two-movement interpretation, and, surprisingly enough, not easily perceptible when listening to the recording. The principle in one-movement interpretations of spreading out the tempo change over a longer period is reinforced by a similar principle in the balance, timbre, articulation and dynamics of the recording. Tuxen blurs the possible movement boundary by a strict observation of the dynamic marking in the trumpets, following the *p cresc molto* marked in the middle of bar 104, in contrast to many conductors who prefer to introduce the timbre abruptly where the trumpets begin their melodic material at the beginning of bar 106, and hence make an articulation at this crucial point. When the trumpets fade out in bars 113 and 114, their place is taken by the clarinets and oboes, which continue the melodic line in the same

¹²¹ These side-breaks are listed in Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.67.

¹²² See discussion in section 3.5.2.

octave without discontinuity. The higher-octave flutes, rather than being emphasised immediately in the orchestral balance (as in Blomstedt's recording number [B5]), are here saved for bar 190ff, following the principle of gradual change. Tuxen's articulation and dynamic level are firm throughout this passage, like his tempo, and thus the character remains that of a discursive first movement (rather than a contrasting scherzo movement as in two-movement interpretations on record). This performance shows that graphs of performance tempo are not as one-dimensional as they might seem, since the activity of tempo tends to be integrated with other parameters.

Collins, in recording number [7], is praised by Guy Thomas for his 'near-infallible sense of pace, finding the *tempo giusto* and shaping musical incident without distorting the all-embracing pulse'¹²³. The tempo graph of his performance shows that Collins's sense of pulse is indeed all-embracing, as he produces one of the flattest (at the middleground level) performances in the collection of forty-one. The performance shows only a subtle pattern of fluctuation, as revealed by the hint of a tempo arch in the first half of the movement (bars 1-105), and a barely discernable convex-concave-convex pattern in the second half; there is no clear coda articulation such as is found in Tuxen's performance and many of the other versions in the set. The capacity to shape musical incident which Thomas observes in Collins is manifested by the gradual brightening of the tempo towards the beginning of the second rotation (up to circa bar 35), after which there is a *ritenuto* into the return of the three-flats key signature (bar 41), and by the small pointed tempo arch for the third rotation, bars 70-91 (much tinier than Koussevitsky's in the same passage). He uses the different parameters to interesting effect by creating a sense of rising excitement from bar 92 using *crescendo* and energetic articulation; this means that the small tempo increase, when it comes after bar 106, is staggered and hence not particularly noticeable as a point of division. Collins's performance is one of the more highly-integrated interpretations of this piece on record, and its popularity shows that the one-movement pattern had not totally been superseded by Karajan's ground-breaking recording of two years previously (recording [5]), despite becoming rarer in the years to come.

¹²³ Thomas, 'The Symphonies of Jean Sibelius: A Discography', p.14.

3.2.3 Increasing maturity: Gibson.

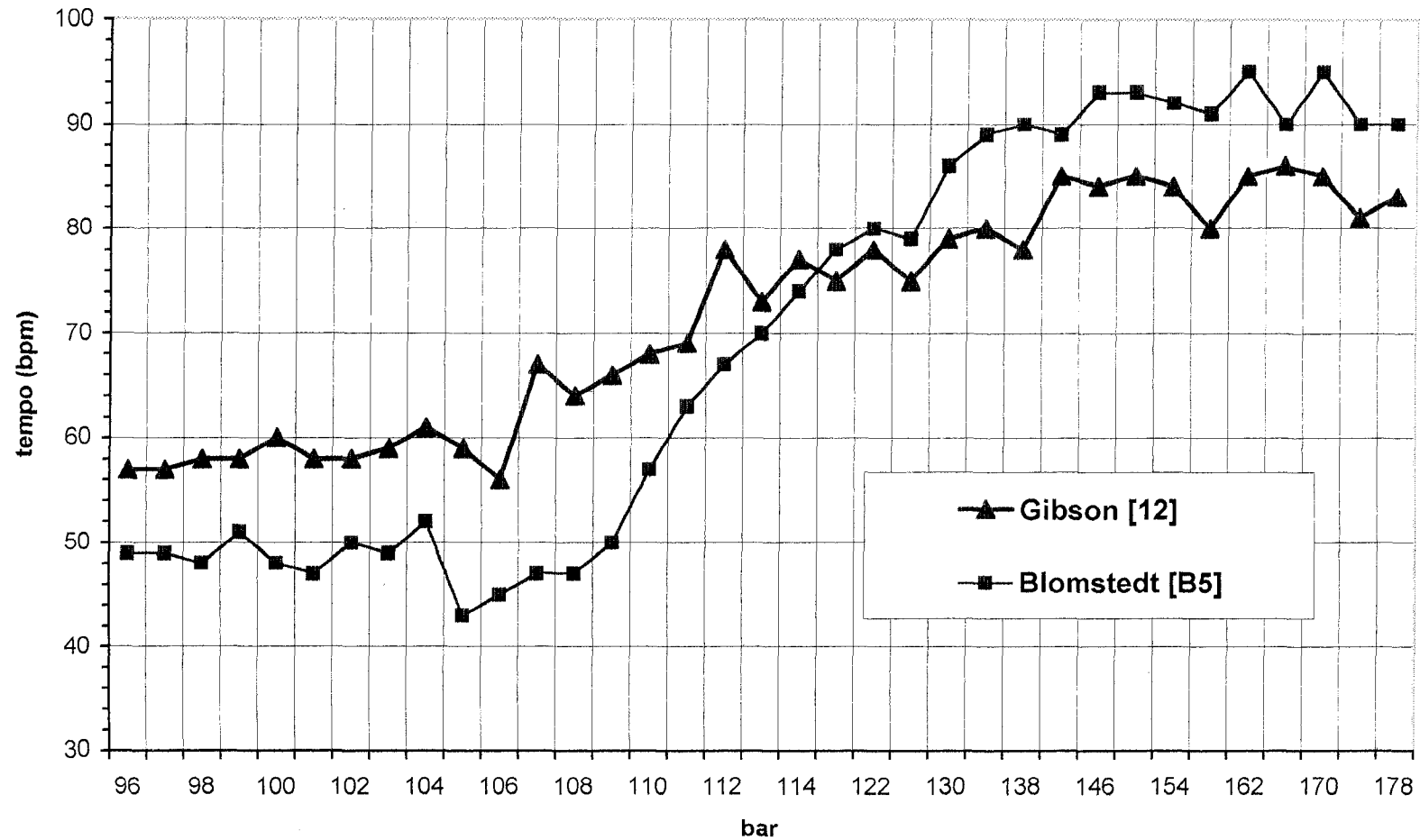
Amongst those one-movement interpretations which are produced later in the century can be found all of Gibson's three performances. Gibson's first rendering (number [12]) produces a tempo graph which shows a one-movement interpretation with no particular distinguishing features. This performance is therefore a useful one to look at in more detail in order to grasp some generic features of the one-movement interpretation.

The reference graph of Gibson's performance, number [12], shows that it has no separate transition section which behaves differently from the rest of the piece. The graph illustrates a tempo plateau (of 60 beats per minute) for approximately the first 90 bars of the piece, before starting to creep upwards gradually, but with no clearly-defined beginning or end to this gradual acceleration. (There is a slight increase in acceleration for the coda, at about bar 498.) If this graph is compared to that of (for example) Blomstedt's performance (number [B5]), the difference is evident. Blomstedt's interpretation consists of two broadly-defined main tempo areas, the first at approximately 50 beats per minute (bars 1-105) and the second rising from 90 to 120 beats per minute (bars 138 and following) with a further increase for the coda which is common to all movement-types. These two sections are linked by a sharply-rising transition, from bar 106 to bar 138. Considering the 'caricature graphs' shown previously, it is clear that the two-movement drawing best describes the shape of Blomstedt's graph, whilst the one-movement drawing best describes the shape of Gibson's graph.

What defines the difference between the two types of tempo graph? The representative graphs described above have certain features in common. Each performs the first movement, or section, at a relatively constant tempo (bar 1 to about bar 105), and each occupies the latter portion of music with some degree of steady accelerando; each also shows an increased amount of acceleration for the coda at bar 498. What is different about them is the transition in the middle of the movement(s), from bar 106 or thereabouts until bar 138, found as a separate section in the two-movement plan, and absent from in the one-movement plan. This section therefore bears closer examination.

The behaviour of the transition passage in Gibson's and in Blomstedt's performances respectively is compared on a detailed graph, Example 3-19. At bar 100, Blomstedt's tempo is 50 beats per minute, 10 bpm slower than Gibson's. However soon after this his tempo begins to climb rapidly, crossing over Gibson's at bar 118. By bar

Example 3-19: Comparison of the transition in a one- and a two-movement interpretation



138 Blomstedt has reached 90 beats per minute, and is now 10 bpm faster than Gibson’s tempo.

	bar 100	bar 138	difference
Gibson [12]	60 bpm	80 bpm	20 bpm
Blomstedt [B5]	50 bpm	90 bpm	40 bpm

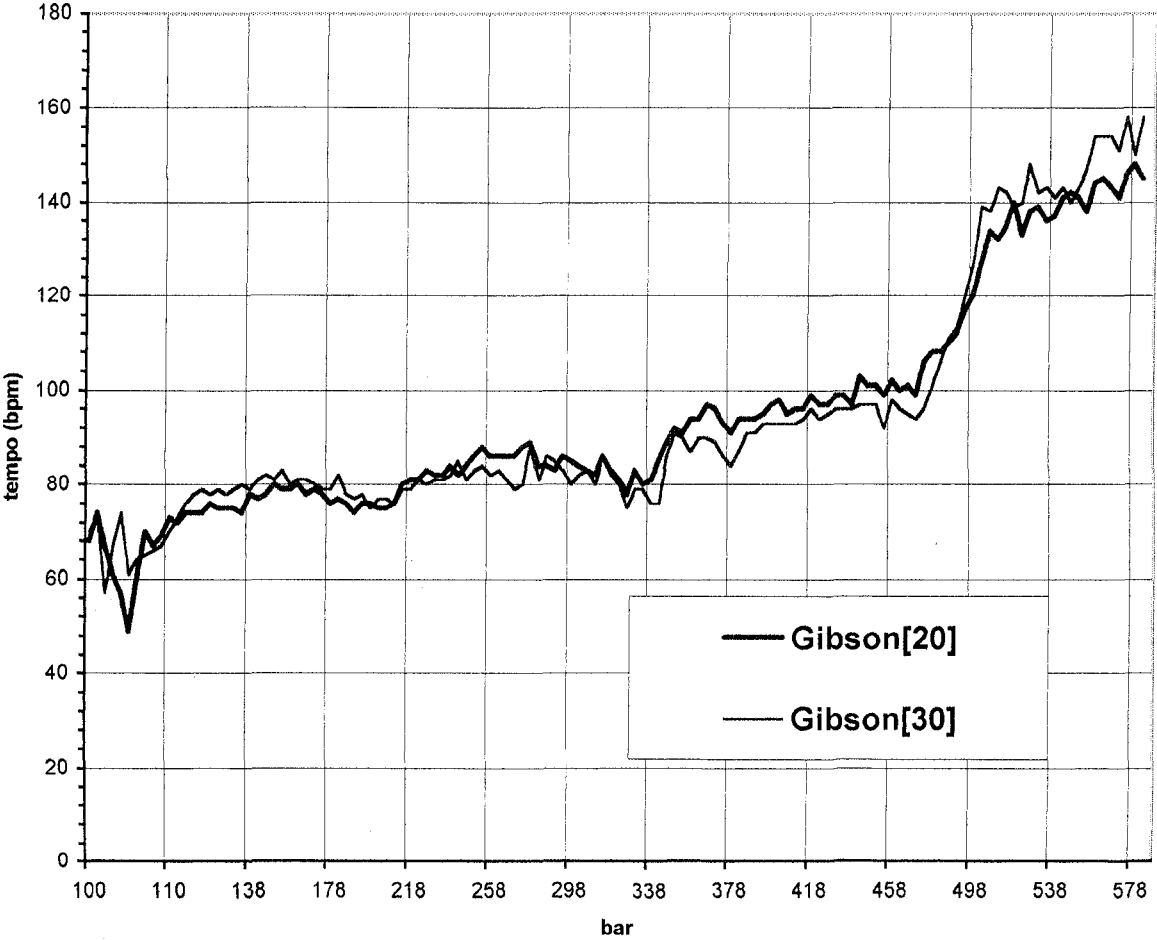
Thus Blomstedt has gained a total of 40 beats per minute, twice as much as Gibson’s increase of 20 beats per minute. His two constituent ‘movements’ are far more differentiated by tempo than in Gibson’s recording, both graphically and numerically.

This recording of the work by Gibson (number [12]), his earliest, was dismissed by some reviewers as ‘a little premature[...]. This reading does not show an intellectual grasp of the symphony as a whole’¹²⁴. The relatively featureless reference graph of the performance suggests why these reviewers may have found it to lack definition: it does not possess the ebb-and-flow of tempo variance found, for example, in Collins’s recording (number [4]) and the same small-scale pattern of tempo behaviour is maintained almost throughout. The conductor’s later recordings of the same movement, numbers [20] and [30], bear some resemblance to his earlier version in their one-movement pattern, but these recordings possess additional features which sharply distinguish them from it.

Compared to recording number [12], each of Gibson’s two later recordings shows a greater amount of local ‘rubato’, or tempo flexibility in the first portion of the movement (bar 1 to c. bar 105). This flexibility can be seen by the rapid fluctuation of the line up and down between 45 and 70 beats per minute on the y-axis. In contrast, the second portion of the movement (bar 106 to the end) is characterised by a much smaller degree of small-scale tempo flexibility in each case- even less than was found in the corresponding passage of the earlier recording number [12] - that is, the line is much smoother. The second half of the movement is also delineated by a middle-scale pattern of behaviour, the four convex curves which run from approximately bar 106 to bar 186/194, from there to bar 338, from there to bar 471, and from there (a rather distended curve) to the end. A detailed graph of the second half of the movement (Example 3-20) shows these curves, and also how similar performances [20] and [30] are to each other.

¹²⁴ Greenfield et al, *The Stereo Record Guide*, vol. 2, p.498.

Example 3-20: Gibson's delineation of the second part of the movement



In these later recordings Gibson uses small- and medium-scale tempo behaviour to create contrasts in the two constituent sections of the piece, without breaking up the overall one-movement interpretation he had developed. These devices would have helped to transmit the complex shape and character of the movement to the listeners like those above who found his earlier recording a little undifferentiated.

3.2.4 Total integration: Tjeknavorian.

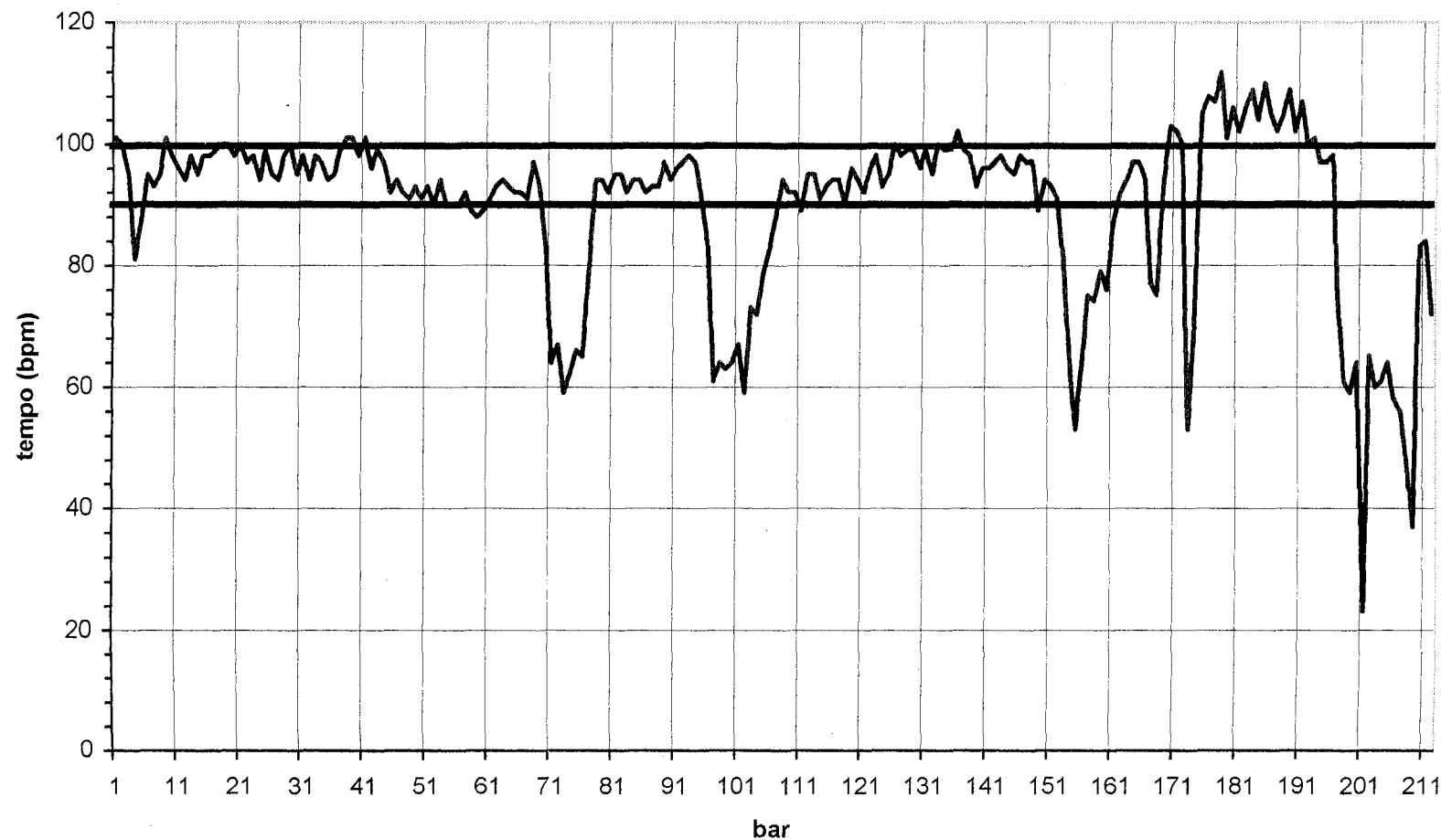
Tjeknavorian's interpretation, number [23], is an unusually integrated one-movement pattern. It shows an interesting correlation with the written material (sleeve note) which accompanies it, where the first movement of the symphony is described as 'a study in tempo structure [which] represents one long *accelerando* culminating in the *piu presto* of the closing 32 bars'¹²⁵. Indeed this is an accurate description of the performance: Tjeknavorian maintains an *accelerando* process even when this is not indicated in the score, for instance between the first subject group (bars 1-19) and the onset of the second subject (in bar 20), and also through the *Largamente* marking at bar 92 (suggested by Sibelius's post-publication tempo markings to be 3 bpm slower). The performance further matches the description above in making its only major articulation at the coda - although this appears just after the *Presto* marking at bar 507, rather than the *Piu Presto* at bar 555 implied in the sleeve note.

The internal integration of the first movement, however, is only part of a larger integration of the whole symphony in Tjeknavorian's view. Tjeknavorian performs the whole symphony *attacca*, with only 2 seconds between the last downbeat of each movement and the first of the next movement, scarcely enough time after the end of the first movement for the sound to die away. This feature is unique to the recording under consideration: a more typical value for the recordings collected here would be a pause of 10 seconds after the first movement and a pause of 5 seconds after the second movement. His performance goes on to give us an unusually fast second movement: his basic tempo is between 90 and 100 bpm - as shown by the bold horizontal lines on Example 3-21 - as compared to a metronome marking of 80. This serves to lessen the contrast between this movement and its surrounding first and third fast movements¹²⁶.

¹²⁵ Note by Ates Orga (1976), attached to recording RCA GK 71218.

¹²⁶ Orga correspondingly describes the middle movement as of a 'dance-like character', in contrast to other writers' description of it as a slow movement.

Example 3-21: Tjeknavorian's fast performance of the middle movement of Sibelius's Fifth Symphony



Not surprisingly, the ‘attacca’ process at work in the performance of the whole symphony is again reflected in the sleeve notes:

The final published form (1921) is actually divided into only three movements, *with no traditionally marked break between any of them*. Gerald Abraham has suggested, however, that as the music stands in its final form it should really be regarded as a single, integrated structure in which only vestiges of the original scheme are left to remind us of its first concept¹²⁷.

In fact Abraham was referring to just the *first movement* as being (possibly) a single integrated whole. This misreading of Abraham is achieved by use of the vague term ‘the music’ in the second sentence of the quote, which is made to refer back to the form of the *whole symphony* in the previous sentence. In fact, it is true that there are no markings (‘I’, ‘II’, and ‘III’ for example) at the head of each of the separate movements in the 1921 published score, so this integrated scheme is certainly a valid way of looking at the symphony (preparatory, perhaps, to the Seventh Symphony which is in one single structure). It is, however, an extremely unusual view.

Tjeknavorian’s one-movement interpretation is evidently part of a larger conception for producing an integrated performance of the whole symphony. Likewise, no other sleeve note makes such a claim for integration. That the writer and the conductor were so firmly in agreement must be regarded as more than a coincidence, since each is unique amongst the forty-one recordings sampled. In fact, Orga has explained that he, Tjeknavorian, and the producer Charles Gerhard prepared the recording together, and that it was the result of their joint view of the work, which was based on both musical and orthographical considerations¹²⁸. In the terms developed in the first chapter of this thesis, the same Interpretation concept is expressed both in a Performance, and in the verbal Analysis which is attached to it. It is clear that in the case of this recording the note and the performance are linked together more firmly than is sometimes the case¹²⁹. Furthermore, Tjeknavorian’s performance represents a culmination of the one-movement tradition, in which tempo decisions in the first movement accurately reflect a wider interpretative concept.

¹²⁷ Emphasis added. Orga is loosely paraphrasing Abraham, ‘The Symphonies’, p.28-29 and p.30.

¹²⁸ Personal communication by email, 8th November 2000.

¹²⁹ The relationship of performances and programme notes will be discussed further in section 3.6.

3.3 Two-movement interpretations

This section will investigate the introduction of a new pattern, namely the two-movement tempo outline, into the performance tradition of this piece. It will also consider parallel structural matters arising from the performances which exhibit such a pattern. The recorded performances of Karajan, the innovator in this tradition, will be examined closely first (3.3.1). The remaining bulk of two-movement performances will be compared and categorised with attention to the tempo transition in the middle of the movement (3.3.2 and 3.3.3), before Celibidache's more unusual application of the same principle is examined separately (3.3.4). This will be followed by some speculation about why this new performance pattern should have entered the tradition (3.3.5).

3.3.1 A new tradition: Karajan

The earliest, as well as the most prolific, recorded proponent of the two-movement pattern was Herbert von Karajan. There are four performances of the Sibelius Fifth Symphony in the collection assembled here (reference graphs [5], [13], [14] and [24]) and, despite being spread across 25 years and two different orchestras, as a group they can be distinguished by sight. Most significantly, each of the set of four performances has a distinctive central tempo transition showing an increase of c.30 bpm or more. The first main part of the movement, before the transition, tends to present a basic tempo which is more-or-less constant - a horizontal tendency line could be drawn through it to show the tempo level behind the local rubato. In performance number [13], for example, the basic tempo would be about 50 bpm for bars 1-105. (Contrast this with Ormandy [8] in the same passage, where such a line would be neither possible nor meaningful.) The second main part of the movement, after the diagonal tempo transition, could be characterised by a gently sloping line showing gradually increasing tempo: compare the caricature graph of a two-movement plan in Example 3-15.

Even the smaller features found in the set of four Karajan performances reveal important details about his performance style. Examining the first twenty bars of each graph more closely, it is clear that Karajan is not responsible for introducing the performance habit of making a large ritardando in bar 10, where the first (interrupted) cadence is only a small-scale gesture and does not warrant such a practice. He prefers a subtle settling of the tempo after bar 11 (see performance [14] in particular). The pronounced 'V'-shape which indicates such a rit. is immediately discernable from the

performances of Panula [27], Rattle [29], Bernstein [33] and Järvi [B3], and in these performances the audible pulling-back in tempo is invariably reinforced with an exaggerated crescendo into bar 11. Furthermore, Karajan is one of the very few conductors not to break up the second main section by making a tempo articulation for the coda, a habit which otherwise pervades interpretations of every type from across the century¹³⁰. His performance number [13] is exemplary for this, where one would not know there was a coda (or a tempo indication) from looking at the graph.

Karajan’s control over the tempo structure of his performances can be demonstrated by examining a feature which is not immediately apparent from the reference graph. Finding an average tempo for each of the four ‘rotations’ within the movement (the constituent sections identified by nearly all writers and labelled by Hepokoski¹³¹) gives the following tables:

(average tempos in bpm)	Karajan [5]	Karajan [13]	Karajan [14]	Karajan [24]
Rotation 1 (b.3-35)	47.91	51.58	47.37	46
Rotation 2 (b.36-68)	53.33	51.19	47.30	48.45
Rotation 3 (b.69-105)	51.51	51.57	47.32	47.76
Rotation 4 (b.106-586)	104.06	101.35	103.30	106.06

Compare to some randomly-selected conductors from the rest of the set:

	Kajanus [1]	Koussevitsky [2]	Barbirolli [10]	Bernstein [15]	Berglund [19]	Gibson [30]	Kondrashin [31]	Berglund [35]
Rot.1	65.52	57.88	47.82	51.48	51.24	60.48	53.55	51.36
Rot.2	67.85	61.48	49.58	60.39	53.76	65.52	58.64	54
Rot.3	65.38	64.59	45.54	53.97	52.92	60.92	59.95	50.65
Rot.4	101.37	90.94	102.27	102.75	100.85	95.40	109.60	101.06

Most of these conductors show the random distribution of average tempos that might be expected: average tempos for the first three rotations may be 7-9 beats apart (Bernstein and Koussevitsky), or closer. Karajan’s final recording, number [24], has rotation averages only 2½ beats apart, as does Berglund’s recording number [19]. But far more remarkable are Karajan’s recordings from the peak of his career in the 1960s, numbers [13] and [14]. Assuming that bars 1-2, which contain the initial fermata, are omitted from

¹³⁰ See also Sanderling [22], a performance graph of a very different overall shape, but also without coda articulation.

¹³¹ These rotational sections are laid out in section 2.2, ‘Analysis of Sibelius’s Fifth Symphony, first movement’.

the calculation, Karajan's tempo averages for rotations 1-3 in performance number [13] are the same *to within one beat per minute*. Even more strikingly, the same first three rotation averages in performance number [14] are the same *to within one decimal place*, or 0.1 of a beat per minute.

This overall tempo constancy might be thought to be coincidental, except for Karajan's testimony in interview with Richard Osborne:

RO: You have always had a passion for rhythmic accuracy and long-term rhythmic control [...] You had yourself computer-tested once?

HvK: That was in Dortmund, at the scientific institute there. They have a piano [...] which is connected to a computer. [...] I made, I think, a 2 per cent or 3 per cent error over the whole test. So they said, 'Herr von Karajan apparently has a computer in his brain!' But it is not a computer. I trained it, with metronomes. And I still test myself¹³².

Karajan claimed to be able to 'walk in 120 [beats per minute] and sing in 105' simultaneously; and so such a feat as maintaining a constant average across several minutes of Sibelian texture, even through local fluctuations, would be easily possible for him. We can conclude more broadly that any tempo behaviour in a performance conducted by Karajan must be the result of a deliberate act of control. This knowledge informs our view of his decision to implement the pattern represented by the second caricature graph of Example 3-15, and the central transition passage in particular, such that we can conclude they must be part of a explicit interpretative strategy.

The distinctive tempo transition in the middle of the passage, and the two-movement pattern which results from it, appears for the first time in the recorded literature in Karajan's performance number [5], having nothing in common with the previous recordings, those by Kajanus, Koussevitsky, Leinsdorf, and Tuxen. As was found above in a comparison between Blomstedt's (two-movement) interpretation and Gibson's (one-movement) interpretation in section 3.2.3 above, close examination of this central passage can provide a lot of information about performance strategies. The central sharp increase in tempo (between about bar 106 and bar 142) which defines a two-movement interpretation is evident to the eye from a graph such as number [5], but can also be examined numerically using the data gathered from analysing these

¹³² Osborne, *Conversations with Karajan*, p.96-97.

performances. In order to separate a steady first section from a brisker scherzo sufficiently that these are perceived as two separate movements, the primary criterion for a two-movement pattern is that the transition area shows an increase in tempo of approximately 30 bpm or more. This sounds like a large increase in tempo but can be found in Karajan's performance number [5] as well as many examples from later in the century. It is a rule of thumb which will be applied flexibly in examining performances.

There are secondary criteria which will usually be found alongside the increase in tempo. Typically this transition passage is characterised by a relative absence of local rubato (i.e. the line is smooth rather than zigzag). The acceleration tends to begin at or shortly after bar 106 (which is significant as the point of recall of the opening material, and hence arguably the beginning of a 'second movement'); it tends to continue for around ten long bars of 12/8 (or the equivalent in the new 3/4 metre). There is often a relatively clear stopping point to the transition passage, after which acceleration continues but at a noticeably lesser rate. These features (except for the local rubato) are illustrated in the two-movement caricature graph.

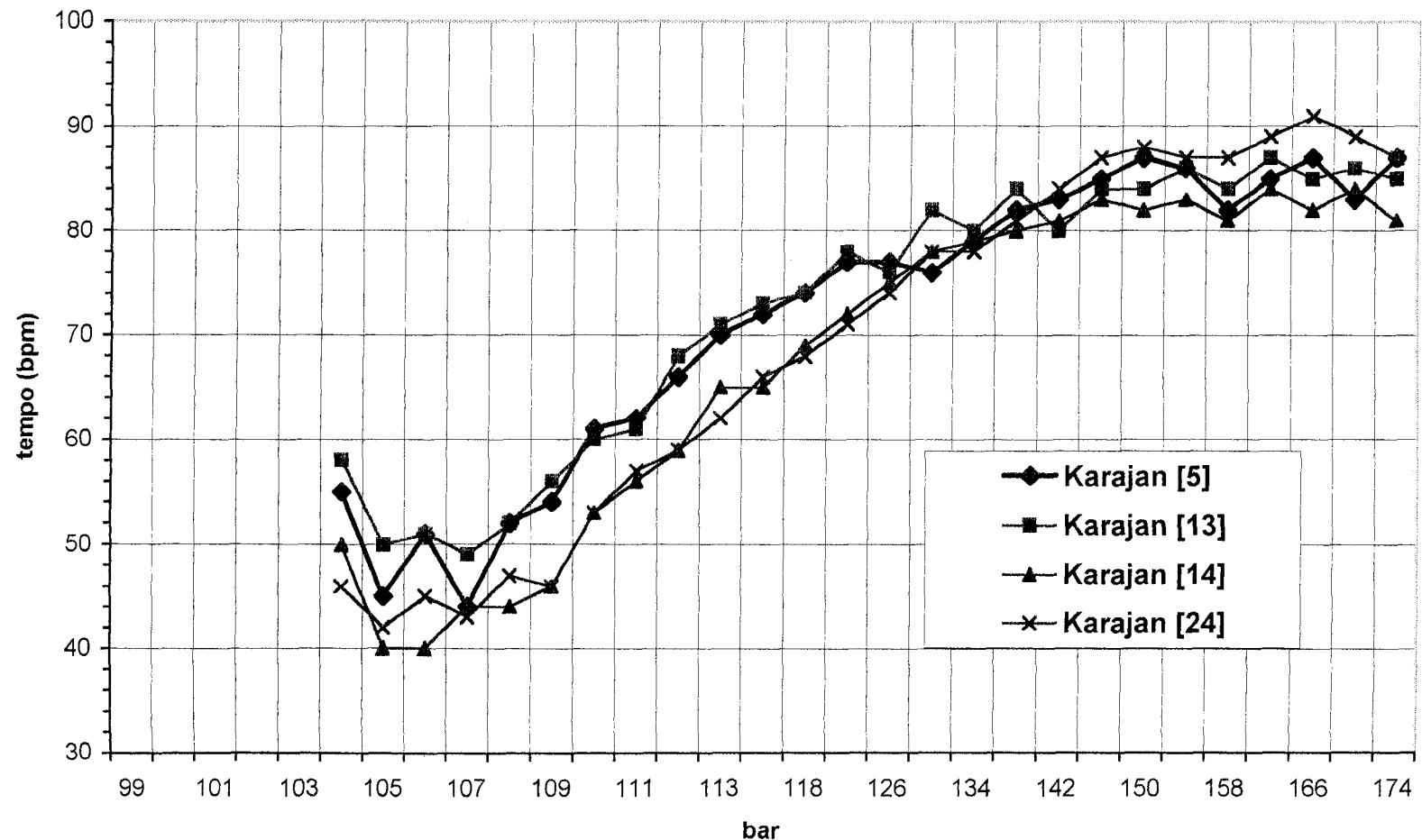
Examining the two-movement performances in these terms gives the table of results shown below (where recordings are arranged in order of release date, rather than sequentially by reference number, in order to aid historical understanding). To obtain this information, the lowest point and the highest point of the transition are identified, and the tempo at the former is subtracted from the tempo at the latter. This gives the y-value or 'tempo increase' in beats per minute. The x-value has been measured to take account of the change in time signature to 3/4 at bar 114, after which barlines pass at four times the previous rate: the bar numbers of the lowest and highest point of the transition have been identified, and the distance between them measured in terms of the old 'bars' of 12/8 (each equal to $4 \times 3/4$ bars) so as to aid comparison¹³³. (On the detailed graphs which will illustrate this data, each 'bar' of constant 12/8 length occupies one grid square on the x-axis.) Finally, the transition passage has been labelled according to the criteria listed above: that is, if the tempo increase (y) is 30 bpm or thereabouts (also taking the other factors into consideration) the transition is described as being of 'full' length. A 'short' transition passage is one which is evident to the eye but only shows an increase of 20 bpm or so; a 'long' transition passage is one which shows an increase of 40 bpm or more.

¹³³ These data are all shown to the nearest integer (i.e. do not include any $1/4$ -bar values) because the method of tempo mapping used collected data from every bar, and not from every beat: see p.137 and footnote 16.

Performance name/number	Start bar	End bar	'Bars' taken (x)	Start tempo	End tempo	Tempo increase (y)	Type:
Karajan [5]	107	126	11	44	77	33	FULL
Hannikainen [9]	101?	108	7	56	82	26	SHORT?
Barbirolli [10]	100?	111	11	43	77	34	FULL?
Sargent [11]	105	111	6	57	81	24	SHORT
Karajan [13]	107	122	10	49	78	29	FULL
Karajan [14]	106	146	17	40	83	43	LONG
Bernstein [15]	105	113	8	40	76	36	FULL
Barbirolli [17]	106	109	3	49	69	20	SHORT
Prêtre [18]	109	142	12	59	79	20	SHORT
Panula [27]	106	113	7	59	81	22	SHORT
Celibidache [B2]	106	114?	9	40	68	28	SHORT?
Colin Davis [21]	105	138	15	37!	85!	48	LONG
Karajan [24]	109	150	15	46	88	42	LONG
Ashkenazy [28]	109	118	6!	51	81	30	FULL
Jarvi [B3]	105	112	7!	35	68	33	FULL
Salonen [32]	106	150	17	44	88	44	LONG
Berglund [35]	105	154	19	51	90	39	LONG
Saraste [36]	109	130	9	53	82	29	FULL
Blomstedt [B5]	105	138	15	43	90	47!	LONG
Andrew Davis [B6]	105	138	15	52	95	43	LONG

Karajan's first two renderings of the transition passage could be described as 'full' (an increase of about 30 bpm or more) and his latter two as 'long' (an increase of 40 bpm or more). The gesture tends to get more pronounced as the century progresses, and this is true of Karajan's own performances as well as those by other contemporary conductors. The transition passage from each of Karajan's performances is taken out for closer inspection on Example 3-22, which can be compared to the four reference graphs of these performances [5, 13, 14, and 24]. Each performance dips *from* bar 104 *into* bar 105, an understandable place to make a rit. since bar 105 is the last bar *before* the beginning of the new section. After some irregularity with the tempo (in three cases bar 106 is played more briskly than bar 107, its answering motif, and in one case bars 108-109 also receive similar treatment), a period of steady acceleration begins. The acceleration has been considered to begin in the bar of lowest tempo (see 'start bar' column in the table of results), beginning after these initial fluctuations, since it is partly the absence of these fluctuations which makes the transition passage possible to isolate from the graph with any clarity. During the time of the tempo transition, the acceleration is fairly constant without much local rubato. The straight diagonal line which this produces can be seen on Example 3-22, and on the reference graph of performance [24] in particular.

Example 3-22: Karajan's transition sections



Isolating an ‘end’ point for the acceleration is a similar process to deciding where it starts. The situation is clearest on the later two recordings, Karajan [14] and [24]. Here the highpoints of the acceleration are bar 146 and bar 150 respectively, after which the line settles into a more constant use of local rubato and a steadier rate of acceleration. In performance [13], the smooth acceleration ends earlier at bar 122, after which the zigzag pattern of local rubato is more consistent with the ensuing ‘second movement’ section, as can be seen from the reference graph. This means that whilst the later two performances are categorised as ‘long’ transition sections, due to their increase in tempo of over 40 bpm, the earlier performance is classed as merely a ‘full’ transition since its passage of constant acceleration produces an increase of only 29 bpm.

The first performance, number [5], is the most ambiguous. Strictly speaking, the transition runs from bar 107 to bar 122 (the same as performance [13]), after which there is a dip in the tempo marking the end of acceleration. This produces a tempo increase of 33 bpm, which is categorised on the table of results as a ‘full’ transition section. However, the passage from bar 130 to bar 150 shows another period of constant acceleration, as is also visible on the reference graph. If this whole passage is considered to be the transition section, the increase in tempo is instead 43 bpm, classed as a ‘long’ transition. In this alternative interpretation, the ‘notch’ feature at bars 126-130 is merely an interruption to the overall tendency of the acceleration. This ‘notch’ appears in various later recordings of the movement and will be discussed below. The transition section in this Karajan’s earliest performance is therefore an ambiguous manifestation of the pattern, which becomes clarified in his and others’ later performances.

3.3.2 Short transitions in the early performances

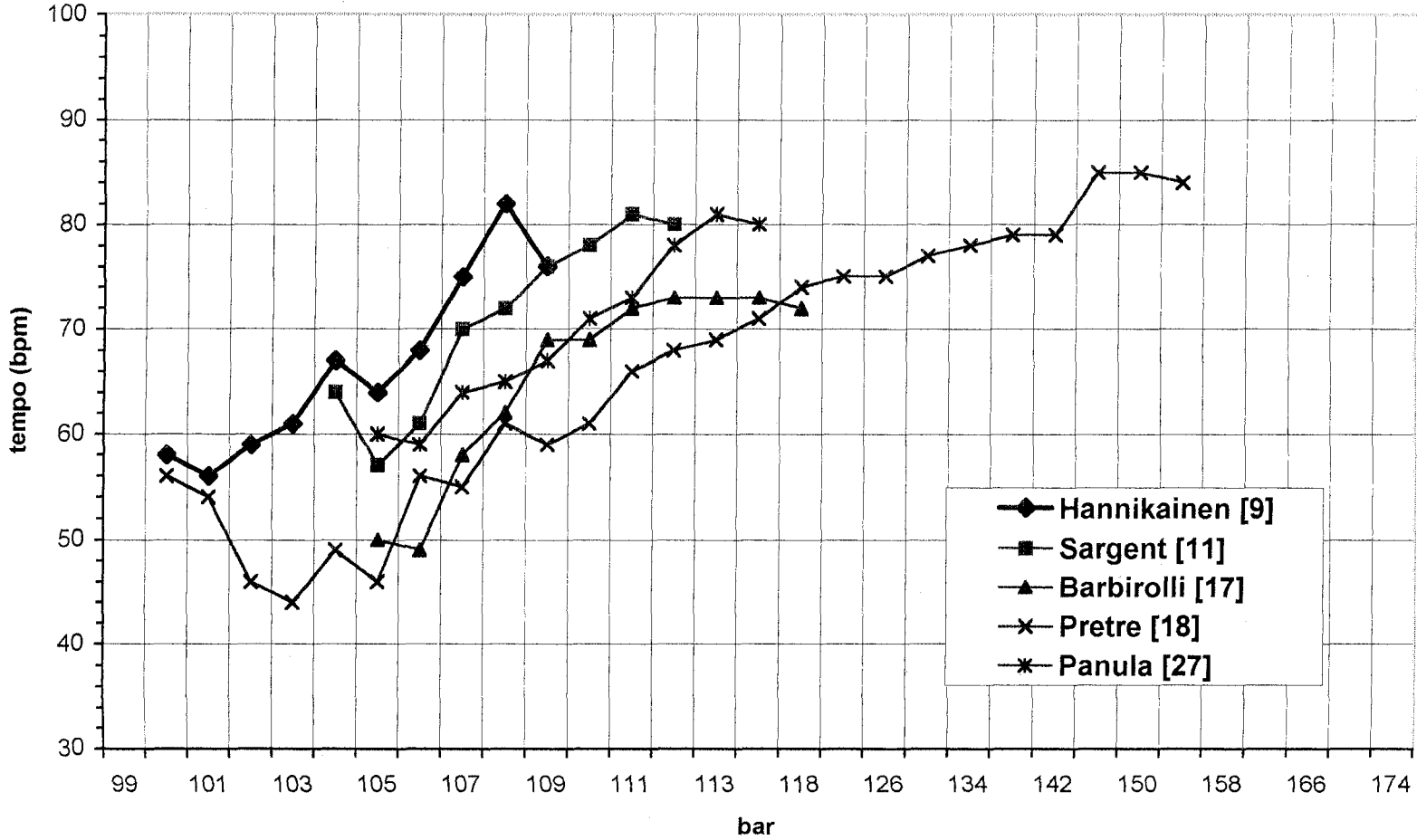
Following Karajan’s ground-breaking introduction of a two-movement interpretation into the performance tradition of this piece, we may search the ensuing recorded literature to see if it is picked up by other conductors. The next recording of Sibelius’s Fifth Symphony to be released in Britain was Collins’s performance, number [7], which as we have seen follows the one-movement pattern. The next recording of the work was by Ormandy [8], and from the reference graph of this performance it can be seen that although this interpretation follows approximately a two-movement pattern, the middle part of the graph exhibits the same local zigzag pattern as the rest of his performance, in addition to following a curved shape between c. bar 103 and bar 330.

These factors make it difficult to isolate a separate transition section, and for this reason Ormandy's performance will not be discussed in this section.

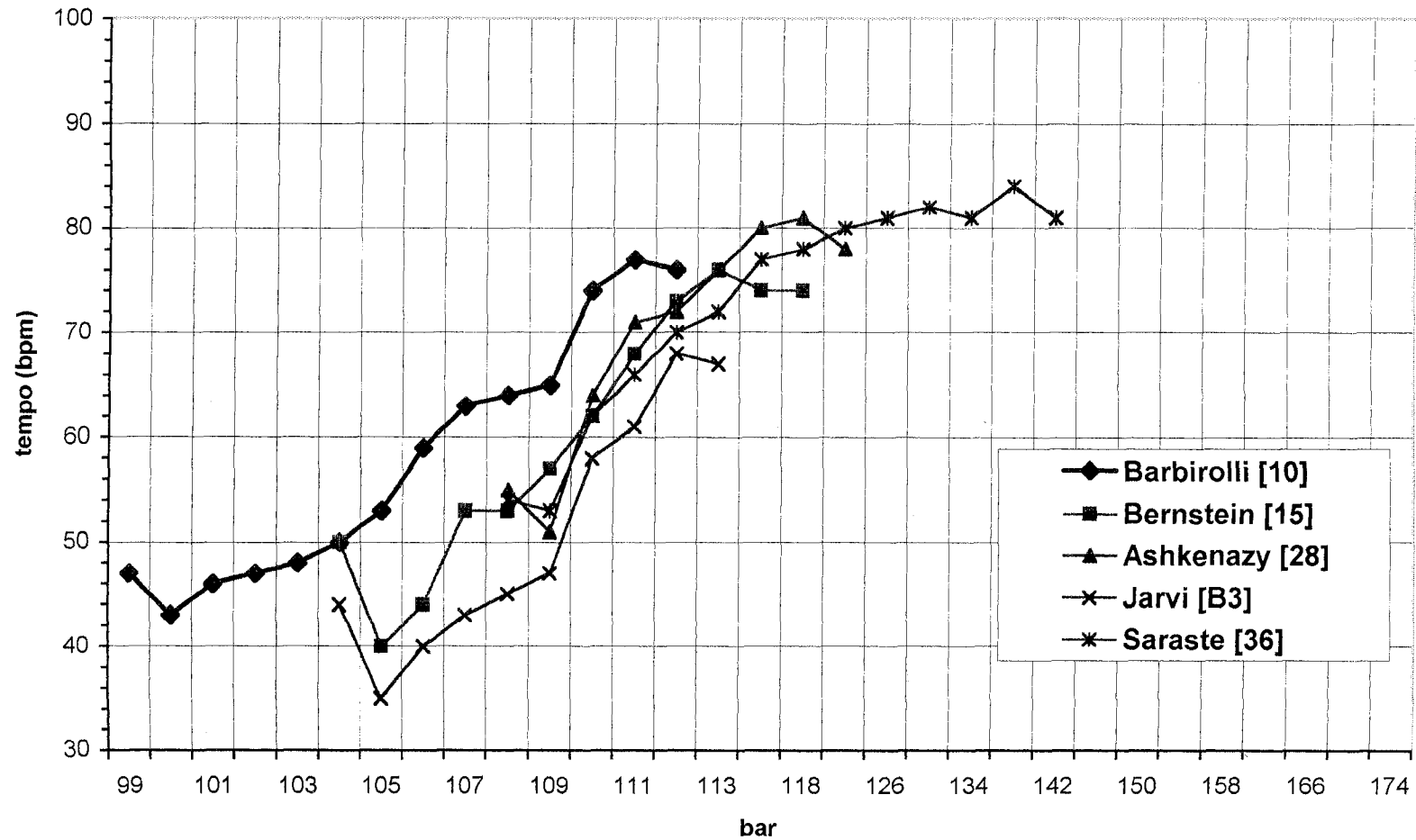
Hannikainen's performance, number [9], is the first to introduce a pattern resembling a tempo transition into the movement. This is interesting as a Finnish conductor might be expected to follow the tradition of Kajanus, rather than that of the foreign conductor Karajan. Since Hannikainen makes a tempo increase of only 26 beats per minute during this section (see table above), his transition section has been loosely categorised as 'short'. Plotting this section in detail against a collection of other 'short' tempo transitions, however, shows up a crucial difference: see Example 3-23. Whilst Sargent [11], Barbirolli [17], and Panula [27] begin their acceleration in bar 105 or bar 106, the expected places for the movement break, Hannikainen's transition passage occupies an earlier position on the graph, beginning in bar 101 and finishing correspondingly earlier. This serves to create a continuity between the two halves of the movement in the same way that one-movement performances have been seen to do. Indeed, if one examines the reference graph of Hannikainen [9] it is equally close to a one-movement, or even a stepped outline since its transition is relatively abrupt (and the latter half of the piece maintains almost a constant tempo until the coda). Hannikainen is not producing the characteristic transition section of Karajan, but an early hybrid of it, since this performance does not articulate the movement division (except as a foreground feature: the 'notch' at bar 105 echoes the point of the movement division).

To continue to consider the performances chronologically, the outline of performance number [10] can be examined next; this outline, however, is shown on Example 3-24, with the other 'full transition sections', since it has more in common with later performances. This performance of Barbirolli's is ahead of its time in many ways: from the reference graph it is clear that, for the first time outside Karajan's recordings, the transition section is present in its standard form of over 30 bpm increase. Barbirolli's performance is the first to take the slow tempo in the first movement/section which is to become associated with the two-movement outline: its speed in bars 1-90 is around 45-50 bpm, compared to the more usual 60-70 bpm of this period. Even Karajan himself is not so slow, at 50-55 bpm, whilst Tuxen, the only performer (oddly, for a one-movement interpreter) to reach a comparably slow tempo, does not sustain it. Barbirolli [10] also has the distinction of being the first recorded performance to exhibit a 'recapitulation' pattern at bar 298. Whilst the transition section in this performance is highly innovative,

Example 3-23: Short transition sections



Example 3-24: Full transition sections



being the first to take up the ‘full’ increase in tempo of over 30 bpm (see table of results above), it is also deviant in the same way as Hannikainen’s short transition section: it begins at bar 100 and smoothes neatly over the point of movement division, finishing at bar 111 without even a notch to mark bar 106. The continuity aesthetic of the one-movement pattern is still maintaining its hold on the interpretation styles of conductors of this work.

Malcolm Sargent, in performance number [11], was the first recorded conductor after Karajan to begin the transition passage in the logically expected place - perhaps surprisingly, for a conductor with a reputation for laziness¹³⁴. Example 3-23, above, shows his transition section, beginning with a low-point in bar 105 and increasing 24 bpm in the next six bars. On the same graph are shown comparable ‘short’ transition sections: that by Barbirolli in his second performance, number [17], is interestingly much more conventional in its starting-place than the same conductor’s earlier version, showing that he may have absorbed the two-movement tradition in the intervening eight years. The similar transition in Panula’s performance (number [27]) is included despite its later reference number, as the performance dates from 1969 which would place it at number 19 if the recordings were organised by performance date rather than release date. Prêtre’s performance, number [18] also shows a ‘short’ transition section relatively free from local rubato. The conductor produces an unusually steady rate of acceleration, taking 12 ‘bars’ to produce an increase of only 20 bpm. This passage is also unusual in that the smooth acceleration begins rather late at bar 109. However, if one examines the reference graph it can be seen that there is a dip in the line at bar 105 (and at bar 103), after which the acceleration begins, though with a couple of zigzags until the acceleration becomes more smooth in bar 109. This tendency to fluctuate slightly at the beginning of acceleration is also found in other conductors, including Karajan [24], and hence is not particularly unusual¹³⁵.

The remaining recording from the collection prior to 1970 is Bernstein’s, performance number [15]. Bernstein makes a full length transition passage with an increase of 36 beats per minute, and hence is plotted with comparable performances on

¹³⁴ Lebrecht (for example) refers to Sargent’s ‘indolent lack of preparation’ as the cause for the failure of William Walton’s *Troilus and Cressida* at its premiere (Lebrecht, *The Maestro Myth*, p.166).

¹³⁵ I have excluded these fluctuations from the transition passage in the table of data above in the interests of clarity and impartiality, but they should be reconsidered where they add to understanding of performance decisions.

Example 3-24. Bernstein is the first conductor after Karajan to make an acceleration of over thirty beats which also accentuates the movement division at bar 105; he achieves this considerable increase in tempo over a period of only 8 ‘bars’ with relatively little local rubato. This sudden absorption of the new performance outline for this movement could possibly be because Bernstein’s recording appeared immediately after the two subsequent Karajan recordings, numbers [13] and [14], and these may have piled up evidence in favour of the sharply-differentiated two-movement pattern. However, given that other contemporary recordings were not affected in the same way, it is just as important to consider Bernstein’s individual temperament: he is fond of exaggeration¹³⁶, or dramatic contrast, and hence might have relished the chance to create a large tempo differential between the two parts of the movement.

The tendency to create strong contrasts is borne out in other parts of the graph: in the third rotation (bars 69-91) Bernstein begins extremely slowly - the opening horn note is held a considerable length of time over the barline of bar 69 - and accelerates to a peak to reinforce the rhythmic activity of bars 80-81. This produces a tempo arch which is related to that of his mentor Koussevitsky in the same passage¹³⁷, although it is of a different shape, and also of a greater extent than his: the tempo moves from below 40 bpm to over 70 bpm. At the coda, too, Bernstein makes a sudden increase of over 40 bpm, an unprecedented amount, and one which remains unusual for two-movement interpretations since they already tend to be at a fast speed by this point¹³⁸. These pieces of evidence could be used to support a theory that Bernstein is open to the influence of performance idioms in the performances of his elders, *or* a theory that he is fond of pronounced tempo gestures; or else a combination of the two, namely that he chooses performance gestures from previous conductors according to whether they serve his personal needs for expressiveness. This latter version is the most convincing, but any of these options would tell us something worthwhile about Bernstein’s character as a musician if backed up by further evidence.

¹³⁶ Guy Thomas, for example, refers to ‘Bernstein’s famous exaggerated expressiveness’ in connection with the austere Fourth Symphony of Sibelius: see Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.21.

¹³⁷ Bernstein was proud of his connection with Koussevitsky and frequently referred to him as ‘my teacher and great friend’; see Lebrecht, *The Maestro Myth*, p.136-137.

¹³⁸ Compare Gibson’s later one-movement performances, [20] and [30], and stepped performances such as Rozhdestvensky [26] and Levy [B4], none of which reaches 160 bpm at the start of the coda.

3.3.3 Long transitions in the later performances.

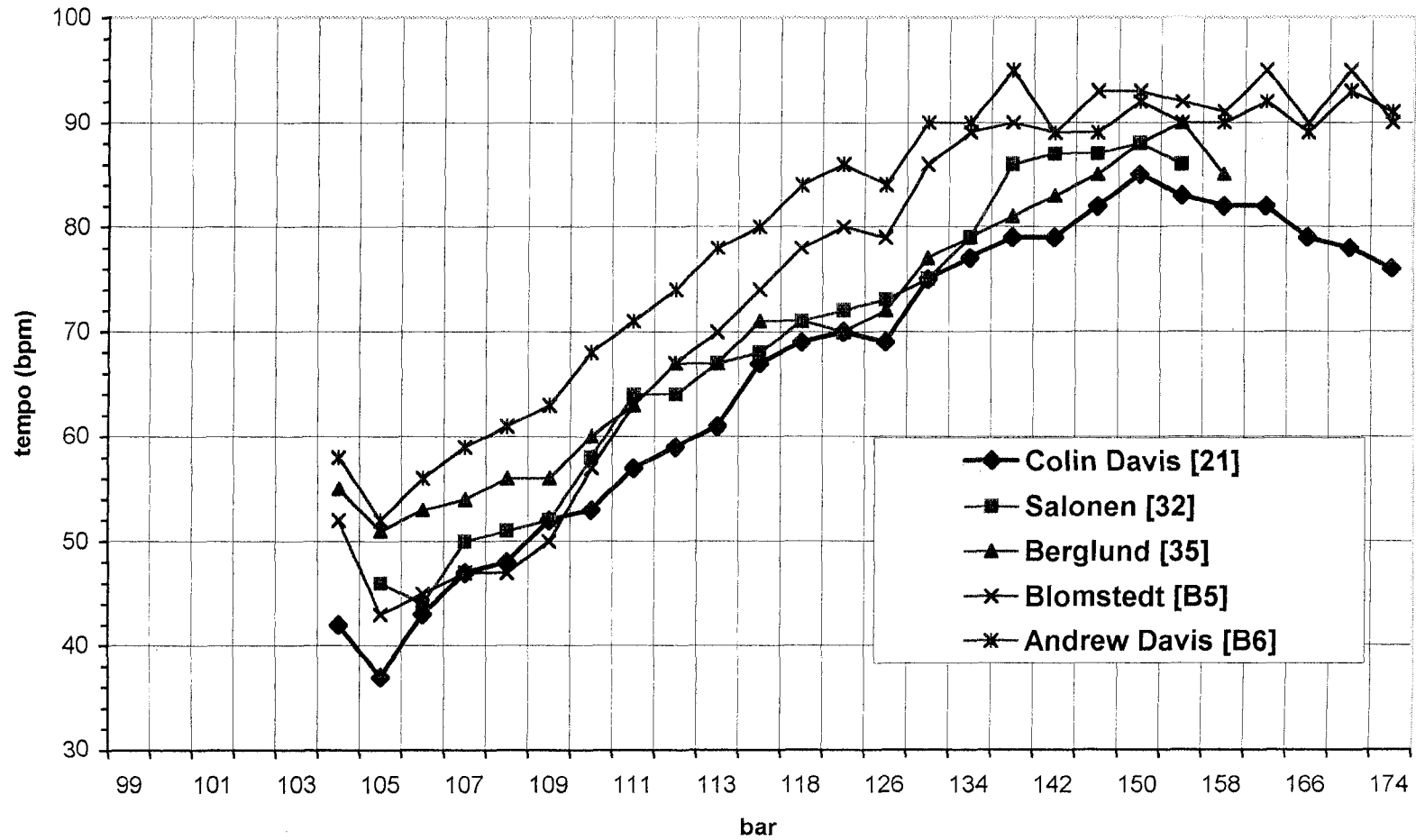
Even longer transition sections appear with regularity in performances after 1970. Of the conductors other than Karajan, Colin Davis [21] is the first to introduce into his performance a 'long' transition section with an increase in tempo of over 40 bpm. As can be seen from the table of results above, his tempo at the start of the transition is a staggeringly slow 37 bpm (compared to the tempo marking of 63 bpm). His tempo by the end of the transition is also the fastest we have seen so far at 85 bpm, outstripping Karajan's performance number [14] at both ends. This long transition section has more in common structurally with later performances such as Blomstedt [B5] and Andrew Davis [B6], so will be discussed more fully with them below.

The rest of the recordings of the symphony released in the late 1970s produce a ragbag of performance patterns (compare Example 3-16): the one-movement and stepped interpretations (Tjeknavorian [23] and Rozhdestvensky [26] respectively) and the few irregular types which do not clearly polarise into one pattern or another (Sanderling [22] and Ormandy [25]). Into this environment was released Karajan's final version, performance [24]. Whilst a proliferation of performance styles characterised this period, those conductors who took up the two-movement pattern took it up with a vengeance in one way or another. Ashkenazy [28] and Järvi [B3], both products of the early 1980s, show a transition passage which only lasts six or seven 'bars' of 12/8 time, yet manage to create an increase of over 30 bpm in this limited time. The table of values below, showing the tempo increase divided by bars taken, or y/x , reveals that Ashkenazy and Järvi are part of a group with the earlier Bernstein [15] in the steepness of their transition passage: ' y/x ' for these three conductors is between $4\frac{1}{2}$ and 5 bpm-per-bar (that is, over one notch on the metronome increased every 'bar'), whilst for comparable transition passages by other conductors, the rate is uniformly 2 or 3 bpm-per-bar. The notable rate of tempo acceleration in these bars may be one manifestation of an increasing desire to separate out the two constituent sections by sharp contrast. Alternatively (or additionally) it may reflect a second-stage influence of Bernstein on the performing tradition: certainly Järvi's transition is more like Bernstein's in its slow start and finish, and in the positioning of its tempo increase, whilst Ashkenazy's transition appears both later and brisker (see Example 3-24, above) - but the more-irregular passages of acceleration before Ashkenazy's and after Järvi's transition (ignored in the calculations) tend to reduce these differences in practice.

Performance name/number	'Bars' taken (x)	Tempo increase (y)	Gradient (y/x)
Karajan [5]	11	33	3
Hannikainen [9]	7	26	3.7
Barbirolli [10]	11	34	3.1
Sargent [11]	6	24	4
Karajan [13]	10	29	2.9
Karajan [14]	17	43	2.5
Bernstein [15]	8	36	4.5
Barbirolli [17]	3	20	6.7
Prêtre [18]	12	20	1.7
Panula [27]	7	22	3.1
Celibidache [B2]	9	28	3.1
Colin Davis [21]	15	48	3.2
Karajan [24]	15	42	2.8
Ashkenazy [28]	6	30	5
Järvi [B3]	7	33	4.7
Salonen [32]	17	44	2.6
Berglund [35]	19	39	2.1
Saraste [36]	9	29	3.2
Blomstedt [B5]	15	47	3.1
Andrew Davis [B6]	15	43	2.9

With the exception of Saraste's performance number [36], which shows a modest yet clear tempo transition of 29 bpm's increase (and hence appears on Example 3-24), the rest of the two-movement performances exhibit a tempo transition which might be categorised as 'long', that is, around 40 bpm or even more: see Example 3-25. This group includes Salonen [32], with his rather curved transition passage, and Berglund [35], whose tempo increase of 39 bpm is spread over 19 bars, the longest passage of unambiguous transition passage in terms of its duration on the x-axis. It is interesting to note that, whilst Berglund's performance style has crystallised a distinct transition section out of his rather more irregular earlier performance, number [19], Bernstein's tendency in his own later performance, number [33], is much more moderate than his first performance, becoming more integrated into the second portion of the music and hence structurally ambiguous. Other conductors of multiple recordings of this movement are either firmly in the two-movement tradition (Karajan, Barbirolli) or out of it (Gibson, Ormandy) - or else consistently irregular with regard to it (Rattle).

Example 3-25: Long transition sections



The two conductors Blomstedt (performance [B5]) and Andrew Davis (performance [B6]) form part of this group along with the earlier Colin Davis, and the three have much structurally in common. Each possesses a notably long transition section, increasing the tempo by over 40 bpm and in two cases over 45 bpm. Each also begins the acceleration in bar 105, the standard place, and continues it for 15 full bars or more. Since each averages an increase of 3 bpm-per-bar (see y/x table above), and distributes this acceleration as a more-or-less constant rate (producing a graph line which is straight, rather than waved, curved or bent), these three transition graphs tend to parallel each other along the central part of their length, as can be seen from Example 3-25. The paralleling is enhanced by the presence of a small ‘notch’ in each graph at bar 126, showing that bars 126-129 are slightly slower than would be expected from the trend of the line. Normally such small differences might be attributed to inaccuracies in capturing the data, yet there is nothing particularly complex about this moment which could make difficulty for the experimenter. Neither is there any obvious analytical reason for these performers to interpret bar 126 as a slight articulation, since it is embedded within a local repetition of material:

bar	114	118	122	126	130	134	138	(142)
melodic material	a	- b	a	- b	a	- a'	- a'	(new section)

However, there is a textural change during bars 126-129: the thick woodwind doubling and heavy string hemiola pattern which were put in place at bar 106 are faded out and replaced by an altogether lighter texture. This lighter texture is a reversion to the original scherzo scoring from the 1915 version of the symphony, and it may contribute to the slight relaxation of tempo during these bars.

The ‘notch’ feature at bars 126-129 in these three conductors’ performances is shared, perhaps surprisingly, by Karajan’s earlier performances. Returning to Example 3-22, Karajan’s performance number [5] can be seen to cease its acceleration at bars 126-129, lasting into bars 130-133 before continuing to accelerate. Performance number [13] makes a ‘dip’ in tempo at this same point, though it continues to ‘zigzag’ for a little while longer before stablising. In this case it is unlikely that conductors consciously perceived Karajan’s performance style and allowed it to shape their own, since the articulation is so tiny. It is more likely that each conductor was following his natural inclination to shape

the music according to its textures, in subtle ways which are overlaid on their overall structural outlines.

3.3.4 A wilful eccentric?: Celibidache.

A certain reputation goes ahead of the conductor Celibidache: he is commonly viewed as an eccentric, an iconoclast, or an idiosyncratic idealist. This reputation can only have been enhanced by his refusal to make commercial recordings after 1950, which detractors attribute to his liking for showmanship rather than to any higher motives¹³⁹. Those recordings which do exist have been given mixed reviews: a generally sympathetic review of his collected recordings with the Munich Philharmonic Orchestra comments that often ‘tempos are unacceptably slow and detail is overstated’¹⁴⁰. All of these opinions are to some extent borne out by investigating his recording of the Sibelius Fifth Symphony, number [B2].

Celibidache’s tempo in the opening section of the first movement is the slowest in the collection. His basic tempo during bars 1-91 is about 43 bpm, descending to the region of 30-40 bpm in the *Largamente* section, bars 92f (compare with Sibelius’s metronome markings of 66 bpm and 63 bpm respectively). The rest of the movement is not particularly slow, however, ranging from 80 bpm to nearly 160 bpm as the movement progresses; this is both about average and in keeping with the metronome markings (see the score graph, Example 3-5 above)¹⁴¹. A tempo graph, of course, can only show up certain kinds of details, but amongst those that might be considered unfortunately ‘overstated’ is the mistake in the woodwinds at bar 9, where the clarinets play the last semiquaver gruppetto a quaver too soon, following the pattern of the previous two bars, whilst the flutes play correctly. Such mistakes of coordination are common amongst live recordings: the opening of Andrew Davis’s performance [B6], live from the 1996 Proms, is so seriously misaligned in bars 3-4 as to cause the data set for these two bars to be unreliable.

¹³⁹ See Lebrecht, *The Maestro Myth*, p.235-236.

¹⁴⁰ *Gramophone* 75 (Feb. 1998), p.60.

¹⁴¹ These values take account of the CD mastering playing in the key of D major instead of E-flat major, and the data have accordingly been scaled up by a factor of the twelfth root of 2, or 1.059; without this adjustment, the tempos would be slightly slower.

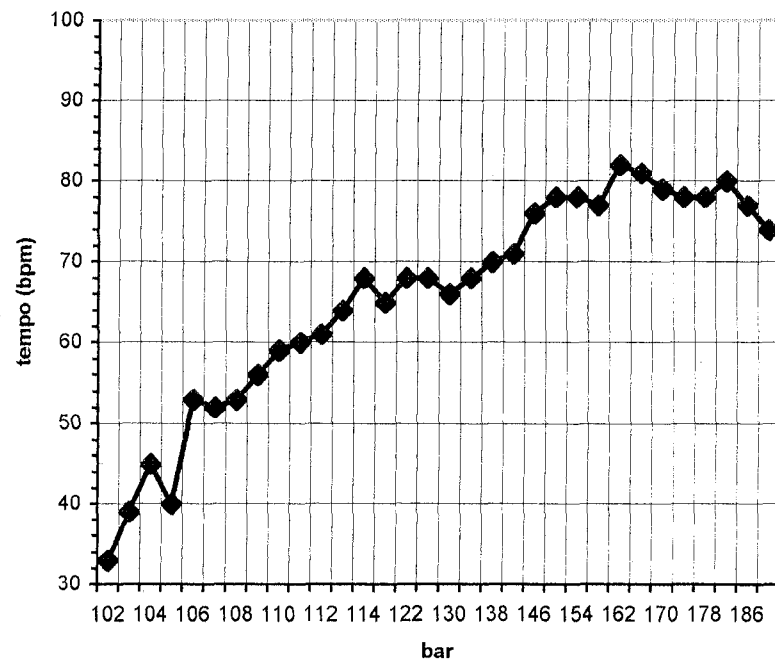
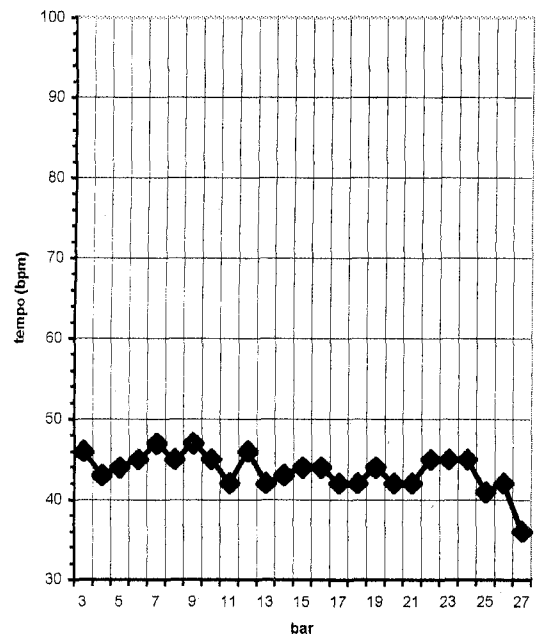
Celibidache's performance is partially included by the numerical guidelines given above to describe the usual pattern of two-movement interpretations. It has a transition passage of sharper increase in tempo, which begins in bar 106 and finishes in bar 162, with an increase of over 40 bpm in this time. Hence according to the length of its acceleration it should belong in the group with Colin Davis [21], Blomstedt [B5] and Andrew Davis [B6]. However, this lengthy transition passage is not characterised by a smooth pattern of acceleration, as it is in the majority of two-movement interpretations, but shows a prevalence of local rubato similar in kind and in size to that which inflects (for instance) bars 3-27 of the same performance: see Example 3-26. This makes the performance difficult to describe numerically, since one could equally claim that the transition ended in bar 114 where a zigzag pattern of local rubato interrupts it. The transition is thus not distinguished from its surroundings in performance style, as can be seen from the reference graph. Whether this makes Celibidache's performance less adequate as a two-movement interpretation, or whether this further loosens the guidelines that were supplied as definitions, is open to question.

The consistency of local temporal behaviour through the transition in Celibidache's performance is matched by other parameters. The exceptionally slow tempo, unfocussed tone colours and lack of sharp attacks which create the gentle, dreamlike style of the first part of the movement persist through the transition and into the second part of the movement, only giving way to an increasing sense of excitement towards the end of the movement. This principle of gradual change, with no pronounced contrasts between the constituent sections of the movement, is indicative of a one-movement conception informing Celibidache's interpretation.

The use of a typical two-movement transition passage, when combined with a consistency of rubato and articulation in the manner of a one-movement interpretation, lends to this performance the status of a structural hybrid. His eclectic combination of performance strategies is unique amongst the collection, and shows that Celibidache's reputation as an individualist is borne out in his recording of this symphonic movement¹⁴².

¹⁴² Repp found, similarly, that concert pianists who produced the least 'average' tempo outlines in a short extract were invariably those with a reputation for individuality or even eccentricity: Repp, 'A Microcosm of Musical Expression', p.1091.

Example 3-26: Celibidache's use of local rubato, in the opening of the movement and in the transition



3.3.5 Discussion of the change in tradition

Overall, one can discern a shift in the predominant performance practice of this portion of music, from a one- to a two-movement interpretation. One-movement (and other) interpretations still appear throughout the century, but are increasingly outnumbered¹⁴³. (To confirm this, one can peruse the reference graphs in Appendix 4, or merely consult the list in Example 3-16.) What reasons might there be for this shift? The most tempting option is to look for a correlation with the analytical writings of the same period, to see whether well-circulated commentaries on the work could have affected performance style, or whether conversely a predominant pattern of performance could have inflected the dominant view of the work informing the structural commentaries. Unfortunately there are not enough well-known analytical writings to make any historical conclusions, and those that there are move from one- to two-movements and back to one again: compare the discussion of the analysts in section 2.5 above.

It is more likely that one factor is influencing both performance and analytical decisions, standing to a certain extent behind both of them, namely the information about the four-movement genesis of the symphony. This begins to be mentioned in books in the 1950s (for example in Parmet's discussion), and in programme notes slightly later, during the 1960s (see section 3.6 below). It is plausible that such information would constitute, for some performers, an interpretative imperative, and persuade them to incorporate such information into their Interpretation, and hence into a performance trace. However, the impact of the same fact on analysts was ambivalent, producing reactions from Simon Parmet's insistence that 'it seems [...] more correct to regard the Fifth Symphony as a work of four movements, for one must always bear in mind the history of the symphony',¹⁴⁴ to Robert Layton's backlash based on the argument that Sibelius would not have revised the work into three movements had he not been

¹⁴³ In considering this point it must be remembered that some of the [B]-numbered recordings – and a couple of the others – were performed several years earlier than their release dates would suggest. This information is more clearly shown in the Discography, Appendix 3. So Horenstein [B1] and Kondrashin [31]'s performances, neither of which follow the orthodox 'two-movement' pattern, both date from the 1970s, although they were not released in Britain till much later.

¹⁴⁴ Parmet, *The Symphonies of Sibelius*, p.70, quoting Erik Furuhjelm.

‘unsatisfied’ with its original scheme¹⁴⁵. So it is by no means certain that this information in itself would have caused the shift: for example, performers could have instead felt compelled to emphasise the unity of the work in their performance in order to counteract the sense that it might fall conceptually into two parts¹⁴⁶.

A third hypothesis would point to a reception pattern within the recorded tradition as a reason for the shift. The recordings of Karajan (the first conductor to commit the later pattern to record) were extensively disseminated after their issue, often being given multiple releases¹⁴⁷. These recordings received critical acclaim even in countries with a strong conducting tradition in this repertory: for example, *The Stereo Record Guide* (published in 1961) treats Karajan’s first recording of this symphony (number [5]) as a benchmark¹⁴⁸, a role which reviewers had often previously awarded to Kajanus’s recording due to both his priority in the field and his connections to Sibelius. Karajan’s tempo decisions are very clearly projected, and the transition he makes in the middle of the movement quite different in effect from a more integrated approach. His control of tempo (as already explained) is legendary, and the impressive effect created when it is employed in this way might well have caused conductors to wish to emulate it. This, naturally, does not explain why Karajan himself chose to interpret in this manner – except, perhaps for effect. If this was the case, one would have to conclude that Karajan’s performance is a ‘two-movement’ structure not necessarily by intention but only in the sense that his tempo decisions are irretrievably bound up with a sense of double *Gestalt* in the music (as discussed in section 3.1.3). Nonetheless, the subsequent widespread shift

¹⁴⁵ Layton, *Sibelius*, p.48.

¹⁴⁶ Since the metronome marking for the original first movement was 40 bpm, as discussed in Appendix 1, it is possible that this information in particular was responsible for the slowing of the first part of the movement, and hence a splitting of the sections by contrast. As Risto Väisänen has pointed out, the orchestral parts still contain this value (see discussion in section 3.2.1), and so are more likely to produce the effect directly than scholarly knowledge about previous versions. However, most conductors are not known for following tempo indications literally, and indeed very few perform the music at or around 40 bpm, so this theory can not be held solely responsible for any habits in performance practice, let alone a gradually changing one.

¹⁴⁷ See Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.53-57.

¹⁴⁸ Greenfield et al, *The Stereo Record Guide*, p.498.

in interpretational practice could be attributed partly to the status of these individual recordings¹⁴⁹.

Fourthly, general changes in conducting practice, which transcend any particular repertory, could have caused or contributed towards the change in tempo behaviour. The earlier part of the century favoured - or accepted as normative - a style which Richard Taruskin (borrowing a term from Hulme) has described as characterised by 'vitality'¹⁵⁰: free in tempo, expressively spontaneous, and vesting the creative process in the interpreter. We have already encountered the parameters of this style in examining Kajanus's performance: his use of local rubato, middle-scale fluctuations, and relaxed approach to ensemble are shared to some extent by all of the early recordings. In contrast, the typical style of the later part of the century - characterised by Taruskin as 'geometrical' - emphasises carefully controlled tempos, the tendency to abstraction, and an attempt to be faithful to the score. These are all highly applicable to the style of Karajan's performances: his tempo control in the transition, the tiny amount of fluctuation used in the second half in particular (compare graph [5] with graph [1]), and the precise ensemble in his (as well as many later recordings) reveal Karajan as a prime exponent of the 'geometrical' style, which also to differing degrees were taken up by other conductors in the latter half of the century. In this sense the shift in practice transcends Sibelian concerns - though this argument may mesh together with the previous one in regarding Karajan as instrumental in bringing a 'geometrical' style into orchestral conducting in general.

Taruskin postulates several factors responsible for creating the dominance of the 'geometrical' style at this point in performance practice, but one of the most convincing cites *positivism* as a belated result of musical modernism. Insofar as a positivist approach is 'interested in letter, not spirit'¹⁵¹, it characterised an approach to music which took over both historical scholarship and performance considerations in the mid-century. A certain literality with respect to the score can be traced in the specific interpretative style which begins to monopolise the recorded tradition of Sibelius's Fifth Symphony, first movement: the literal emphasis on the *accelerando* which is indicated in the score shortly

¹⁴⁹ The same recording is still being used for positive comparison in a review of Salonen's recording (number [32]), 34 years and over two dozen versions later (Robert Layton, in *Gramophone* (Dec. 1987), p.956).

¹⁵⁰ Taruskin, 'The Pastness of the Present', p.159 and *passim*.

¹⁵¹ Taruskin, 'The Pastness of the Present', p.201.

after bar 106 has the result of distinguishing the two sections of the music before and after it, as we have seen. Of course these performances are non-literal with respect to the score in many other ways - as can be seen from Karajan's performance as presented on Examples 3-10, 11, and 13 (in section 3.1.4 above) - but then Taruskin argues that such apparent faithfulness to the source material is hypocritical anyway¹⁵². A historical approach to Sibelius is useful after the mid-century, as the latter's own active career retreats into the past and there is less connection with his conducting style and performance requirements. It also leaps gladly upon the historically factual information about the four-movement genesis of the symphony, linking in the second argument given above.

Hence the shift in performance preference from an integrated, one-movement interpretation to a delineated, two-movement interpretation in the tradition of Sibelius Fifth recordings as a whole can be attributed partly to new information about the music, partly to reception patterns of specific recordings, and partly to broader changes in intellectual and artistic fashion and, consequently, to the perceived role of the conductor. Furthermore, all of these reasons (and others, such as the influence of and upon analytical writings) interconnect in a pattern which makes it impossible to distinguish cause and effect. José Bowen cautions those re-interpreting performances that 'it is altogether too easy to mistake a performance characteristic for a unique interpretive feature, when it is in fact a general style trait' – or vice versa¹⁵³; in this case the tempo transition is both of these, and shows how they may be interwoven. The issue of a shift in the predominant view of this movement will be discussed further in section 3.6 in connection with programme notes.

3.4 Other structural traditions

The third and fourth caricature graphs on Example 3-15 represent further holistic schemes for the movement, and have been labelled according to the visual shapes of their key features: 'stepped' and 'diagonal'. These patterns are exemplified and interpreted in this section.

¹⁵² Taruskin, 'The Pastness of the Present', p.197-198 and p.206-207.

¹⁵³ Bowen, 'Performance Practice versus Performance Analysis', p.20.

3.4.1 Stepped performances - an alternative tradition

The third of the holistic performance patterns found in the recorded literature of Sibelius's Fifth Symphony, first movement, is that which shows an abrupt 'step' upwards in tempo at or around the movement break at bar 106. The genesis of this pattern was in Kajanus's recording where, as discussed earlier, an increase in tempo of circa 20 bpm was superimposed onto a generally one-movement outline at bar 105. These origins might seem to suggest that the 'stepped' pattern has an affinity with one-movement interpretations. However, in its more developed form, this type of tempo outline should be analysed as a two-movement interpretation in those cases where it is pronounced enough, since it serves to separate the two areas of the music as clearly as the pattern in the performances discussed in section 3.3.

Kajanus's performance exhibits only one of the two features which characterises 'stepped' performances in their clearest form. The third of the caricature graphs on Example 3-15 shows the sudden increase in tempo at the movement break, followed by a stretch of constant speed (which is not found in Kajanus's outline). It is this period of constant tempo in the second half of the music that distinguishes the performances of a certain group of conductors to be discussed here. Clearly this feature makes the 'stepped' style of performance quite distinct from the other three types, all of which are characterised by some degree of acceleration in their second halves. Such a performance pattern creates the impression of a two-movement, rather than a one-movement, structure by means of the contrasting tempo levels it establishes for each 'movement' - moderate for the first movement, fast for the 'scherzo'. Where the difference between the two halves' basic tempi is 20 bpm or more, the effect is often particularly perceptible, since the increase is sudden rather than by means of a gradual transition.

There are four performances in the set which approximate the 'stepped' performance pattern, namely Horenstein [B1], Rozhdestvensky [26], Kondrashin [31] and Levi [B4]. The reference graphs of these performances each show a clear step upwards in tempo in the middle of the movement, followed by a plateau of tempo which lasts for most of the rest of the movement. Here, however, we must remember that the caricature graphs shown in Example 3-15 are only simplified outlines; in particular, they do not illustrate the behaviour of the coda. The coda is a variable feature in all of the simplified performance patterns, but it is particularly noticeable in performances which follow the 'stepped' pattern, all of which articulate it noticeably. The reason for this is that no matter how fast a conductor begins the scherzo, by the end of the movement this

tempo will have been greatly overtaken by most one- and two-movement interpreters who have been accelerating gradually ever since. The tempo established at the ‘step’ point is simply too slow for the coda which is marked *Presto* (bar 507), and therefore conductors tend to solve this interpretative problem by moving to another, higher, tempo level for the coda passage. Such a gesture is, of course, found also in some one- and two-movement interpretations, where, however, conductors have the option of integrating it into the gradual acceleration if they wish. Horenstein’s performance [B1] shows these three principal tempo plateaux most clearly. His basic tempo for the opening part of the movement fluctuates between about 65 and 70 bpm (though there are passages at a slower speed than this, around 60 bpm, interspersed into the plateau). After the step upwards in the middle of the movement, a new tempo level is established at around 80 bpm and maintained for a considerable stretch of the movement (creeping up to about 90 bpm just before the coda). 80-90 bpm is really a very slow speed for the passage preceding the coda, as can be seen by comparing a range of other performances, and also by comparing with the graph of Sibelius’s metronome markings which shows over 130 bpm by this point. Horenstein’s increase to 120 bpm for the coda, therefore, might be seen as a rapprochement between his tendency to keep a constant speed and a desire not to make the coda too sluggish.

These tempo details can be shown in a table for Horenstein’s performance and the others in this structural group.

Performance name/number	Opening tempo level	Scherzo tempo levels	Coda
Horenstein [B1]	65-70	80 (90)	120
Rozhdestvensky [26]	50-60	85 (100)	140
Kondrashin [31]	c.60 or less	95 (120)	155
Levi [B4]	(50-)60	85 (105)	155

Interpreting the step in tempo at the fragile movement division as indicating a two-movement interpretation relies on the step being sufficiently large to create a contrast between the two portions. In Horenstein’s case this is debatable, since the difference between the constituent ‘movements’ is only 10-15 bpm. Listening to the performance one feels a continuity of performance style that is barely interrupted by the small increase in tempo, and it is these factors which give the performance an affinity with the one-

movement interpretative pattern. In addition, examining the graph closely one can see that the surge in tempo occurs at bar 104 rather than directly at the movement break, and settles down thereafter. This makes the aural effect far more moderate than it might seem from the graph.

In the other three performances, the step in tempo between the opening portion of the music and the scherzo portion is sufficiently large to create a clear contrast, consisting of an increase of 25 bpm or more. Although the numerical difference seems the greatest in the performance by Kondrashin, moving from 60 to 95 bpm across the movement division, in fact the three conductors all make a similar amount of immediate increase, due to deviations from the basic tempo just before the moment of impact: Kondrashin's tempo at this point is slightly higher, the other two conductors' tempos slightly lower, than the number given for the basic tempo of the first section, which can be seen from the collection of graphs. The effect on the ear in each case is quite startling due to the small amount of time taken to reach the new speed. These larger tempo increases are not implemented in the space of one bar, however, as the simplified caricature graph on Example 3-15 would suggest - perhaps conductors consider that to do so would create so great a disjunction as to be unconvincing. Instead they are spread over a few bars of rapid tempo increase which in each case is completed before the point of the new time signature and tempo marking at bar 114. This factor makes them distantly related to those two-movement interpretations where the transition passage is short and over quickly, notably the early instances of Hannikainen [9], Barbirolli [10], and Sargent [11]. Nonetheless the later group of stepped performances are distinguished from these by the flat level of tempo they maintain after the sharp increase - and, also, before it, since the earlier group are generally more inclined to fluctuate around the basic tempo.

Each of the performances maintains the principal scherzo speed until bar 338, tending to move to a new tempo around bar 378. These new tempos constitutes a third, minor, tempo plateau between the main scherzo tempo and the coda tempo, and are indicated in brackets on the table above. The third tempo level can be seen most clearly in Rozhdestvensky's graph, where the predominant tempo of 85 bpm in the scherzo moves upwards to 100 bpm at around bar 378, before the more substantial increase for the coda at bar 498. The other performances show similar behaviour, though their tempo may tend to creep up more gradually on either side of this minor plateau. There is no particular structural conclusion to be drawn from this feature, since the material is so integrated as to make a delineation impossible to perceive. One explanation is that bar

354 presents the recapitulation of a section of the trio (bars 258f) which might be felt to flag in the onward momentum of the movement without some increase in tempo around this point. Alternatively the *vivace molto* marking at bar 372 would serve to remind these conductors that a steady speed is no longer viable: the previous verbal tempo marking was *Allegro moderato*, at bar 114.

What might account for the distinct pattern of ‘stepped’ performances, with their flat levels of tempo joined by sudden increases of tempo? There are at least three possible explanations. Such tempo behaviour recalls the origins of the symphony, where an opening movement in slow tempo was joined to a second movement in faster tempo: the revision forced Sibelius to compose a short linking passage, corresponding to bars 99 to 113 of the finished score, which is why the new tempo marking and time signature appear at bar 114 where the splice ends (as discussed in Appendix 1). In order to move from the slow speed of the opening ‘movement’ into the faster speed of the ‘scherzo’, there would have to be a sharp increase in speed of the type which is found in ‘stepped’ performances of the finished symphony. In the earlier version of the score, the tempo was marked as constant for most of the scherzo (compare Example A-1 of Appendix 1), a practice which is crucially reflected in the habits of the same group of ‘stepped’ interpreters. The steady tempo in the 1915 version was only abandoned late in the movement, at ‘bar 341’ of the scherzo, where a *poco a poco piu stretto* is marked. This point of acceleration has no clear analogue in the final version of the score but roughly correlates with the beginning of the third tempo level and coda in the stepped performances, at or around bar 372 in the finished score:

	Scherzo (1915)	Finished version (1919)
Recap of trio material	‘bars 291-308’	bars 354-371
poco a poco piu stretto	‘bar 341’	(c. bar 372??)
Codetta theme in horns	‘bar 365’-	bar 471-

It is conceivable that information about the origins of the symphonic movement influenced these conductors in their performance style. All of the performances in this group date from 1971 or thereafter, when information about the early versions of the piece had circulated and formed part of the common perspective on the work. Close details are less likely to have been influential than a general sense of the two separate

movements constituting the passage of music. In a sense the conductors in the current group not only produce a two-movement interpretation, like the standard two-movement interpreters discussed earlier, but are ‘performing the 1915 version’ in a way that the other group with their gradual *accelerando* are not.

The conductors’ decision to perform in this way may also be influenced by the verbal tempo markings in the score. As in the case of the minor tempo plateau around the *vivace molto* at bar 372, a new tempo tends to appear where a verbal indication is given. Indeed each of the verbal markings in the score tend to be reflected in the performance outlines of this group of conductors, including the *Largamente* which is performed slightly slower in all the performances except Kondrashin’s, and the *Presto* which causes the coda articulation, though oddly enough all these conductors resist the marking of *Piu Presto* at bar 555.

Verbal tempo indication	Plateau at
Tempo molto moderato	bar 1
Largamente	bar 92
Allegro moderato	bar 114
vivace molto	bar 372
Presto	bar 507
(Piu Presto	bar 555)

However, this interpretation pattern can not be attributed to mere positivism alone, since the conductors choose to ignore the instructions *poco a poco meno moderato* and *ma poco a poco stretto* which are equally evidently printed on the score. The creative misreading is reinforced by Geoffrey Crankshaw’s sleeve notes for Rozhdestvensky’s performance, which mention a ‘sudden’ increase in tempo at the movement boundary:

Does the composer offer us a single movement or two linked together? The problem does not emerge in the movement’s initial stages. We begin - *tempo molto moderato* [...] Suddenly the tempo changes to *Allegro moderato, ma poco a poco stretto*. It is this turn of events which has caused some to view the episode as the start of a fresh movement - linked but yet distinct¹⁵⁴.

¹⁵⁴ Geoffrey Crankshaw, sleeve notes for HMV Melodiya ASD3780.

The sequence of events described does produce a ‘stepped’ outline with an increase in tempo at the midpoint. Such a perspective is rare in the written literature, and reinforces the association of a stepped performance outline with the two-movement aspect of the music.

Why these conductors chose to interpret the piece in this specific way, with a series of tempo plateaux and a stepped distinction in tempo between the two movements, may finally be a function of performance tradition. The conductors in this group are predominantly Russian: Kirill Kondrashin, born in Moscow and for many years the conductor of the Bolshoi Theatre, the USSR State Symphony Orchestra, and the Moscow Philharmonic; Gennady Rozhdestvensky, also born in Moscow, and erstwhile conductor or musical director of the Bolshoi, the Soviet Radio Symphony Orchestra, the Moscow Chamber Opera and the USSR Ministry of Culture Orchestra; and Jascha Horenstein, born in Kiev although spending most of his career in Europe¹⁵⁵. Yoel Levi, though not Russian by birth, studied with Kirill Kondrashin, so would in all likelihood have inherited qualities and traditions from him¹⁵⁶. It is possible that these conductors may have drawn out a performance tradition from Kajanus, not only a pioneer in recording this work but also hailing from the eastern side of Europe (though it is not a tradition shared by Koussevitsky, the next to release a recording, who is their only other compatriot in the set of recordings). However it seems that the gesture of ‘stepped’ performance patterns is one which is not restricted to this work or the oeuvre of Sibelius: Jose Bowen has found the same characteristic amongst Tchaikovsky’s Sixth Symphony, first movement, as performed by Russian conductors. Bowen concludes that Svetlanov, typically for his nationality, ‘avoid[s] Tchaikovsky’s own directions to increase the speed during the allegro. Despite reputation, most Russian performances are flat and uninflected’¹⁵⁷, and that sections of tempo in Svetlanov’s performance are ‘flat, but the sections are well differentiated from one another’¹⁵⁸. Furthermore he notes that in

¹⁵⁵ Lebrecht, *The Maestro Myth*, p.343, p.347, and p.342 respectively; also Holmes, *Conductors*, p.147-148

¹⁵⁶ Levi is a more difficult conductor about whom to find details. This information can be found within the Atlanta Symphony Orchestra pages at www.atlantasympphony.org/main2000.htm, by using ‘Levi’ as a search term to reach the page labelled ‘Welcome to the Atlanta Symphony Orchestra – Biographies’ and entitled ‘Yoel Levi: Music Director Emeritus’. This page was last accessed on 6th November 2000.

¹⁵⁷ Bowen, ‘Tempo, Duration and Flexibility’, p.147.

¹⁵⁸ Bowen, ‘Tempo, Duration and Flexibility’, p.151

matters of tempo detail, ‘all of the Russians [of a group of six] look very much the same’¹⁵⁹.

Bowen thus gives a description of the same characteristic of stepped tempos that has been so evident in the Russians’ performances of Sibelius – and this similarity is made plain by Bowen’s tempo graphs of these performances of Tchaikovsky. So it seems as though the flat tempo patterns are characteristic of Russian conducting style, irrespective of the work being performed (and certainly in this late-Romantic, non-central-European, symphonic repertory). Why Russian conductors should tend to favour tempo plateaux over gradual accelerations in general is not immediately clear - it may be part of a complex interaction between typical indigenous compositional features and performing style - but it is clear that research is pointing towards a national school of conducting whose effect on interpretation transcends the individual work of music.

3.4.2 Diagonal performances - constant acceleration?

The final category of performance outlines contains those graphs which approximate a ‘diagonal’ pattern in their second halves. Though rare, this type is sufficiently interesting to be discussed separately. The caricature graph for this group is shown with the others on Example 3-15; like the others, this outline can be seen as a perceptual simplification of the strict metronome graph shown on Example 3-5 (and hence of Sibelius’s instructions). A ‘diagonal’ performance of this section of music recognises the *poco a poco meno moderato* in bars 107-8 and the *poco a poco stretto* in bars 114-8 and keeps them strictly in force for the remainder of the movement. The distinguishing feature of a performance of this type is the constant rate of acceleration it maintains throughout the second part of the movement.

Maazel’s performance, number [16], is the purest example of a diagonal tempo outline. Beginning in bar 106, and continuing until the end of the movement, he maintains a constant rate of acceleration in the basic tempo. This basic tempo could be represented by a tendency line drawn straight through the second part of the movement, and is barely disguised at all by the moderate amount of small-scale tempo fluctuation which overlays it in Maazel’s performance. Characteristically, there is no separate tempo transition in the middle of the movement, and no articulation for the coda; these tempo increases are distributed evenly throughout the whole ‘second movement’ portion of the

¹⁵⁹ Bowen, ‘Tempo, Duration and Flexibility’, p.150.

music. It is the even distribution of tempo increase which makes Maazel's graph so visually striking.

The pure diagonal pattern is different in structure from a classic two-movement outline, lacking a transition passage which sharply differentiates the tempo of the first portion from that of the second portion. Nonetheless, it could be considered to express a two-movement interpretation, where the two constituent movements are differentiated not by tempo level but by acceleration pattern. In Maazel's performance, the first 'movement' is distinguished by constant velocity, zero acceleration, whilst the second 'movement' is distinguished by increasing velocity, constant acceleration. Nicholas Cook has pointed out that, psychologically, 'if a fixed tempo can create an expectation of continuation, so can a changing one', especially where 'the continuity of the tempo gradient helps tie the section together'¹⁶⁰. Although perhaps less perceptually obvious, this performance method may be enough to create two *Gestalten* in a diagonal interpretation in the same way as in the standard two-movement pattern. It might be considered a subtler way to express a two-movement outline when there is no sharp tempo transition in the middle of the movement.

Since both patterns express a two-movement interpretation, it is perhaps not surprising to find that certain performances within the set combine elements of both the diagonal and the two-movement outlines in their tempo behaviour. Sargent's performance, number [11], is an early proponent of the tempo transition in bars 105-111, but he follows this with an acceleration pattern which is more-or-less regular, apart from a slight dip at the coda, bar 498. Indeed, following the tempo transition for which they are noteworthy, all of Karajan's four performances exhibit comparatively constant acceleration in their second halves, partly due to their refusal to increase the background rate of acceleration at the coda. Pretre's outline [18] is similar, but possesses slight 'waves' of tempo which make it less strictly diagonal, and Celibidache's individualist two-movement rendering [B2] also contains an element of the diagonal pattern. Barbirolli's [10] and Salonen's [32] performances have a recapitulatory articulation, superimposed onto the same two-movement/diagonal outline at around bar 298, which will be discussed more in the next section; however, this feature of the graphs does show that the diagonal line can 'accommodate nuance' in the same way as a straight line¹⁶¹. These performances might be thought of as a sub-set of the two-movement variety, as

¹⁶⁰ Cook, 'The Conductor and the Theorist', p.117.

¹⁶¹ Cook, 'The Conductor and the Theorist', p.118.

shown by the caricature graph of a two-movement outline which itself includes a period of acceleration following the tempo transition. However, since they lack a central step in tempo, or a sharp transition, the separation of the music into two constituent parts may be less evident to the ear.

3.5 Local features

3.5.1 The recapitulation

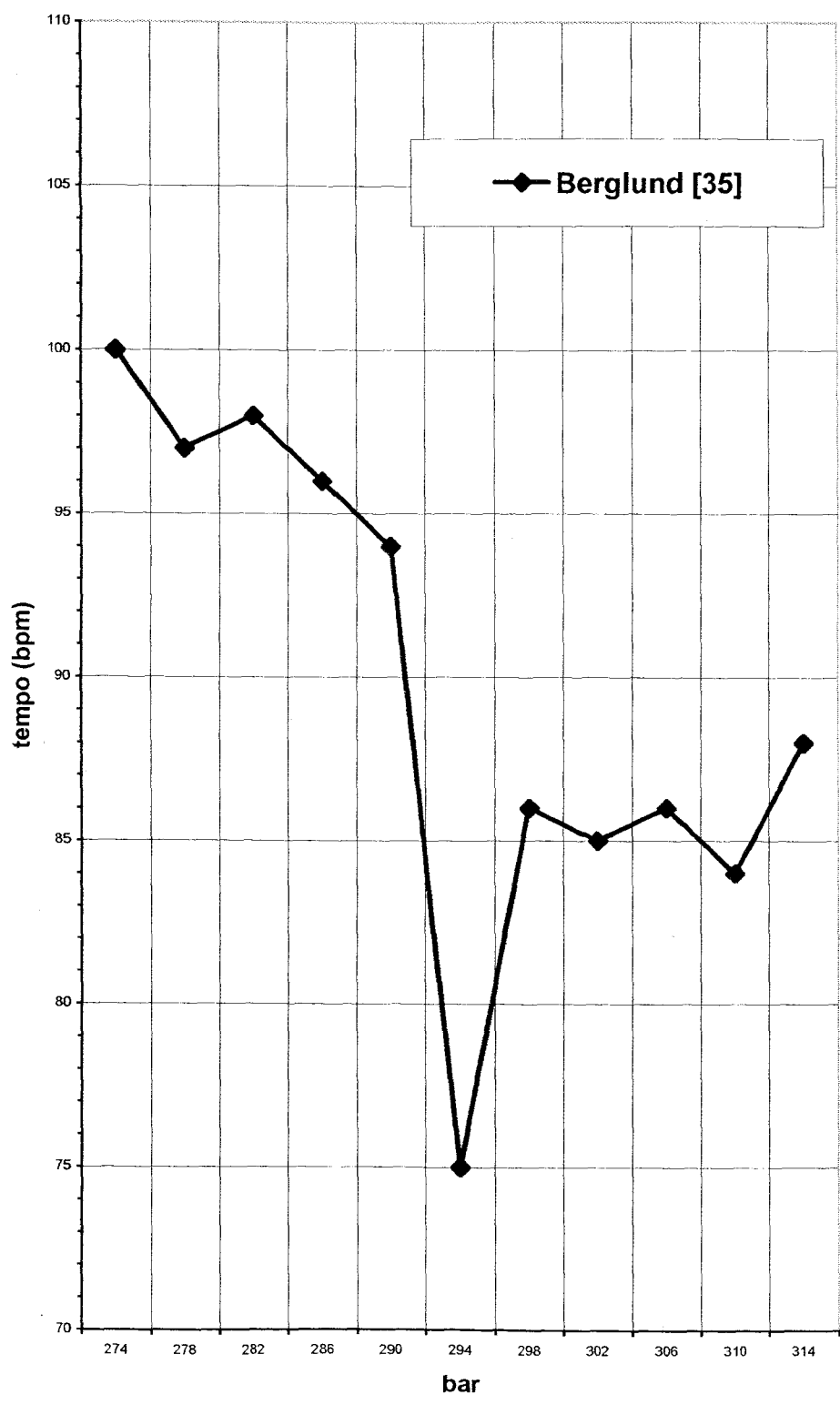
The discussion above in section 2.5 found several analysts whose position on the one- or two-movement division of this music could be described as ‘both’ (for example, Abraham and Howell¹⁶²). One example of a ‘both’ strategy in performance has already been explored (in section 3.2.1) in the case of Kajanus [1], who superimposed a characteristic two-movement step pattern at bar 105 onto the overall outline of a one-movement pattern; another example appeared in section 3.2.4 where Celibidache’s performance [B2] was seen to combine aspects of a one-movement interpretation with an overall two-movement shape. This section demonstrates a different way in which performers can articulate a combined structural interpretation.

The alternative recapitulation which can be postulated in bar 298 has been discussed as a view held by certain analysts from Abraham onwards (see section 2.5, under the heading ‘Recapitulations’). Therefore it is noteworthy that several conductors from the set also choose to mark out this moment in the music for special treatment. Since the significant qualities of the point at bar 298 are quite abstract, and unmarked by any surface characteristics such as a cadence or change in texture and dynamics, we may assume that any conductor that articulates this moment noticeably is making a structural rather than primarily expressive point - or, to put it alternatively, is likely to provoke a structural interpretation of his gesture.

The most noteworthy example of a ‘recapitulatory’ performance is Berglund’s recording number [35]. This performance can be examined from the reference graph, and a closer view of the key passage can be found on Example 3-27. Berglund articulates the recapitulation at bar 298 by a somewhat conventional tempo gesture: he pulls up the

¹⁶² See Abraham, ‘The Symphonies’, p.28-30, and particularly Howell, *Jean Sibelius: Progressive Techniques*, p.43-45.

Example 3-27: Detail of the recapitulation gesture in Berglund's performance



tempo drastically in the four bars beforehand, and then settles into a calmer tempo afterwards. The demarcational tempo decrease of 19 bpm at this point is of such a size, and localised within a short space of time, that it is easily perceptible by the naked ear. Furthermore, Berglund reinforces the effect of with a timbral device: he produces a unique ‘buzz’ from the strings at bar 294 which further attracts our attention to this articulation, although no such event is indicated in the score.

This interruption feature confounds our expectation of regular tempo continuation, and hence ‘marks this point in the music for consciousness’¹⁶³; furthermore, the ‘use of slowing to signal the boundary of a musical unit’ is a commonly accepted gesture¹⁶⁴ and suggests that some new section might begin here. The gesture also has a specific effect, namely to create a sense of expectation during the rit. at bar 294, followed by a sense of relaxation at bar 298’s slower tempo; the result of this is to suggest that the new large-scale section constitutes an area of relative stability compared to the bustle of the preceding developmental activity¹⁶⁵. We can conclude that this feature of Berglund’s performance may be likely to lead to a sense of recapitulation at bar 298, both by its articulation and by its overall manipulation of tempo areas and that, in this case, this effect may well have been what he had in mind, given his intensive scholarship and research into the Sibelius symphonies¹⁶⁶.

How is the appearance of a recapitulation moment at bar 298 to influence the interpretation of the whole section of music under consideration? A section of music which constitutes an indivisible whole will tend to form itself into a single movement,

¹⁶³ Cook, ‘The Conductor and the Theorist’, p.117. This theory has been discussed at length in section 3.1.3, under the heading ‘Interpreting Results’.

¹⁶⁴ Shaffer and Todd, ‘The Interpretive Component in Musical Performance’, p.139.

¹⁶⁵ The identification of a ritardando followed by a steady tempo as a ‘conventional gesture’ for articulating a recapitulation does not rest on empirical evidence, but rather on the association of tension-*release* patterns with both slower tempos and with the build up to, and arrival of, a moment of recapitulation. Martin’s investigation of tempo behaviour in the first movement of the *Eroica* shows that many conductors do make a slower passage just before the recap., but do not tend to employ a slower tempo thereafter (see Martin, *Analysing Musical Recordings*, p.167) - though the musical events just prior to the recap. in that piece are highly distinctive and may produce a desire to move off quickly after the recent musical confusion, thus perhaps making this example atypical. Wider research, both empirical and speculative, is needed to confirm the existence of subtle correlations between tempo behaviour and sectional attribution.

¹⁶⁶ See Hepokoski, *Sibelius: Symphony No. 5*, p.86. Berglund has revised and edited the scores of the last three symphonies, after considerable research into the autographs and Sibelius’s post-publication requests.

and as Eric Kujawsky has pointed out, one of the factors that can achieve this is the internal patterning of a movement, or ‘how strongly profiled its materials and development are’¹⁶⁷. The appearance of a recapitulation in a movement greatly aids its perception as a sonata pattern, or other section-based design, thus shaping the whole into a recognisable *Gestalt*. Since bar 298 initiates a recapitulation of material from the entire movement, then emphasising this point will tend to impose a one-movement scheme onto the music. This is the case even when other factors might augur against such an interpretation. Since the recapitulation articulation is a local device, affecting a later part of the movement than the crucial central portion, it may in theory be combined with any of the caricature outlines shown on Example 3-15, even when the latter’s structural implications are different.

Examining the graph of Berglund’s performance as a whole, from the middle part of the movement we might conclude that it expressed an overall two-movement interpretation: the transition passage found there is substantial enough to be classed as ‘long’ in the earlier discussion, tending to divide the whole into two perceptual *Gestalten* and hence two movements. However, onto this overall two-movement transition pattern is superimposed the one-movement recapitulation pattern, which, since they bear on different parts of the movement, tend to co-exist rather than cancel each other out. As Bruno Repp found in his study of performances of a Chopin Etude, such performance devices ‘could be seen as independent interpretative strategies that are applied by [performers] in various mixtures’¹⁶⁸. Such a superimposition of complementary strategies could be considered to best represent the multi-faceted structure of the music - or at least to chime in with those analytical commentaries which favour an answer of ‘*both* one-movement *and* two-movements’¹⁶⁹.

The strategy of having a two-movement transition alongside a one-movement recapitulation gesture in the same performance is also found in most of the other performances in this group. Barbirolli [10] and Salonen [32] combine three different performance strategies: a two-movement tempo transition is followed by elements of a

¹⁶⁷ Kujawsky, *Double-Perspective Movements*, p.14.

¹⁶⁸ Repp, ‘The Infinite Variety of Temporal Shaping’, p.16.

¹⁶⁹ Considering the temporal experience of such a performance, furthermore, reveals that such information is revealed gradually through time (rather than all-at-once as on a graph) - making such a performance a distant cousin of the ‘discovery narrative’ in Robert Simpson’s analysis of the passage which also moves from two movements to one movement (Simpson, *Sibelius and Nielsen*, p.25-27; see section 2.5).

diagonal outline in the second half, onto which the recapitulatory articulation is superimposed all the more clearly. Barbirolli's tempo gesture around bar 298 is, interestingly, almost a mirror image of Berglund's to the eye: he makes a longer rit. beginning at the retransition passage just before (bars 274-297) and then returns to his previous pattern of tempo just after bar 298 when the new section is established. Clearly this pattern is another familiar way to signal the onset of recapitulation using tempo, and both performances share a noticeable difference of around 20 bpm very close to the moment of recap. Salonen's articulation of the recapitulation is more of a brief respite from the unusually high speed at this point (110 bpm). These performances are amongst the most structurally interesting in the set, with tempo outlines whose superimposition of various one- and two-movement strategies gives a many-sided insight into the structure of this passage of music.

Conductors who produce more than one version of this symphony are consistent in their use (or not) of a recapitulation device at bar 298: Berglund's earlier performance, number [19], shows a longer, blunter tempo valley for the recapitulation area, whilst in Barbirolli's later performance, number [17], the gesture is present, although smaller. (Other performances, including one-movement outlines, contain more of a disparate levelling-off of tempo around the point of the recapitulation, including Tuxen [4] and Collins [7], although such behaviour may be better thought of as a characteristic part of the wave-like motion found in many one-movement interpretations.) The consistency of conductors with regard to this gesture may suggest that it is deliberate, rather than random, and hence hint at a conscious structural strategy as I have suggested.

3.5.2 Rotation parallelism.

The portion of music, and the portion of the graph, from bar 1 up to the start of the acceleration patterns around bar 106, has largely been passed over so far in this chapter, or at least mentioned only in general terms. This is in contrast to the discussion in Chapter Two, where the analysts' views of this passage of music were crucial in determining their overall conception of the movement. So this section examines this area of the graphs to see what can be deduced from them, and what (if anything) can be concluded in structural terms about the shape of the performance.

The most simple aspect to observe about the first part of the graphs might be termed 'rotation parallelism'. Hepokoski's theory of rotational structure, set out in section 2.2 above, describes a 'referential statement' whose material is reworked and

intensified in subsequent cycles through the musical material. Is this sectional structure reflected at all in the music's performance? In certain performances from the collection, one can see a pattern repeated between bars 1-35 (rotation 1) and bars 36-68 (rotation 2), showing their corresponding features. Ashkenazy's performance (number [28]) provides one of the clearest examples in the 'peak/trough' zigzag shape which appears at both bars 29-30 and bars 63-64. These two pairs of bars are structurally parallel to each other, and are brought out by Ashkenazy with a rush through the *crescendo molto* and then a broadening onto the new tonal point of arrival, marked *fortissimo*, at the end of bars 30 and 64. The end of each rotation is the most popular place to make such a correspondence, since it is here that the two rotations are the most similar.

The same 'peak-and-trough' gesture (representing a rush followed by a *ritardando*) is found, in differing degrees and manifestations, in many of the performances in the group - as is suggested by the appearance of this pattern in the 'average' graphs of the set, Examples 3-17 and 3-18. These performances include Hannikainen [9], Järvi [B3], and Blomstedt [B5], who make the familiar pattern to mark bars 29-30 and bars 63-64. Each of these (like Ashkenazy) shows a secondary peak/trough of tempo at bar 19-20, which is also a *cresc.* towards a *rfz*, in this case for the arrival of the second subject material; this feature, however, cannot be paralleled in the second rotation, as there is not a point of exact correspondence to bring out¹⁷⁰. Other performances which feature the parallel pattern include Saraste [36] and Gibson [12], which as a one-movement performance is relatively rare in this category, perhaps due to a generally lesser use of contrast¹⁷¹. In other performances the correspondence between bars 29-30, and bars 63-64 is harder to see, as it is overshadowed by other local activity: for example, in Salonen's [32] and Berglund's [35] renditions. In Bernstein's performance [15] it is disguised by a general use of wide rubato and a large arch-shaped third rotation, whilst in many cases it is merely more subtle: for example, Barbirolli's performance [10], where it is c. 10 rather than 20 bpm in amplitude.

¹⁷⁰ The closest parallel might be bars 51-52 in the second rotation, but here the phrase being moved towards in the woodwind is the linking phrase A3 (see section 2.2), not the second subject. Furthermore, the *cresc. un pochett.* here is normally performed far less exaggeratedly than the *poco cresc.* in the first rotation.

¹⁷¹ One-movement performances rarely articulate this pattern, but neither does Karajan in his various recordings (except very slightly in his final version [24]) – interestingly, from a reception perspective, as this means that the two-movement interpreters did not pick it up from him.

In some cases the rotations are parallel in a more general way than merely at their close. Sanderling [22] and Leinsdorf [3] delineate the two first rotations most clearly to the naked eye, though each in a different manner. Sanderling uses a consistent but different tempo level for each rotation – c. 45 bpm for the first rotation followed by c. 52 bpm for the second rotation – whilst Leinsdorf chooses the same tempo level of about 70 bpm for each rotation, maintaining it throughout except for the peak/trough patterns already noted at the end of each rotation. Examining Koussevitsky's performance [2], we can see a totally different approach, one which combines the first two rotations (bars 1-68) into a single arch-shaped unit (also found in the background of his pupil Bernstein's performance, number [18]).

What interpretative effect might these behaviours have on the listener? In particular, we might consider whether performing each section in a particular way may influence the listener's understanding of the character and function of each section. In certain other styles, the arch-shaped pattern (such as is found in Koussevitsky's performance) has been interpreted as a 'Schenkerian span' and taken to indicate tonal integration from the point of view of the performer¹⁷². In the current repertory, however, prolongational spans are less relevant to the style, and would work at cross-purposes with the stronger sectional delineations (as shown in the Harmonic Analysis in section 2.2); it is difficult to think how the graphic patterns could relate to tonal boundaries since they do not correspond with them.

Sections 2.3 and 2.5 above examined the various roles which the rotations (and rotation 2 in particular) have been allocated by different interpreters. Do the roles of 'double exposition' (Layton) 'recapitulation' (Simpson) or 'development' (Gray) have any counterpart in different performance choices found in the set? In the context of Sibelius's symphonic music and its commentary, it is likely that Koussevitsky's integrated performance style might suggest a delineation such as 'combined exposition' for the first two rotations (corresponding loosely to Layton's understanding of this whole passage as expositional). In contrast, Sanderling's practice of 'stepping up' the tempo for the second rotation, as described above, causes a greater sense of excitement for this

¹⁷² See Martin, *Analysing Musical Recordings*, p.190-192 and p.83-112, and Cook, 'The Conductor and the Theorist', p.107-109 and 115ff. Such an argument, based on the correlation of tempo arches and voice-leading spans, is possible because of hard evidence that in certain cases the performer, namely the conductor Furtwängler, was directly familiar with, and sympathetic to, Schenker's musical thinking.

passage, which might suggest a developmental role (as Gray postulated)¹⁷³. Other recordings show a set of tempo arches for the first subject and the second subject separately, followed by a single arch for the second rotation: see Ormandy [8], Tjeknavorian [23], and Kondrashin [31]. In these cases the structural implications are more directly didactic; they might show the gradual breakdown between the two subject areas in the second rotation (in contrast to their clear separation in the first rotation). Alternatively it might be suspected that the inspiration for the latter manner of performance was more pragmatic and surface- or texture-related than specifically thematic- or sectional-analytical.

Further information about the interpretative character of each section of sonata form in normal circumstances would give a more solid footing to this mode of analysis¹⁷⁴, but as yet such an idea is still new and has little empirical support. Whilst this mode of analysing the graphs is one of the most interesting, it is at an early stage of development, and care must be taken not to push it further than the evidence can support.

3.5.3 Transition parameters

Another tempting line of investigation examines the central part of the movement from a different perspective than that in section 3.3 – in order to see which of the

¹⁷³ In fact, the impression of the first rotation is so slow and placid that the timpani roll on the second beat of bar 28 merely suggests the waking up from a deep sleep. The mood is further intensified at the corresponding point in the second rotation, bar 62. Here the interpretation might, rather, suggest that the first rotation is merely an introduction to the second rotation's exposition, or, in the context of the whole movement, an overall teleological perspective aimed towards the 'scherzo' of the fourth rotation (the sudden increase in speed at this point can be seen on the graph at bar 106) and its militaristic trio section in which the drums again predominate. This shows the importance of other parameters, and the sound of the recording, in preventing any premature structural (or other interpretative) decisions based only on the tempo patterns.

¹⁷⁴ One type of investigation might examine late-Romantic works to see how these speed and character changes are written into the score as an element of notated performance practice. Tchaikovsky's Sixth Symphony, first movement, for example, reinforces the connection between the high activity level of development sections and a faster speed, by marking *Allegro vivo* [*crochet* = 144] over the development section at bar 161. The composer more typically, however, uses tempo markings to distinguish first and second subjects and introductions from each other, each of these retaining their speed and character at every appearance irrespective of its function in the movement: see the first movement of his Fourth Symphony for a case in point.

changing parameters, if any, the performances prefer to articulate. This follows up the commentary by Hepokoski which was summarised in section 2.5 (under the heading ‘Recapitulations’) to the effect that each changing aspect of the music was established successively, rather than simultaneously as with most sonata forms, hence permitting a ‘smooth transitional gliding’ from one section to another. The parameters which might be thought to articulate a new section, a recap, or a new movement are set in place as follows:

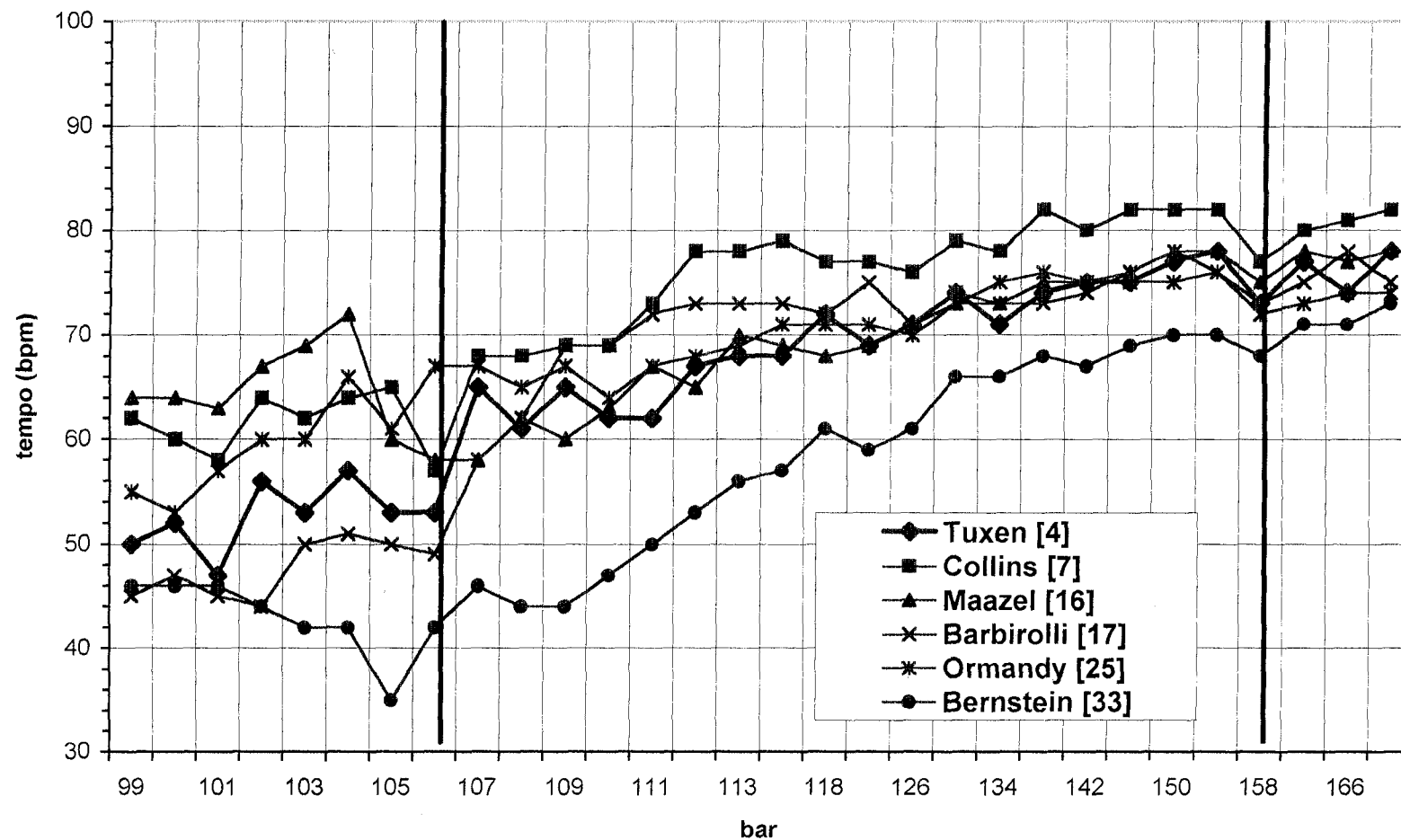
Parameter	Bar number
Theme	106
Tempo + Scherzo character	114
Cadence	142
Tonic colour	158

As in previous investigations, we can look at the graphs to see whether any of these aspects are reflected in performance, and how the recorded literature arbitrates over which of these aspects may be the most significant.

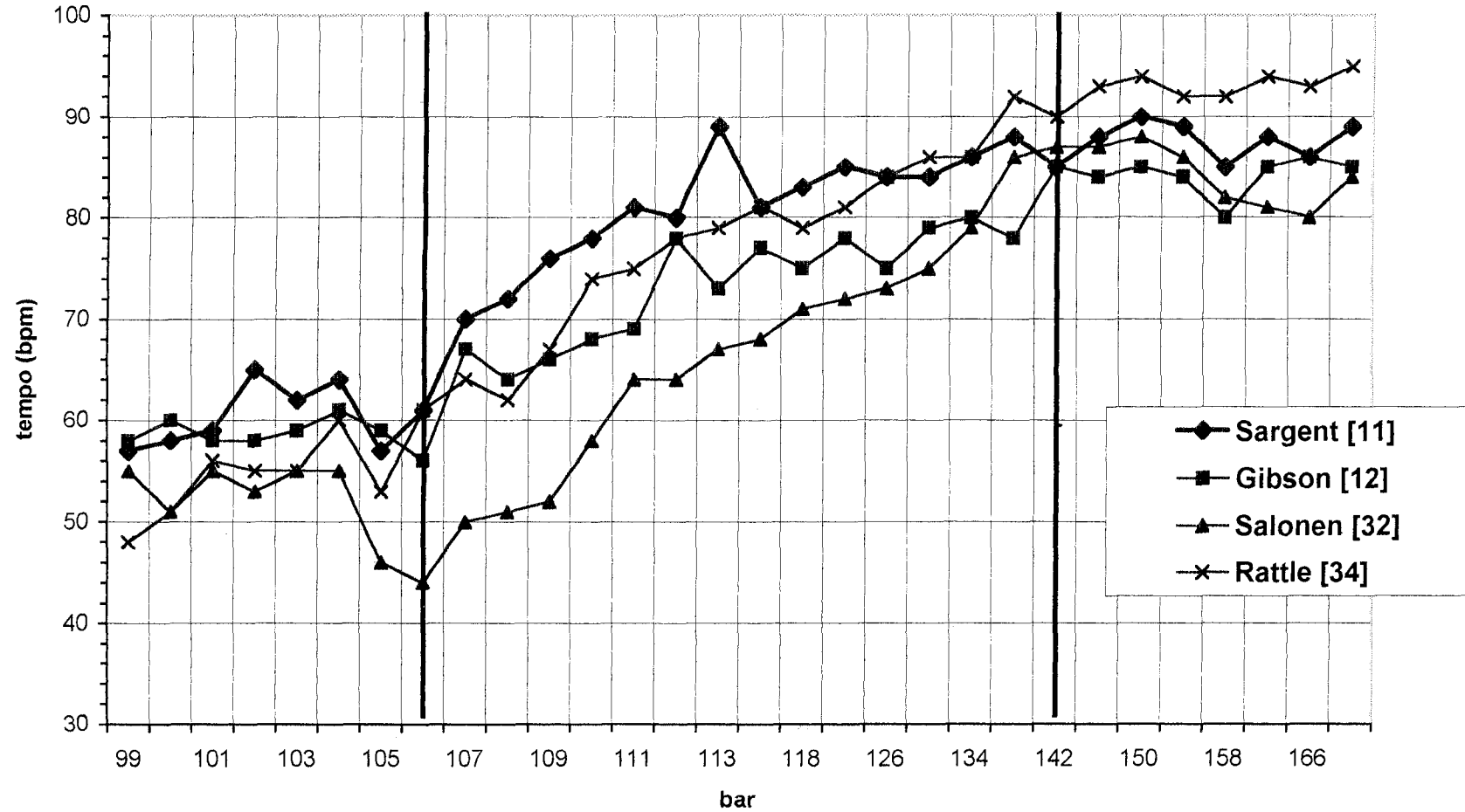
Several different combinations are shown up by a detailed graph of the central part of the movement. A common combination is for performances to articulate the theme (at bar 106) and the return of tonic (E-flat) colour at bar 158. Some recordings which show this pattern are graphed in Example 3-28. If this graph looks visually confusing, it is best to remember that there are various ways to articulate a moment, including creating a rit. in the bar before, slowing down abruptly in the bar itself, or making contrasting speeds either side of the division. These account for the range of choices around bar 106 on the graph, and indeed it is easier to see the articulations made at bar 158, since they all choose the same device, namely a slight dip of speed in the first bar of the E-flat music. In comparison, Example 3-29 shows some performances which articulate the theme and the cadence at bar 142. However, of this group, two (Sargent and Gibson) also articulate the tonic colour at bar 158, and one (Sargent) articulates all four available points including the apparent change of ‘tempo’ and time signature at bar 114.

In amongst the set of performances there is an overall preference for articulating the tonic colour (bar 158) as more significant than the foreground cadence (bar 142). Such an observation can contribute towards the reconsideration of performers’ musical

Example 3-28: Transitions which articulate 'theme' (bar 106) and
'tonic' (bar 158)



Example 3-29: Transitions which articulate 'theme' (bar 106) and
'cadence' (bar 142)



understanding: the cadence in B major is a local event, but a more obvious conventional gesture, so we might expect performers to notice it. However, they prefer to articulate the more background feature of the return of E-flat major, despite the fact that it receives no conclusive cadence but only a side-slip motion on the horns. It is worth considering whether conductors are therefore aware of such features and prepared to articulate them. As ever it is impossible, on the basis of one example, to conclude that performers are responding consciously or otherwise to analytical qualities rather than foreground textural aspects (e.g. the tiny *cresc.* in the horns at bars 153-157).

The articulations on these graphs are relatively small compared to those which determined an overall one- or two-movement conception in sections 3.2 and 3.3. They should therefore be taken with a pinch of salt and not over-interpreted in any individual instance. In the case of the tonic articulation in Example 3-28 above, it is the group behaviour at this point which is more convincing than considering performances in isolation. One should be aware of the 3-5% inaccuracy range which was established in section 3.1.2 above: although some of these graph ‘wrinkles’ fall within this range and hence cannot be assumed to be significant, it is unlikely that such random deviation would occur at the same point in many separate instances. The music around bar 158 is well-articulated and would enable quite accurate data to be taken, and the complexity of behaviour around bar 106 suggests the importance of this point by the range of tactics employed to render it. Whilst the interpretational interest of this data compels it to be included - like that in the previous sub-section - its reliability should nonetheless be distinguished from that in the preceding parts of the chapter; as Cook has pointed out, whilst ‘inferences regarding the broad shaping of tempo [...] are robust’¹⁷⁵, one should not make too much of small transitions which appear on the bar-to-bar level as the data cannot be considered sufficiently accurate at this stage of the discipline’s history.

3.6 Programme notes

Introduction to the notes

Passing reference has already been made to the recordings’ programme notes (also known as sleeve notes, or liner notes) in the preceding sections. Examples of significant correlation between the written material and the recording which it

¹⁷⁵ Cook, ‘The Conductor and the Theorist’, p.114.

accompanies have been found in the cases of Tjeknavorian's one-movement recording (section 3.2.4) and Rozhdestvensky's 'stepped' recording (section 3.4.1). However, there is further information to be gleaned from examining the programme notes which accompany this collection of recordings as a set.

Several factors complicate the interpretation of programme notes, and draw them into an intricate web of influences. The first is that the one-to-one relationship between recordings and accompanying text, which may be thought normal or ideal for investigating the correlation between them, does not always prevail. It takes further research to determine whether any note should be regarded as pertaining to, or independent from, the particular recording. In some cases this is obvious, for example where a programme note is recycled: a writer who is prominent in the field of a certain composer may be asked repeatedly for notes and submit only a marginally-altered text. Here a tenuous many-to-one relationship prevails: the task is to find out which performance (if any) the original note was designed for, and conclude that it says nothing much about additional versions to which it may be attached.

A one-to-many relationship often arises between a recording and the programme notes which accompany its various reissues, for example when a 78 recording is reissued on cassette or CD. Here there will be two (or more) responses to the same recording, one or some of which may be drastically separated from the recording process in time. One can at least conclude that the later programme notes will be written in full awareness of the sound recording they are intended to accompany, whereas this cannot be assumed in the case of contemporaneous programme notes since the rush of deadlines may sometimes demand that the notes are submitted before the discs are available for listening. Furthermore, some programme notes are anonymously written, attributed only to the record company which issues them, and this may limit to some extent the tracing of reception patterns between writers. In some cases there is no narrative material to accompany the recording at all, merely a track listing, when a one-to-none relationship could be said to prevail.

A programme note may make extensive reference to critical or analytical texts that are, as it were, outside the closed circle of the performance and its commentary. Here we can draw specific lines of influence between the explicitly scholarly sphere of monograph- or article-length texts and the aural domain of performance: as Cook has pointed out, 'of course formal analysis [forms part of the reception network] only for the small minority of musically educated listeners. Others must avail themselves of the

potted biographies and analyses on the backs of record sleeves', a mode of discourse which is likely to reach a considerably wider audience¹⁷⁶. This is the case both where a note-writer draws on a pre-existing text, and where the note itself is written by the author of the book or article (which frequently happens due to the flexible nature of the British musicological writer during this period) - when the author may choose to emphasise, or even alter, aspects of his previously-stated position on the work.

The list in Example 3-30 gives the name of the programme note authors for the set of recordings of Sibelius's Fifth Symphony, organised by recording number / conductor. The right-hand column gives the issue number of the recording actually used, necessary for identification since (as explained above) an identical sound recording may be released several times, often with a different programme note¹⁷⁷. These programme notes tell us plenty about the reception of Sibelius and his symphony during this period; for example, they document the change of hermeneutic images to illustrate the piece (e.g. Thor's hammer vs. flying swans), and they demonstrate the various uses of the sonata analogy to aid perception of the form. (These issues will be discussed later in this section.)

Another primary issue which recurs throughout the notes, however, is the same as is shown up in the graphs of the recordings and has been pursued already: the possible division of the whole work into three or four movements, that is, the question of whether the first section of music constitutes one movement or two. Often writers specify their opinion on this matter; often they prevaricate on the issue; and there are frequent twists of logic as they convert the available facts into the desired conclusion. This makes the programme notes, in conjunction with the recordings, a fascinating study in cross-influence and ideology.

One movement or two: traditions in the programme notes

In the programme notes there is a slight tendency to emphasise a one-movement conception. This may be in order to aid the first-time or inexperienced listener who will otherwise get lost without a score, due to the absence of an actual break in the music.

¹⁷⁶ Cook, 'The Domestic *Gesamtkunstwerk*, or Record Sleeves and Reception', p.109. This article deals almost exclusively with the pictures, and not the texts, which accompany recordings.

¹⁷⁷ This is not intended to be a complete discography; for this the reader should consult Guy Thomas's *The Symphonies of Jean Sibelius* (which is complete up to 1989). Only notes in English have been included, since all the releases, being obtained in Britain, featured text in English. This feature may be considered part of the reception study which lies behind this chapter and the previous one.

Example 3-30: List of programme note authors for each recording used

[1]	Kajanus	[78] Cecil Gray / Ernest Newman; [CD] Brendan Wehrung	HMV DB1739-42 Koch Legacy 3-7133-2
[2]	Koussevitsky	[CD] Robert Layton	Pearl EEMM CD59408
[3]	Leinsdorf	(none)	Decca AK2193-6
[4]	Tuxen	Decca	ECS 502
[5]	Karajan	John Amis	Columbia 33CX1047
[7]	Collins	anon	LXT 5083
[8]	Ormandy	anon	Philips ABL3084
[9]	Hannikainen	(none)	World Rcds. ZCCOB42
[10]	Barbirolli	[CD] Michael Kennedy	EMI CDM 7641392
[11]	Sargent	[CD] Ingrid Grimes	EMI CDM 7630942
[12]	Gibson	Decca	Decca SPA122
[13]	Karajan	Robert Layton	HMV TC-SXLP
[14]	Karajan	(LP) Friedrich Herzfeld; (tape) none	DG 138973 ST33 DG 439 418-4
[15]	Bernstein	anon	CBS MYK 38474
[16]	Maazel	anon	Decca Jubilee JB 46
[17]	Barbirolli	Robert Layton	TC EMX 412050 4
[18]	Prette	Richard Mohr	RCA Victor SB6775
[19]	Berglund	Robert Layton	HMV ASD3038
[20]	Gibson	Wadham Sutton	EMI CD CFPD 4763
[21]	Colin Davis	(tape) Jack Diether; (CD) Bernard Jacobson	Philips 420 013-4 Philips 446 160-2
[22]	Sanderling	anon	RCA GK 71218
[23]	Tjeknavorian	Ateş Orga	RCA RK 11747
[24]	Karajan	Douglas Pudney	HMV ASD3409
[25]	Ormandy	Richard Freed	RCA RL 12906
[26]	Rozhdestvensky	Geoffrey Crankshaw	HMV Melodia ASD3780
[27]	Panula	anon, trans. William Moore	Finlandia 4509-95842-2
[28]	Ashkenazy	Decca	Decca 430-749-4
[29]	Rattle	Gerald Abraham	EMI CDC 747006-2
[30]	Gibson	Malcolm Rayment	CHAN 8388
[31]	Kondrashin	Philips	Philips 438-279-2 PM
[32]	Salonen	Ilkka Oramo	CBS MT 42366
[33]	Bernstein	Bayan Northcott	DG 427 647-2
[34]	Rattle	William Mann	EMI CDC 7 497172
[35]	Berglund	Julian Haylock	EMI 7243 5 68647 2 6
[36]	Saraste	Robert Layton	RCA RK87822
[B1]	Horenstein	anon	Intaglio INCD 7331
[B2]	Celibidache	(none)	SH 863
[B3]	Järvi	anon	BIS CD222
[B4]	Levi	anon	Telarc CD 80246
[B5]	Blomstedt	Robert Layton	Deutsche Gr. 425 858-2
[B6]	Andrew Davis	Radio 3 announcer	Broadcast performance

Where the writer has identified the strong possibility of construing the music in two movements, this has been considered significant and identified in the right-hand column of Example 3-31, along with all the other possibilities. Such writers may have been compelled to consider a two-movement view by the performance they were describing, or by other performances formative upon them, or by a number of other factors. Similarly, a programme note writer's description of the music as in one movement may be prompted by the individual performance, or else by a number of other aesthetic, analytical, or practical factors. It may or may not be related to previous programme notes, an awareness of the sound of the finished recording, or even a deep or lengthy familiarity with the piece concerned. The writer's agenda (as in more formal writings, but more so) may be lost to later readers.

Where a writer presents a single side only of the formal argument only this has been shown in Example 3-31 as 'one' or 'two' respectively. However, more frequently he or she will present both the possibilities in some combination, and this has been identified in the list as 'hedge'. Used as a verb, this word has been chosen to cover the range of possibilities from a firm assertion of '*both* one and two movements' through to simple prevarication, and this range of possibilities is reflected in the word's etymology¹⁷⁸; the programme notes include a selection from both ends of this spectrum as will be demonstrated later on. The narrative form of the programme note sometimes includes an apparent change of argument part-way through: thus, 'hedge + one', for instance, indicates that the writer initially prevaricates but finally comes down firmly on the side of 'one'; and 'two + hedge' means that the two-movement structure is initially espoused but the writer continues by casting some doubt on this hypothesis. I hope thereby to represent the range of opinions, whilst still simplifying enough to enable conclusions to be drawn.

As shown in the list Example 3-31, the one-movement interpretation dominates the programme notes in the early stages. Kajanus's single sweep of tempo (in recording number 1) is matched with a verbal/diagrammatic interpretation which does not mention the possibility of an internal movement division in both Gray's extensive commentary, and in Brendan Wehrung's notes for the CD rerelease,. Gray states in his usual direct manner that 'the work is in three movements, the usual scherzo being dispensed with',

¹⁷⁸ *Universal Dictionary* (London: 1987) gives the following definitions for 'hedge':

- v. tr. 3. To counterbalance (a bet, for example) with other transactions, so as to limit the risk of loss.
- v. intr. 3. To avoid committing oneself, as by making cautious or ambiguous statements.

Example 3-31: List of movement categorisation in the programme notes and in their performances

<u>Performance</u>		<u>Programme note</u>
One / Stepped	[1] Kajanus	One
		One
One	[2] Koussevitsky	One †
One	[3] Leinsdorf	
One	[4] Tuxen	--
Two	[5] Karajan	Hedge + One
One	[7] Collins	Hedge
?	[8] Ormandy	Hedge
Two	[9] Hannikainen	
Two / Diag / Recap	[10] Barbirolli	Two
Two / Diag	[11] Sargent	Hedge
One	[12] Gibson	Hedge
Two	[13] Karajan	Hedge + One †
Two	[14] Karajan	--
		Two
Two	[15] Bernstein	--
Diagonal	[16] Maazel	One
Two / Recap	[17] Barbirolli	Hedge + One †
Two	[18] Pretre	--
Recap	[19] Berglund	Hedge + One †
One	[20] Gibson	Two + Hedge
Two	[21] Colin Davis	Two + Hedge
		Hedge
	[22] Sanderling	--
One	[23] Tjeknavorian	One
Two	[24] Karajan	Hedge + Two
?	[25] Ormandy	Hedge
Stepped	[26] Rozhdestvensky	Hedge + One
Two	[27] Panula	Two + Hedge
Two	[28] Ashkenazy	Two + Hedge
?	[29] Rattle	Hedge ‡
One	[30] Gibson	One
Stepped	[31] Kondrashin	--
Two / Diag / Recap	[32] Salonen	--
?	[33] Bernstein	One
?	[34] Rattle	Two
Recap / Two	[35] Berglund	Hedge
Two	[36] Saraste	One †
Stepped	[B1] Horenstein	--
(Two)	[B2] Celibidache	
Two	[B3] Järvi	One + Hedge
Stepped	[B4] Levi	--
Two	[B5] Blomstedt	One †
Two	[B6] Andrew Davis	Hedge

Key:

† = written by Robert Layton
‡ = written by Gerald Abraham

(gap in column) = no notes
-- = notes don't mention the movement division

whilst the later writer Wehrung emphasises continuity by referring to ‘movements which take on changing functions’ and ‘seamless organic growth’. With the benefit of hindsight he is dismissive about the early 1915 version in four movements, saying that it lacks the latter feature which makes ‘the revision such a triumph’. Koussevitsky’s recording [2] is glossed by Robert Layton’s later programme note, which stoutly defends the three-movement pattern in similar manner.

Whilst two of these three programme notes are non-contemporaneous with the recording itself, it is worthwhile to note that the first programme note to even mention the possibility of a two-movement interpretation both accompanies the first strong two-movement performance and is contemporary with it. John Amis [recording 5] comments:

as it stands now the symphony has three movements. *It is true that the first movement has the elements of two movements* but the mood and thematic material are welded insolubly into one; even the change in tempo is almost imperceptible on first hearing [emphasis added].

This counts as a ‘hedge + one’ interpretation, but is the strongest representation yet of the two-movement pattern. A hint that his writing may have been influenced by Karajan’s ground-breaking transitional tempo pattern comes at Amis’s description of the late arrival at the new tempo. Amis’s description that, after the *allegro* marking, ‘the music perceptibly quickens *at last* to a fast three in a bar, the trumpet has a brief dancing tune [i.e. at the trio, bar 218] ...’ [emphasis added] matches Karajan’s tempo practice where the new tempo is established well after the movement break at bar 106 or 114 (where the *allegro* marking appears), but before the trio at bar 218. The next two programme notes, recordings [7] and [8], which are also contemporaneous LP commentaries from the mid-1950s, continue the tradition of ‘hedging’ about the movement division, recognising both possibilities but adding comments such as ‘it matters little whichever way we regard the music’ (anon., recording 7). In this way there is a suggestion that the programme notes constitute a direct strand of reception with traditions of its own - irrespective of the actual nature of the recordings, which varies between Karajan’s [5], Collins’ [7] and Ormandy’s [8] performances. The tradition of ‘hedging’ continues strongly through the programme notes in the late 1950s, the 60s and the 70s, but it is the exceptions to this which are the most interesting cases.

The first programme note in the list to propound a clear two-movement interpretation does indeed tally with a two-movement performance, Barbirolli’s recording number [10]. Although accompanying a CD rerelease from the early 1990s,

Michael Kennedy's comment is clearly pertinent: 'The first version, in four movements, was performed in 1915 [...] In 1919 the present three-movement version appeared, but its first movement still bears traces of having been two separate entities'. Barbirolli's performance does indeed bear the traces of two separate entities, with its abrupt transition in the centre. This relatively strong statement of the two-movement interpretation might well be a deliberate or unconscious effort to describe the relevant performance, as well as benefitting from Kennedy's scholarship - since factually knowing about the structure of the early version is evidently neither sufficient (as will be shown in the case of Robert Layton) nor necessary to cause a writer to decide in favour of a two-movement slant. John Amis, who commented on performance number [5], has no specific information on the 1915 and 1916 versions (even the number of their movements) and remarks that it would be 'fascinating [...] if the other two versions could be compared with the final version', yet still breaks ground by suggesting the possibility of two movements on musical grounds.

Gerald Abraham's clearly-stated case for 'both' one-movement and two-movement plans (what might in this context be viewed as a strong 'hedge'), taken from musical and not historical evidence, appears in book form in 1947 and hence predates such an approach in the programme notes. John Amis's seemingly ground-breaking commentary on recording number [5] in the current collection appears in 1953 and makes similar arguments. There is hence more than a possibility that the programme notes relate to other forms of written materials as well as to the performance they accompany and to each other in an independent tradition. When historical details of the original (1915) movement division emerge in Simon Parmet's book *The Symphonies of Sibelius* (see Chapter Two above), it is in 1959 that these results are made available in translation to an English-speaking readership. Parmet's is the first major commentary to adamantly maintain a two-movement division and to support it by means of argument from the early version, drawing on Erik Furuholm's unpublished marginalia. Its publication coincides with the release year of Barbirolli [10] and its surrounding two-movement interpretations (though of course not with this recording's ex-post-facto programme note just described).

It takes longer for the historical arguments in favour of a two-movement interpretation to permeate into the programme note tradition and become established - if indeed that is the path they take. Colin Davis [21] and Karajan [24], from the mid-1970s, are the first releases to sport contemporary programme notes which use details of the redrafts to support a two-movement account of the work. Notably, these both coincide

with the pronounced transitions in the performances which strongly suggest a two-movement interpretation of the piece. William Mann's appendage to the 1988 Rattle recording (number [34]) is the most definite in this regard, referring to 'the first two movements, a sonata-allegro and a scherzo', being 'run together'. Wadham Sutton's interesting pro-1915 stance is attached to Gibson [20] but dates from the 1995 CD rerelease. He presents the composer as something of an obsessive reviser of his work, even hinting that the four-movement plan was perfectly satisfactory, since 'it was received with wild acclaim' in its first version. Such an argument lends authenticity to the four-movement plan of the work, and strengthens the case for seeing such a movement division beneath the surface in the finished version.

Thus in the course of the century, the performances move gradually from a one-movement through a weak two-movement to a clear two-movement interpretation, whilst independent analytical commentaries enact something of the same pattern which is nonetheless complicated by the reluctance of analysts to forego ideas of structural unity in favour of those of historical impact (see section 2.5). The programme notes seem to incorporate the tendency from one- to two-movements too, whilst remaining open to other possibilities - though, if this is the case, which of the other traditions is primarily leading them to do so is a subtle question which can probably only be answered in specific cases. To make an overall attempt to establish a single path of influence between each of these three forms of activity would be to reduce the complex map of reception between individual items and people to an oversimplification, as well as to ignore the special relationship between an specific recording and its programme note which may step outside diachronic traditions.

Cases of correlation

Abraham's and Parmet's writings, on the one hand, and the short and full transitional two-movement performances, on the other hand, could be some of the factors contributing towards the hegemony of a moderate interpretation ('hedge'), leaning towards two movements¹⁷⁹, in the programme notes from the 1950s recordings onwards. Certainly such an interpretation is predominant in the collection listed on Example 3-31, such that definitive statements on the form of the movements become more unusual. (William Mann's note on recording number [34] has already been discussed.) As the

¹⁷⁹ Note that 'hedge + one' and 'one' notes marked † on Example 3-31 are those by Robert Layton which have been previously written and adapted, and hence do not form part of this historical tendency.

‘hedge’/‘two’ interpretations gain more of a hold on the programme note tradition, those programme notes in particular which specify ‘one-movement’ become more significant - and worth investigation.

One-movement interpretations in the programme notes (excluding those for the time being which are written by Robert Layton) include those attached to [16] Maazel, [23] Tjeknavorian, [30] Gibson, and [33] Bernstein. The ‘one-movement’ notes attached to Maazel’s performance are an interesting case, since the latter produces a perfect diagonal outline (rather than the characteristic integrated curve) on a tempo graph. Diagonal performances have been classed in the sections above as theoretically a version of the two-movement interpretation. However, perhaps to the ear they do lack the defining property of a two-movement, articulated performance, namely a central pronounced tempo transition or else an abrupt increase in tempo at the movement break. The programme note itself is, furthermore, pre-occupied with analytical details below the movement level, focussing on the ‘double exposition’, and may have been influenced more by analytical writings than by the specific performance, in particular by Layton whose book had come out the year before and is strongly emphatic about the double exposition feature as well as the single-movement quality of the music¹⁸⁰.

Tjeknavorian’s performance (number [23]) and Ateş Orga’s note which is attached to it, are the strongest possible evidence of the (selective) relevance of programme notes to their performances, and have already been discussed in section 3.2.4. Gibson [30] and its contemporary note by Malcolm Rayment constitute another strong instance. Gibson’s performance stands out as a one-movement interpretation at this point in the recording tradition, and is indeed a feature which the conductor maintains across his 23-year recording history with the piece. Rayment, too, is unusually adamant in his condemnation of the previous 1915 version of the symphony and of the two-movement schemes: ‘Interesting though a comparison between the initial and final versions may be, [...] the finished version is so superior that the initial one has no place in the concert hall’. He adds that ‘As it stands today the only indication of the work having once been in four movements is [...] the notation’, by which he means the time signatures and the rehearsal lettering, in his account relatively superficial features. In the context of these two

¹⁸⁰ ‘Most writers are agreed on the first unusual feature of the movement, the double exposition’, begins Layton’s detailed commentary on the movement (Layton, *Sibelius*, p.49). This comment has a function which is more instructive (or prescriptive) to writers than actually descriptive of the tradition up to that point.

performances it is slightly disappointing that the other example of a one-movement programme note comes attached to Bernstein's recording number [33], an ambiguous structural interpretation. However my classification of Bayan Northcott's note as expressing a one-movement interpretation rests on a few vague comments about 'all-embracing relationships' and a key scheme for the passage. It is by no means as adamant as the notes discussed above, and even mentions the 1915 version and the double function of the movement, so could almost be classified as a 'hedge'. This indeed would match the non-committal nature of the performance. Looking at the two stronger examples above it seems as if there may, in particular cases only, be a direct correlation between the programme note and its sound recording.

Having examined the most prominent 'diagonal' interpretation with its note (Maazel [16]), it is worth asking what responses the other unusual interpretations tend to provoke in their writers. Most of the principal recapitulatory performances, numbers [11], [17], [19], and [35], all produce some variety of 'hedge' when the movement issue is addressed in the programme note¹⁸¹. This is perhaps not surprising due to the formal subtlety of this scheme and the ease with which it combines with other interpretative ideas. The programme note for recording number [32] by Salonen, one of the most structurally interesting performances, combining as it does a recapitulation with a diagonal performance with a transition, is frustratingly non-committal: it relates the various versions and revisions of the work in a neutral historical tone. Once again, perhaps this is to be expected. As regards the 'stepped' performances, too many of their programme notes make no specific reference to this issue for conclusions to be drawn. However Geoffrey Crankshaw, in amongst a predominantly one-movement discussion for recording number [26], remarks that 'suddenly the tempo changes to *Allegro moderato, ma poco a poco stretto*'¹⁸², a comment that is not strictly true of the score (given the preceding *poco a poco meno moderato al...*) but describes Rozhdestvensky's performance rather well. This constitutes another strong instance of note-performance correlation.

¹⁸¹ The recapitulation in Barbirolli [10] is not picked up in the programme note which was discussed in the text above as a two-movement commentary.

¹⁸² Crankshaw continues, 'It is this turn of events which has caused some to view the episode as the start of a fresh movement - linked but yet distinct. Thematic evidence surely testifies to the opposite conclusion - that Sibelius has created a *single* movement'.

A ‘two’ interpretation usually appears in the programme notes together with some form of prevarication, rarely alone. But one interesting case prevails in conjunction with the cassette version of recording number [14] by Karajan, where there is no commentary, merely a track listing on the cover. The track listing is as follows:

1.	I.	Tempo molto moderato - Largamente -	9’35’
2.		Allegro moderato - Presto	4’41’
3.	II.	Andante mosso, quasi allegro	8’24’
4.	III.	Allegro molto - Misterioso - Un pochettino largamente - Largamente assai	8’58’

The person responsible for allocating track numbers to the music has given a four-movement account of the whole work, even as they have been unable to definitively attach a movement number to the second track¹⁸³. They have backed up this interpretation with track timings in four movements, so that the listener who wishes to follow the music that accurately will be led into perceiving a movement division at the chosen moment. Since there is no written commentary to contradict this guidance, the overall two-movement interpretation of the first section of music stands¹⁸⁴. Recording number [14] is, of course, one of the notable two-movement interpretations by Karajan, and this is one of the earliest contemporaneous programme notes to imply the existence of a constituent four-movements.

So it would seem there is a clear amount of correlation between recording and programme note only in certain individual cases. These cases are significant since they show that the programme note can choose to ‘speak’ for the recording, providing a verbal correlate to the sonic statement. The sound recording itself, however, must be regarded as equally clear in its structural expressivity. As Cook has suggested, ‘it is a striking fact that the analytical programme note developed just as words were expunged from absolute music, as if the words that were repressed in one place immediately came bobbing up in another’¹⁸⁵. The relation between programme note and sound recording may be a more

¹⁸³ These movement numbers are in fact not in the score, but merely conventional.

¹⁸⁴ The sleeve of Panula’s recording [27] also follows the four-movement listing; here there is a commentary to accompany it, which follows a ‘two + hedge’ pattern. (Panula’s performance itself shows a short two-movement transition section: see Example 3-23.)

¹⁸⁵ Cook, ‘The Domestic *Gesamtkunstwerk*, or Record Sleeves and Reception’, p.105.

interesting case of text-music correlation than merely asking performers what they think of the music, which in many cases may be impossible, and in other cases result in interpretative problems as described in section 3.1.1 above. Programme notes and sound recordings thus form an interdependent but complex part of the network of reception I have proposed in Chapter One and at the beginning of this chapter. Asking questions about their relevance to the recordings they accompany may be more important than being able to propose sweeping generalisations. It is clear that we must be careful to look for other interpretations of causality where appropriate.

The rhetoric of ‘hedging’, and the Layton case study

The rhetoric of ‘hedging’, or ambiguity, is worth investigating more independently from the recordings themselves, since it gives a deeper understanding of the ways in which writers argue their interpretations. Programme notes which I have classified as ‘hedging’ the issue of movement division can be categorised further than the breakdown they receive on Example 3-31. A classic example of the procedure is found in the contemporary Decca note for recording number [12] which states that ‘The Symphony is in three movements, though the first of these is clearly in two sections’. This calm but clear comment serves to calibrate a middle point on the scale: not only for balancing the two interpretations, but in its moderate tone. In the second, CD-based note by Bernard Jacobson for recording number [21] the question is construed as more problematic:

In the Fourth Symphony it is at least clear how many movements we are dealing with. With No.5 [...] there is even some doubt whether the work should be described as in three movements or in four. Sibelius himself referred to four movements [...] But commentators generally prefer to see these two sections as forming a single movement.

And in other instances the writers go beyond ‘doubt’ to use words such as ‘strongly argued’ (recording [24]), ‘confusion’ (recording number [[25]) and ‘at loggerheads’ (number [26]). The use of agonistic battle terminology suggests a deeper investment by the writer in propounding both views of the symphony simultaneously. The gesture of ‘hedging’, though is common to all of these, as the scales may be more-or-less weighted on either side of the argument but are still balanced in each case.

One of the strongest statements of the hedging position is in the Decca note for recording [28], which begins as a ‘two-movement’ but then weaves all the possible arguments together most intricately. The writer argues as follows, with my annotations to show the flavours of his implications:

The original version of the symphony had four movements [‘two’], but in revising the work Sibelius ran the first two together to make a highly individual structure [‘hedge’] in which a *moderato* movement turns itself into a scherzo [‘two’]. The movement bears no trace [‘one’] of the difficulties Sibelius experienced in articulating such as original design [‘hedge’].

Comments about the movement’s ‘individuality’, ‘originality’, or ‘uniqueness’ are generally found in writers with a ‘hedge’ position since it enables them to circumvent the whole vexed question of conventional movement division. Similarly, comments to the effect that the movement bears no trace of its previous versions are normally drawn in by writers who are aware of the historical revision but wish to propound a single-movement interpretation (for example, Robert Layton, below). Such attitudes of fighting, or of interweaving, in the notes are partially superseded in the later part of the century by a more post-modern approach, for example performance [B6] suggests we ‘leav[e] aside the correct number of movements, three or four’, and performance [32] presents an unmediated historical account of the situation. These later notes typically present both sides of the argument clearly without attempting to negotiate between them.

Robert Layton’s collection of programme notes for the Sibelius Fifth Symphony represent a particular case study in the rhetoric of ‘hedging’, and in the relation between programme note, recording, analytical writings, and record reviews. The six examples of notes written by him are marked with a dagger symbol on Example 3-31. Of these, the earliest from this set is that which accompanies both recording number [13] by Karajan and recording number [17] by Barbirolli, both dating from approximately 1967¹⁸⁶ and functionally identical in their prose content. This passage is a ‘hedge-to-one-movement’ description of the work, and begins its account by describing the first movement as ‘perhaps the most original in all Sibelius’, a typical hedging manoeuvre as mentioned above. It continues to hedge by describing this passage of music as a ‘united framework

¹⁸⁶ That for Karajan [13] is explicitly dated 1967, and is for a cassette re-release of the 1961 recording.

that combines features of first movement and scherzo', but gradually moves towards a predominantly one-movement position by acknowledging that the second part of the movement has an 'independent existence [but] is so closely integrated both in feeling and substance with the first part that one takes their unity for granted'. This is Layton's position near the start of his programme-note-writing career in the mid-to-late 1960s¹⁸⁷: a 'hedge + one' position. It corresponds approximately to his account of the work in his book *Sibelius*, although in the programme notes he is more willing initially to consider the two-movement scheme as comparably valid.

Layton's position is complicated by his knowledge of the original movement division in the 1915 version of the symphony, which has led some writers to propose that the final work might be seen this way (e.g. Wadham Sutton, as discussed above). Despite this knowledge, he has strong analytical reasons for seeing the music as unified, as developed in his monograph: 'there are compelling *musical* reasons for disregarding this division and viewing the piece as one continuous movement. Not the least compelling are the organic cohesion of the material and the overall tonal scheme of the movement'¹⁸⁸. Hence he does not wish the historical information to influence his critical judgement and compel him to alter his opinion - and so is compelled to argue around it. The same 1967 programme note introduces the idea of the 1915 version and explains its background ('completed [...] in time for the composer's fiftieth birthday celebrations') and nature ('the first [movement] terminated some few bars after fig. M in the present version') in a reasonably neutral manner. It then goes on to suggest that 'Sibelius was dissatisfied with this' and felt compelled to withdraw it twice 'for further re-working'. The implications of the earlier version, and its significance for later structural understanding, are much diminished if it was only a mistake, an early or incomplete draft later 'corrected'. This suggestion is the crux of his argument about the earlier version of the symphony, and is developed much further in his later programme notes.

The next programme note by Layton appeared in 1974 to accompany Berglund's recording number [19], and again is identical in context (except for an alteration of the first half-sentence and one instance of reparagraphing). Differences start to creep in with his note for Saraste's recording (number [36]) in 1988, a rewrite of some of the same ideas. The account has been shortened, the prose clarified, and there are a few small but

¹⁸⁷ Layton states that he had been writing programme notes on the Fifth Symphony for record companies since the early 1960s – but none of these releases are found in the current collection.

¹⁸⁸ Layton, *Sibelius*, p.49 (emphasis added); see also sections 2.3 and 2.5.

significant shifts in emphasis. A new sentence has been added after the mention of the symphony's origins: 'There is no doubt he hurried so that it would be ready for the occasion'. This of course further undermines the legitimacy of the 1915 (and 1916) versions, not only as a piece of music but also as a formal model for the 1919 version. (His new perspective is backed up by other comments, such as 'In fact it was not until 1919 that the symphony was finished', and emphasising 'how drastic a metamorphosis it underwent'.) The other, subtle, differences also move the interpretation in the direction of a one-movement understanding, by way of discounting the model of the 1915 version: the prose changes, from 'despite [the] independent existence' of the second part of the movement (in the mid-1960s), to 'despite [the] *previously* independent existence' of this passage (in the 1988 version, emphasis added), a comment that has been stripped of any implications for a two-movement interpretation of the form. The previous references to other writers' perspectives on the 'second movement' have been removed, ostensibly for reasons of space, but also in a gesture that looks like a suppression of dissenting voices. For this reason, Layton's programme note by this stage no longer qualifies as a 'hedge' but as an unmitigated 'one'.

The later programme notes show only an intensification of this process. The note for Blomstedt's recording (B5) in 1989 amend his previous comment that 'Sibelius was not happy' with the 1915 version, to the stronger statement that 'Sibelius was *not at all* happy' with it (emphasis added): this can only be subjective reinterpretation of the same facts. Similarly, the note written for the c.1990 rerelease of Koussevitsky's recording number [2] adds '*undoubtedly* hurried' to the 1988 description, and refers to the 1919 version as the 'definitive form'. All these alterations suggest his increasing insistence that the one-movement interpretation is the right one.

In the role of programme-note writer, Robert Layton clearly has his own (legitimate) agenda, since he is an analyst as well as a critic. He is influenced by a factor which not many of the other writers have: their own pre-existing major monograph on the topic of Sibelius's symphonies to draw upon. Hence he has more independence, perhaps, than most programme note writers, both from the individual recording he is writing for, and from the flow of tradition in the programme notes themselves. For this reason the written material by Layton which travels from the sleeve of one recording to

another does not seem to bear much relation to what is inside¹⁸⁹. Even if it was written specifically for Barbirolli [17] (or else the Karajan [13] re-release) in 1967 when it first appeared, the content has little relationship to the form of these recorded interpretation, which are both two-movement based. It is possible that Layton took the opportunity to argue against these interpretations but much more evident that the notes have a stronger and closer relationship to his published book from 1965.

We can sense Layton's opinions on specific recordings from his work as a record critic. Since he has been a regular reviewer for *Gramophone* magazine, we might expect his appraisal of recordings to reflect his preference for a one-movement interpretation. Intriguingly, however, this is not the case. Layton's preferred recordings, which he uses as a benchmark against which to judge subsequent releases, are Karajan [14], Ashkenazy [28], Rattle [29], and Saraste [36], all notable two-movement patterns in tempo outline¹⁹⁰. Rattle [29] seems to be his overall favourite recording during the period studied, and Layton particularly singles out 'the way he handles the transition from the first to the second section in the opening movement' for praise¹⁹¹. Rattle's transition, though part of a two-movement outline, is not particularly pronounced, and indeed Layton finds fault with the more exaggerated transition of Salonen [32], who 'moves to a quicker and (to my pulse) unrelated tempo' and prompts the remark that 'this, I am afraid, is where Salonen loses me'¹⁹². In preference to this practice, Layton recommends four conductors including Tuxen and Gibson, both noted one-movement interpreters,

¹⁸⁹ Layton considers that specific remarks on the performance are not necessary – except in the case of classic performances - since the work remains the same in each case (personal communication by telephone, 11th August 2000).

¹⁹⁰ The Karajan, Ashkenazy, and Rattle recordings are all referred to numerous times, including in the issues for June 1983, April 1984, October 1984, June 1985, December 1987, April 1988, January 1989, and March 1990. Bernstein [15] makes an appearance in the April 1984 issue, but is quickly ousted by Rattle [29], and Saraste [36] is added to the pantheon after the recording appears, for example in the March 1990 issue. (These reviews and those in the following footnotes were found using the *Gramofile* service at the National Sound Archive, which provides month and date references to the original magazine only.)

¹⁹¹ *Gramophone*, April 1984.

¹⁹² *Gramophone*, December 1987. Layton's opinion that great performances maintain a basic tempo throughout (personal communication, 11th August 2000), whilst not literally true (nor possible in the case of this movement), has metaphorical overtones which would recommend against a too-sudden disjunction of tempo in favour of a more subtle and gradual approach.

along with Rattle and Karajan¹⁹³. So it seems that his preference might be for moderate interpretations of the transition section. The issue is clouded by the fact that, during the period of reviews sampled (from 1983, when the *Gramofile* service was established, until 1990) very few one-movement recordings were released¹⁹⁴. Unfortunately the full review of the CD release for Kajanus [1] was given to a different reviewer ('AS'), and Layton's review of the Koussevitsky rerelease in July 1990 was given over to historical commentary on the other items on the programme.

Tellingly, Layton twice recounts hearing and being impressed by Sargent's performance of the symphony in the concert hall in the early 1950s, 'in which he handled the celebrated transition [...] with consummate skill'¹⁹⁵. Sargent's recording, number [11], is one of the early two-movement pioneers (see Section 3.3.2), and if this is a style of performance which particularly impressed Layton as a young man it is not surprising that he retains his preference for a (short) two-movement transition, despite his analytical preferences. More informally, Layton suggests that listening to (and thinking about) the Fifth Symphony is like looking at a great mountain: one sees it in different lights, at different times of day and in different weather conditions and all these experiences add to one's understanding of it¹⁹⁶. This analogy is strikingly close to the many views of the mysterious elephant which were discussed in section 2.3 above, and suggests a similar approach: that one should take analyses, performances, reviews and programme notes as contributing towards a richness of perception with regard to this piece, rather than trying to tally them all into agreement.

¹⁹³ Layton's initial response to the 'stepped' shape which a graph reveals in the performance by Levi [B4] was to be baffled by it, but he later reconsidered: 'On first acquaintance I thought Levi's account unexceptional (good but not special) [but...] returning to it after hearing the Blomstedt, I formed a more positive impression [of it]' (*Gramophone*, February 1993).

¹⁹⁴ When Gibson [30] appeared in July 1983, Layton found in it a 'want of inner tension' and preferred the handling of the *poco a poco stretto* in Gibson [12] which is described as 'marvellously paced and splendidly controlled'.

¹⁹⁵ *Gramophone*, March 1990; also referred to in the December 1987 issue. Layton says that the tape recording of a broadcast of this performance was one of the earliest recordings he owned, and that despite his reputation as a shallow conductor both he and Robert Simpson consider that Sargent managed the transition in a masterly manner (personal communication, 11th August 2000).

¹⁹⁶ Personal communication, 11th August 2000.

Aside from the issue of movement division, a couple of other topics from the programme notes deserve representative mention. After the emphasis placed on them in the analytical textbooks and articles, it is surprising to note how little mention is made of sonata-form analogies and similar descriptions in the programme notes. This may be for two reasons: one, that the listener is not presumed to have expert musical knowledge, unlike the reader of a specialist monograph, so that the programme-note writer is unwilling to blind them with science; two, that in the heat of the moment whilst listening to the piece the reader of the note may not have the leisure to follow a detailed sonata plan. The first reason reflects interestingly on the two analytical writers who also venture into the world of programme-note writing: Layton does not tone down his musical terminology, and produces a similar argument to the one in his book (as discussed above), but Abraham relaxes his grip and produces an almost anti-intellectual line, reassuring his audience that, ‘as for the problem of the first movement which naturally fascinates the critics [viz. himself and his peers], it is no problem for the listener’. This is because Abraham assumes, probably quite realistically, that ‘if [the listener] is simply listening, he will probably be unconscious of any join between the original first movement and the scherzo’ – although he does give chapter and verse for those with a miniature score to hand. These two writers effectively summarise the choices available to note-writers in trying to communicate musical information to a mixed (and unknown) audience.

Of the other programme notes, John Amis [5] merely states that ‘the first movement cannot be analysed in nineteenth century sonata-form guide book style’; Northcott [33] and Sutton [20] make idiosyncratic applications of the sections of sonata form to the music¹⁹⁷; and one of the most involved descriptions of sonata terminology apart from Layton, the anonymous note to recording [16], uses both sections and keys to label the movement. The most detailed account of all, to recording number [23], is by Ates Orga and, after putting the work in the structural context of the preceding symphonies, describes a double exposition, the start of a ‘fugal development’, and a ‘strident, wrong-key recapitulation’ as well the germinal cell on which it all is based. The

¹⁹⁷ Northcott states that the *molto moderato* forms both a compressed sonata form (comparable to Simpson’s scheme in section 2.5) and a double exposition ‘to’ [sic] the scherzo. Sutton refers to the Scherzo being placed ‘before the recapitulation’, which suggests a bar 298 recapitulation in accordance with Tawaststjerna, Hepokoski etc.

account is explicitly based on Abraham's analysis of the movement (somewhat ironically, since Abraham's own programme note largely shies away from detailed reference to it) but ends by giving a separate critique of its major points. The note's intricate manner of reference can be seen in its description of the final section of the movement is 'less a repeat of the scherzo material than an organic development recapitulating earlier fragments'; perhaps this enthusiasm for musical terminology is not surprising, as Orga has been an academic musician as well as a prolific programme-note writer in his varied career¹⁹⁸.

There is no particular evidence to suggest that any of these sonata descriptions bear any clear relation to the performance which they represent. The level of detailed reference is far more likely to depend on factors such as the taste of the writer, the space allocated by the recording company, and the expected audience.

One issue which is less directly relevant to analytical concerns is worth sampling, as it represents the hermeneutic content of the programme notes and illustrates an analogy that was made earlier (section 2.1). As described there, the illustrative meaning ascribed to the second subject of the symphony's finale during the major part of this century has been the image of the god Thor swinging a large hammer. This eisegesis originated with Donald Francis Tovey, where it actually concerns both the first and second subjects: 'The bustling introduction [bars 1-12, music example] provides a rushing wind, through which Thor can enjoy swinging his hammer [bars 105-116, music example]',¹⁹⁹. This image has monopolised critical reception, until recent revelations about Sibelius's own associations for this theme came into common knowledge:

¹⁹⁸ Orga was Lecturer in Music at Surrey University from 1974-90 (personal communication, 8th November 2000). (More biographical information can be found at 'Programme and CD Notes by Ateş Orga', Cadenza Library, <http://www.cadenza.org/library/atesorga.shtml>, last accessed 6th November 2000.)

¹⁹⁹ Tovey, 'Sibelius: Symphony in E flat major', p.128. The metaphor returns at subsequent appearances of the theme, but does not extend to the chords in the closing few bars of the movement. It is without context in his discussion of the Sibelius movement (Tovey does not, for example, evoke a generalised atmosphere of Norse gods, or rugged strength, in connection with Sibelius as do some writers), but is rather a favourite personal metaphor, as can be seen from his occasional references to it in connection with other composers.

Today at ten to eleven I saw 16 swans. One of my greatest experiences! [...]

Nature's mysticism and life's *Angst*! The Fifth Symphony's finale-theme: [actually its final version at bars 435-439] Legato in the trumpets!!²⁰⁰

This association began its infiltration into a wider audience with his friend, Axel Carpelan, who referred to the finale's 'swan hymn beyond compare' in a letter to Sibelius in 1916. It was chosen from his diary excerpts to appear in Tawaststjerna's multi-volume biography, and has reached an English-speaking readership largely through Hepokoski's monograph of 1993. It would be interesting, therefore, to see whether the new 'swans plotline' for the finale replaces the older 'hammer' one in the programme-note writing tradition – as a measure of popular circulation and acceptance – or whether, as Mark Everist has speculated, people will continue to value the interpretation with which they are familiar²⁰¹.

Descriptions of the finale's second subject in the recordings' programme notes range from the bland 'a simple motive in thirds first heard on the horns' (John Amis, for recording [5]) to the impressive 'a massive chorale-like brass ostinato of primordial potency' (Ingrid Grimes, for recording [11]). There is an additional image that pervades the programme notes, comparing the sound of this theme to a bell, as for example in the note for recording number [21], though it is not clear where (if anywhere) this image comes from. The anonymous writer for recording number [15] goes to great lengths to link Sibelius's personal circumstances with the material of the symphony, referring to the composer's own depressive comments around this time, his recent throat-cancer scare and the Bolshevik attack he suffered at home (described by the composer as 'a crescendo that lasted thirty hours [...] horrible but grand'). However this writer does not alight on the 'swan'-based diary entries which specifically pertain to this music.

The 'hammer' image appears in several of the earlier programme notes, as might be expected. It first appears by stealth: the Decca note for recording [12] describes the 'six crashing chords (like six great hammer-blows) which bring the work to an end'. This is striking since the metaphor, as originally expressed by Tovey, did not stretch as far as the closing chords; nevertheless, it is used in this way on recordings number [20], [21], [23] and [24]. The first direct comparison to the second subject is for recording [16] and is explicit in its attribution, describing the 'famous horn motive which Tovey poetically

²⁰⁰ Diary entry of 21st April 1915, reprinted in Tawaststjerna, *Jean Sibelius*, vol IV (in Finnish), and translated in Hepokoski, *Sibelius: Symphony No. 5*, p.36.

²⁰¹ Everist, 'Reception Theories, Canonic Discourses', p.400.

compared to Thor swinging his hammer'. Orga's programme note for recording [23] also mentions Tovey in connection with the second subject, and is the most voluble with the metaphor, claiming that the last few pages 'ascend heavenwards in mighty strides: at the very end six gigantic hammer blows, the symbol of Thor, God of Thunder, Son of Odin, Friend of Man, resound through the orchestra. Nothing could be more elemental'. With these words the metaphor becomes a powerful representative of the whole movement, and hence the entire compositional world of Sibelius. Less explicit references to the 'swinging' quality of this theme appear in many notes (e.g. [12], [26], [33]) and show that this interpretation has pervaded the common imagination.

When the image of swans begins to appear in the programme note, it is tentatively and invariably combined with some remnants of the earlier image. The first reference is in Douglas Pudney's notes to recording [24], which came out in 1978, the same year as volume IV of Tawaststjerna's biography, which contained the diary excerpts for the first time²⁰². Pudney recounts that, apparently, twelve white swans circled the house after Sibelius finished the piece, which the composer regarded as an omen; but then in his account of the music reverts to a description of the six final chords as 'sounding like the hammer blows of Thor'. Likewise, Richard Freed's commentary on Maazel's recording [25], from the following year, mixes fragments of images: referring indirectly to 'the whirring strings' opening of the final movement [which is] likened frequently [?] to a beating of wings', he proceeds to describe the theme itself as a 'chorale' and refers to five [sic] oddly-spaced chords whose significance remains a mystery (which indeed it does within the 'swans' imagery). The most reluctant convert to the new imagery is perhaps the writer for recording number [B3] from 1984, who describes both the exact experience of Sibelius with the swans from his diary, and its relationship to the finale theme, but continues to refer to the latter in mixed terms as 'the swinging theme of the trumpets, here called the "swan theme"' and (in the movement commentary) as 'the swinging swan theme', whilst at two other points calling it simply the 'swan theme'. It is as if the writer is reluctant to leave the older metaphor behind, or rather, as if it is impossible to expunge this motive from the imagination. The only other commentator to explore the 'swan' idea, the Radio 3 announcer for performance number [B6], covers all

²⁰² It would not be surprising if this information had reached the realm of the recording company through translation: recording [24] is one by Karajan, and as such would have been given plenty of attention. It is not by coincidence that recording number [5] by Karajan, with notes by John Amis, is the first to carry innovations in both structural and illustrative material.

the options neutrally, describing the second subject as ‘a bell-like effect that has been described as the swing of Thor’s hammer’, but reminding us that ‘according to Sibelius, it reminded him of a flight of swans’.

So it seems that many people who have heard the association with birds continue to value the image of hammer-swinging, rather than considering it outdated and redundant. This could suggest that a certain section of the musical community is immune to the dangers of ‘privileg[ing] our *current* reception of the work over that of the period 1935-93’ merely for the sake of following the composer’s thoughts on the matter²⁰³. On the other hand, the concern may be pragmatic: perhaps the hammer image is simply a *better* description of the music, covering more of its material, than the swan image - which after all was never intended as a programmatic aspect for the music. There are too few recordings postdating the 1993 Hepokoski monograph in the current set to draw any firm conclusions about the long-term effect of this image on the critical tradition.

3.7 Summary

Following this extensive examination of the forty-one recorded performances and closely-related material, one can attempt to summarise what has been discovered in this and preceding chapters. The current chapter has made some contribution towards demonstrating and extending the possibilities of performance analysis. Based on the results of empirical methodology, a large number of performances have been surveyed in detail, and considered on various levels. The broadest sweep of the music has been considered with reference to movement division, in the sections on one-movement (3.2), two-movement (3.3), and other (3.4) types of performances. Middle-scale features have been considered in section 3.5, and their impact on the understanding of the movement has been noted. The smallest scale of detail has not received much attention here, due to the kind of methodology being used: it would be interesting to pursue performance equivalents to (for example) motivic analysis, but for this one would need a more finely-tuned method of data collection²⁰⁴ and considerable further study.

In examining these performances (Chapter Three) in parallel with the analytical literature (Chapter Two) the latter part of this thesis has provided a large case study for

²⁰³ Everist, ‘Reception Theories, Canonic Discourses’, p.400 (emphasis in original).

²⁰⁴ Such as, for instance, the wave-form analysing programmes discussed in the ‘Alternative methodologies’ section of 3.1.2.

the theoretical model developed in Chapter One. I have suggested that the line of influence runs not primarily from analyst to conductor, nor even primarily from conductor to analyst, but in both these directions and many more, some of which are impossible to trace. The criss-cross pattern of influence between musical activities has included criticism, programme notes, editorial information, ideological fashion and teacher-pupil influence, as well as the more immediately noticeable factors of recorded performance and analytical monograph. Each interaction can be seen to be mediated by an individual's choice of how to respond to information²⁰⁵, giving an unpredictable chaos-like pattern which is based on the intervening capacity of the 'interpretation'. Using this individual internal conception of the piece of music as a guide, each musician produces some form of output (whether written, sonic, or other) which can express their understanding in structural, emotional and other guises. In this process of investigation the equality of performer and analyst has been assumed to be proved.

The 'one movement or two' issue, though primarily structural, has acted as a barometer, or alternatively like a coloured dye moving through the ecosystem of plants, animals, and rivers - to trace and measure the twists of rhetoric and the correlations and paths of influence moving from one sector of the musical community to another. It has shown up, more specifically, the likely effects of a particular performance on analysts, later conductors, and the broader population of listeners (section 3.2.1 and following); and the influence of historical knowledge, intellectual ideologies, and critically-appraised recordings on the subsequent performance tradition (3.3.5). It has illustrated the existence of local as well as temporal schools of performance (3.4); and the path back from performance interpretation into written materials (3.7). By considering the relationships between modes of performance and written commentaries, even a structural issue can reveal much about a musical community (here, Britain in the twentieth century) and the manner of its operation. This 'reception-based' mode of investigation could be extended further by considering issues such as what it means to be a symphonic composer, and why this was of such paramount importance in this musical community²⁰⁶. In such a

²⁰⁵ See, for example, the account of Robert Layton's response to the information about the 1915 version of the symphony in section 3.7.

²⁰⁶ For instance, Laura Gray considers that the wave of British interest in Sibelius during the 1930s can be connected with such factors as a conservative resistance to the avant-garde, a growing political estrangement from Germany, and the flourishing national compositional school, all of which can be connected by an aesthetic fascination with the symphony as a genre (Laura Gray, 'The Symphony in the Mind of God', p.62-63).

light, any performance information which throws light on Sibelius as a symphonist would contribute towards further critical understanding. Such information might even include, for example, the tendency to perform in a one-movement pattern, contributing towards a perception of symphonic unity in the works of Sibelius, and thus bolstering his reputation as a symphonist. For now, any further links between my own work and, for example, that of Laura Gray, will be left to make themselves.

Finally, the material developed in the final chapter can serve also to illustrate the recommended mode of metaphorical pluralism developed in Chapter Two. Like each of the analytical texts described there, each of the recorded performances examined in this chapter provides a worthwhile commentary on the piece of music, and each of them is therefore valued and of interest. Even those performances that have not received detailed coverage in the main sections, 3.2 to 3.6, have sometimes provoked comment in the general discussion in 3.1.4, or else have contributed towards deepening an understanding of the interpretative tradition of this piece. In this way each account of the piece can be seen to represent a two-dimensional projection of the three-dimensional object that is the Fifth Symphony, adding to our appreciation of its many-sided qualities.

In sum, what I would hope for this thesis is that it can make a contribution towards Sibelius studies (and symphonic analysis), and an equally significant contribution towards the sub-discipline of performance analysis. In extending performance-analytical methodologies to modernist music, I hope also to pave the way for more such work within the vast field of twentieth-century music. Empirical methodology can supply answers to any questions that we have the imagination to ask.

Appendix 1: On the 1915 and 1916 versions of the Symphony.

The unusual structure of the first portion of Sibelius's Fifth Symphony is the result of the evolution of the piece through history. The work was originally composed in 1915, as a four-movement work. The first movement of these was a moderate 12/8, and the second movement a one-in-the-bar scherzo in 3/4. In the second, 1916, revised, version of the work (now lost, apart from a double bass part), the first two movements were joined together to make one, and this feature remains in the final, 1919 version which is played almost exclusively today. To form this new, conglomerate movement, Sibelius sheared off the last five (12/8) bars of the first movement, and the first sixty-four (3/4) bars of repetition from the second movement. These edges were then joined together by freshly-reworked material (in 12/8) to create a smooth link from one section into the other. This added passage of material runs from bar 98 (the woodwind tremolos) to bar 114 (the downbeat). Other structural and orchestrational changes also took place within each section¹. Since the two sections were previously related by shared thematic material, the illusion was created of a single coherent movement.

As this account suggests, the tempo indications in the original version do not bear a simple relation to those in the final version. The end of the first movement and the beginning of the second movement are disjunct in terms of tempo, that is, they could not smoothly be joined together, as the first moderate movement moves at 40 beats per minute and the second scherzo movement at an estimated 80 beats per minute². This is

¹ A fuller description of the 1915 version of the first movement can be found in Hepokoski, *Symphony No. 5*, p.43-45. Erik Tawaststjerna discusses the symphony's various versions, including a comparative table of the three versions in *Jean Sibelius*, volume 4, p.378-379 (in Finnish).

² These tempos are obtained as follows: the marking of 'dotted crotchet = 40' is found at the top of the extant 1916 double bass part, evidently an earlier conception of the mood of the movement than the 'dotted crotchet = 66' published by Sibelius much later in the 1940s. (When Sibelius changed his mind about the tempo is not known; it may or may not be contemporary with the 1919 revision, although the published orchestral parts continue to show the earlier marking of dotted crotchet = 40 well after this time.) The 1916 part does not however show a marking for the beginning of the *Allegro Moderato* second section or movement, and for this the composer's later indication 'dotted minim = 80' must be assumed to be in force. For these tempo assumptions to be confirmed or disproved we must await further documentary evidence. (My thanks to Risto Väisänen for discussing this issue with me.)

illustrated on Example A-1, which shows the shape of the tempo in the original score of the disjunct movements. In order for the two movements to blend smoothly into each other, Sibelius had to compose a tempo transition into the reworked movement, to move from the slower first movement (bars 1-98) into the faster 'scherzo' (bars 114 and following).

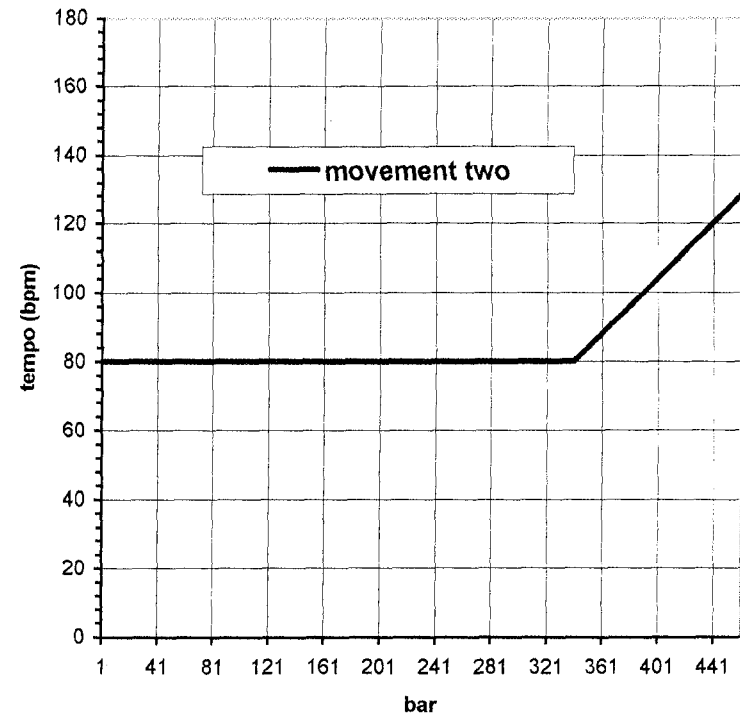
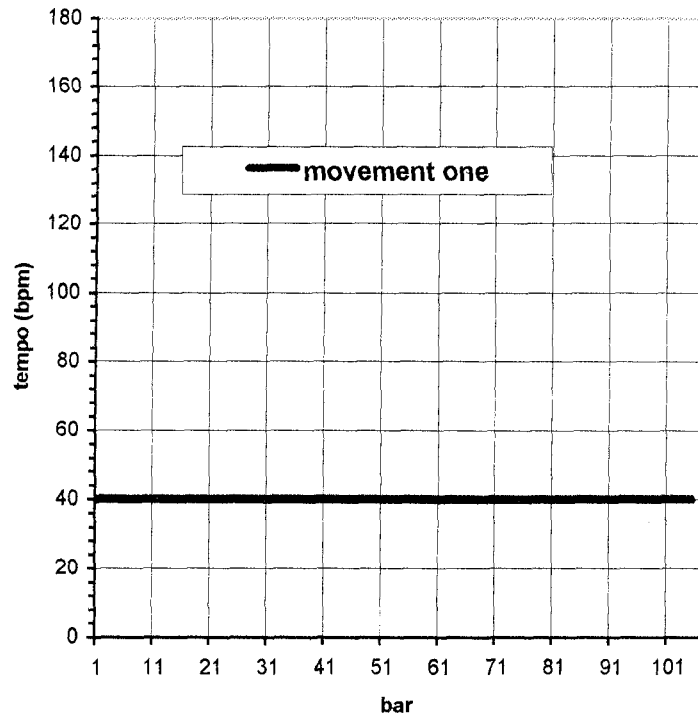
In making this tempo revision, Sibelius chose to let it influence the entire second section of music. Unlike the corresponding section of the final version, the original scherzo movement had no gradual tempo increase marked at the beginning; the earliest indication of an increase in tempo to be found there is shortly before the coda (at a point roughly corresponding to bar 416 in the final version). In the final version, the increase in tempo continues from the central tempo transition, through the previously *tempo giusto* second section, linking to the accelerando already in place at the end of the whole movement: compare the graph of tempo in the revised version, Example 3-5. This creates further interesting issues for those who would decide where to place a formal articulation between the sections, either in an analysis or by means of a performance, since there is neither a precise point of change, nor a moment of static arrival in the 'new' tempo.

Certain vestigial features of the earlier version remain as oddities in the revised version. For example, Sibelius continued the linking passage in 12/8 throughout, splicing it straight in to the 3/4 scherzo at (the new) bar 114. A more obvious place to change the time signature might have been bar 106, where there is a change of key signature and a new musical paragraph begins (corresponding to bars 3-10 of the earlier part of the movement: see Appendix 2 for support of this argument). Sibelius's own writing, however, is 'emergent'³: he continues writing in 12/8 until the transition is definitely past at bar 114.

The facts of such a substantial revision have inconclusive implications for our understanding of the structure of the Fifth Symphony. Did Sibelius intend the portion of music to be understood as one, or as two perceptual objects? Where is the actual division between the two sections? The question of how much to take into account less usual, unplayed versions of a symphonic movement in judging what was intended is familiar from Bruckner studies, where the involvement of the composer's allies in the redrafting of the symphonies has resulted in the existence of several versions of comparable

³ 'emergent' rather than immediate in changing, in the sense of Levy, 'Beginning-ending ambiguity', p.152-154. See section 2.5, under the heading 'Locating the movement division', for more discussion.

Example A-1: Graph of estimated tempos in 1915 version of Sibelius's Fifth Symphony,
first movement and scherzo



validity. In the present case, there is no doubt that the final version is the more ‘authentic’⁴, but one has to consider whether the earlier version tells us something genuine about the symphony, or whether it is to be regarded merely as a mistake which is later corrected. For example, Robert Layton argues that Sibelius’s act of revising the work proves that he had been ‘unsatisfied’ with its original scheme, and hence emphasises a three-movement interpretation for the revised symphony⁵. Contrarily, Simon Parmet (using the same facts) claims that ‘it seems [...] more correct to regard the Fifth Symphony as a work of four movements, for one must always bear in mind the history of the symphony’⁶.

So, in short, we cannot use the fact of the historical revision to prejudice the discussion of movement structure either way. Performers, like analysts, if they are aware of the information surrounding previous drafts of the symphony, may still use this information to their own predetermined ends, to support their decision about the music which has been made on other grounds. Chapter Three therefore analyses the collection of recordings on the understanding that the question of movement division is still open.

⁴ although Sibelius intended to give his symphony ‘another, more human form’ in his redraft (Hepokoski, *Symphony No. 5*, p.51). Such a ‘humanising’ process could be interpreted as either an improvement, or else a compromise. The latter argument could be supported by the observation that the inconclusive endings and beginnings of movements in the first version, and the lesser degree of differentiation between them (as well as the generally less colourful orchestration), are evocative of the Fourth and Sixth Symphonies at comparable points. Hence the unrevised Fifth Symphony is, arguably, more authentically part of Sibelius’s middle-period work.

⁵ Layton, *Sibelius*, p.48. Layton comments that the work seems to have ‘given the composer far more trouble than any of his other symphonies’, that the second version ‘still left the composer unsatisfied’, and that ‘it was not until 1919 that the work appeared in its *final form*’ (p.48, emphasis added). These comments are discussed further in section 2.5, and section 3.6.

⁶ Parmet, *The Symphonies of Sibelius*, p.70. Parmet is quoting Erik Furuholm, who wrote these comments (dated 10th February 1954) in the annotated score now preserved in the Sibelius Museum in Turku, Finland.

Appendix 2: On the movement division at bar 106 and the structure of the ‘scherzo’.

This analytical appendix can be consulted in conjunction with the discussion in section 2.5. It provides material in support of the argument that bar 106 of Sibelius’s Fifth Symphony, first movement, should be considered at least as likely a candidate for the placement of movement division as should bar 114, which many writers prefer, and illuminates the structure of the ‘scherzo’ which is commonly perceived in the opening of the second portion of music.

The analysis in Example A-2 shows how the phrase structure of bars 106 to 218 suggests that bars 106-113 should be considered part of the ensuing musical section. This is done by considering the chordal fluctuation that constitutes an important thematic element in the movement (labelled as motif A1bii in the Thematic Analysis in section 2.2). The two chords, IIb and Ib, that form the pattern (along with the dominant function that attends them) have been formed into a layout where each (approximately) eight-bar phrase is shown on a new line⁷.

Each column of the analysis represents one ‘bar’ of 12/8 tempo (which equates to four bars of 3/4, after the time signature changes at bar 114⁸). Thus a sub-phrase of ‘IIb -- Ib’ can be seen to represent two bars of 12/8 (as also suggested by the bar numbers down the left-hand side). Where the chord changes more quickly than once per bar, the chords concerned have been shown compressed together, as at bars 113 and 170-173. The chords have been identified by examining the strings initially, moving to the cello/bassoon upward movement in thirds where this is present (see bar 130f and 162f), and then moving to the horns in bar 174; at the cadences (end of ‘phrase N’) the cellos and basses are the clearest. During bars 142-157, the rising pattern over a I-pedal has not

⁷ This layout has been loosely inspired by the principles of paradigmatic analysis, where similar elements are shown underneath each other. However, it does not follow the latter’s strict rules.

⁸ This equation is propounded in more detail under the heading ‘The graph of the score’, in section 3.1, which should be consulted by those who are unconvinced at this point.

Example A-2: Internal phrase structure in a harmonic analysis of the ‘scherzo’, bars 106-218

B major

b. 106	IIb -- Ib	IIb -- Ib	IIb -- Ib	IIb -- V ⁷ d-Ib	= phrase M	}	= 'a'
b. 114	V ⁷ -- I	V ⁷ -- I	IIb -- →V	→V	= phrase N	}	
b. 142	(I ... ÷	÷	÷	÷	÷	÷)	

E-flat major

b. 158	(Ic)					}	
b. 162	IIb -- Ib	IIb-Ib [nb]				}	
b. 174			IIb -- Ib	IIb -- V ⁷ d-Ib		}	= ‘a’
b. 190	IIb -- Ib	IIb -- Ib	IIb-- →V	→V	= phrase N	}	
b. 218	I .					}	

been allocated further chord symbols, since it is linearly-based and of foreground significance only.

The chordal fluctuation pattern of IIb followed by Ib, as established in the first part of the movement (in bars 3-9), is the archetypal form of the harmonic motive examined here. However this pattern does show variation: most notably, at the beginning of the second phrase (bars 114-129) where chord V⁷ is twice substituted for IIb. This substitution relies on scale degrees 2 and 4, in the thirds-based melody line, being common to both chords. What confirms the identity of the constituent phrases is their closing gestures: the motion from IIb through V⁷d back to Ib in 'phrase M' - similar to the procedure at the end of the phrase bars 3-10 - and the circling motion to V, presented twice, at the end of 'phrase N' (also characterised by its length of 4+3 bars).

Though the motivic material comes and goes in a kaleidoscopic fashion (see section 2.2's thematic analysis), the swaying harmonic motion is constant during the principal phrases of this passage. Viewing it in terms of the phrase patterns shown in this analysis suggests several conclusions:

(1) The two 'a' sections, bars 106-142 and bars 162-218, are parallel to each other.

Each 'a' section consists of version of 'phrase M' followed by a version of 'phrase N'. Both these elements are clearly harmonically defined.

(2) The pattern described in this analysis creates an internal 'scherzo' form.

Though many writers have identified this passage as a 'scherzo', none has spotted the internal phrase structure which is characteristic of such a form. The typical outline of a scherzo movement, in terms of its material, is | a | b a | - a binary form sectionally, but a ternary form thematically. In this scheme, two appearances of the principal material (a) are separated by derived material (b) which is often supported by relatively static harmony⁹. Typically, each of these sections, *a* and *ba*, is repeated, but by this stage in

⁹ These features can be seen in (to pick a random example) the Menuetto of Mozart's Symphony No. 39 in Eb: the two appearances of the principal theme (a) are at bars 1 and 25, and are bridged by an 'upside-down' version of the theme at bar 17, underpinned by dominant harmony.

symphonic history this is rare - as may be seen, for example, from Sibelius’s preceding symphony, the Fourth (second movement)¹⁰.

Here, the two appearances of ‘a’, shown down the right-hand side of the analysis, are separated by a passage of ‘b’, which as in the scherzo of the Fourth Symphony (but more so) has a developmental or transitional character, and furthermore is underpinned by static tonic harmony (though the tonic itself changes towards the end of ‘b’). The recurrence of ‘a’ at bar 162 lends to the passage a sense of ‘arrival’ which reinforces the recent tonal arrival at bar 158. (Thus at this point, as at the beginning of the section, Sibelius coordinates, but staggers, his parameters.)

(3) Bars 106-113, therefore, are inherently a part of a section from bar 106 to bar 142.

They hence cannot easily be separated from this passage and relegated to the previous section or movement. The sense that a movement division would be best postulated *before* bar 106 rather than some time after it is confirmed by the strong parallelism and the scherzo pattern described in (1) and (2) above.

(4) The identity of the tonic is ‘corrected’ during the course of this section.

Following the modulatory ‘b’ section, the second ‘a’ section presents the earlier material with its tonic colour ‘corrected’ from B major into E-flat major – as part of the gradual generative process of this passage. Hepokoski has identified the onset of correct ‘tonic colour’ at bar 158¹¹, but a sense of this being achieved by sub-rotations of musical material (which he identifies in other places¹²) contributes to the tonal-dramatic view of the role of this moment in the piece.

¹⁰ The form of the Fourth Symphony’s scherzo may be seen as follows:

bar / rehearsal letter	opening	letter B	circa letter D	letter G	letter K
material	a	b	(development)	a	Trio.

There is hence no repeat of the ‘a’ or ‘b a’ section, though the form is otherwise clear.

¹¹ Hepokoski, *Sibelius: Symphony No. 5*, p.68.

¹² See discussion on pages 23-24, and also page 63 on the opening of the movement (Hepokoski, *Sibelius: Symphony No.5*).

Points (1), (2) and (3) contribute to the sense that bar 106 might be regarded as a strong contender for the point of potential movement division, by establishing a *Gestalt* which begins at bar 106 (and continues uninterrupted by bar 114) - whilst all four points contribute towards a deeper understanding of the passage. Of course, there are other arguments which support a different point of change, and these are discussed in the text in section 2.5, under the heading 'Locating the movement division'.

Appendix 3: Discography

Recordings [1]-[36] are here identified in the simple format:

[reference number] conductor surname + orchestra (year of release).

For full details of these recordings see Thomas, *The Symphonies of Jean Sibelius: A Discography*, p.53-57. (The recording numbers of the exact versions I used are listed in Example 3-30 above). For numbers [B1]-[B6] a conductor forename and recording number are added to aid identification, since not all these recordings appear in Thomas's discography. Sanderling's recording (number [22]) was in fact released in 1976, and has been placed in the list accordingly, whereas Thomas's discography gives 'c1974' as an approximation. The choice of recordings, and the omission of recording number [6], are discussed further in section 3.1.1 under the heading 'The set of recordings'.

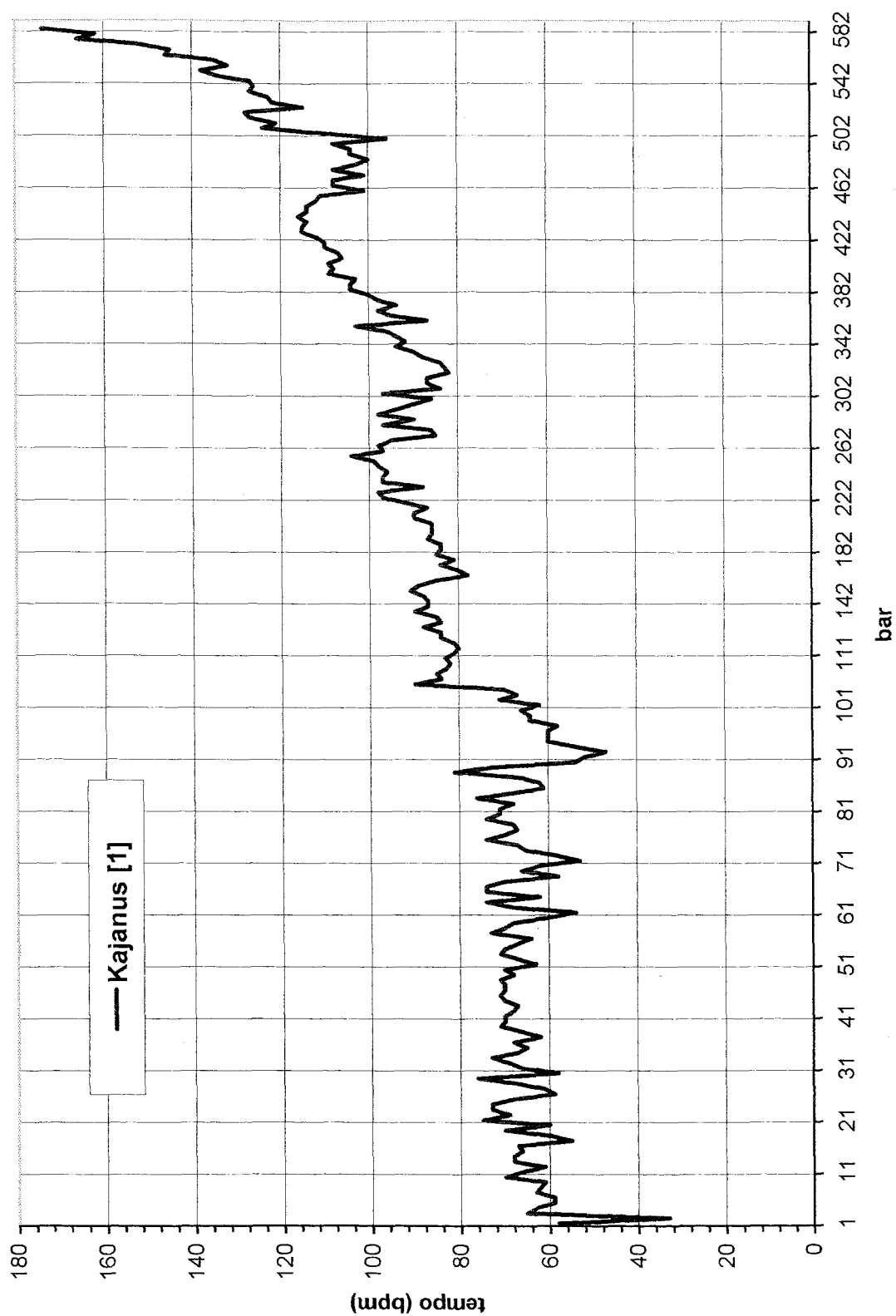
- [1] Kajanus + LSO (1932)
- [2] Koussevitsky + Boston SO (1940)
- [3] Leinsdorf + LPO (1949)
- [4] Tuxen + Danish Radio (1952)
- [5] Karajan + Philharmonic (1953)
- [6] Ehrling + Stockholm Radio (1953) [not available]
- [7] Collins + LSO (1955)
- [8] Ormandy + Philadelphia (1956)
- [9] Hannikainen + Sinfonia of London (1958)
- [10] Barbirolli + Hallé (1959)
- [11] Sargent + BBC SO (1959)
- [12] Gibson + LSO (1960)
- [13] Karajan + Philharmonia (1961)
- [14] Karajan + BPO (1965)
- [15] Bernstein + NYPO (1966)
- [16] Maazel + VPO (1966)
- [17] Barbirolli + Hallé (1967)
- [18] Prêtre + NPO (1968)
- [19] Berglund + Bournemouth SO (1975)
- [20] Gibson + SNO (1975)
- [21] Colin Davis + Boston SO (1975)

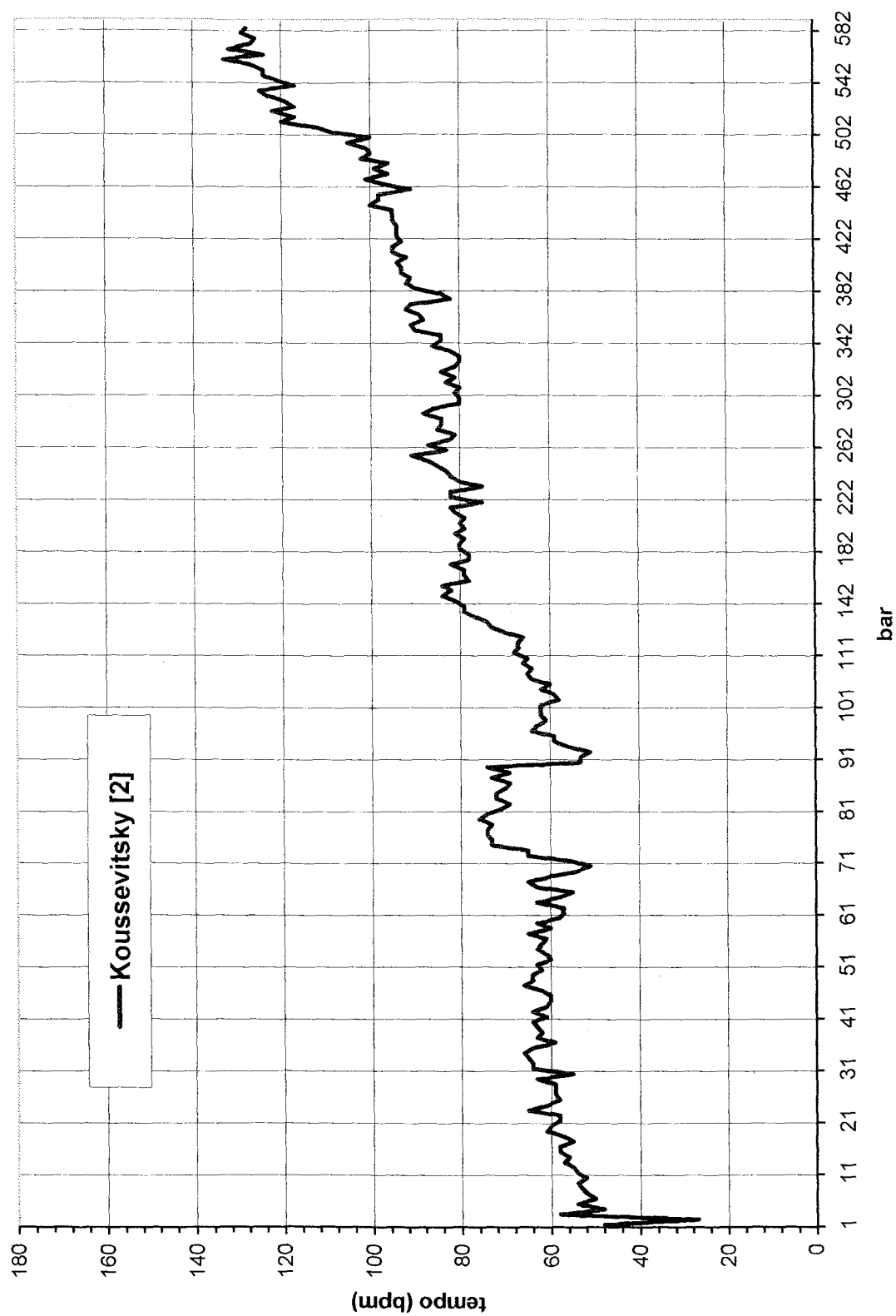
- [22] Sanderling + Berlin SO (1976)
- [23] Tjeknavorian + RPO (1976)
- [24] Karajan + BPO (1978)
- [25] Ormandy + Philadelphia (1979)
- [26] Rozhdestvensky + Moscow Radio SO (1980)
- [27] Panula + Helsinki PO (1981) [perf. 1969]
- [28] Ashkenazy + Philharmonia (1981)
- [29] Rattle + Philharmonia (1982)
- [30] Gibson + SNO (1983)
- [31] Kondrashin + Concertgebouw (1985) [perf. 1976]
- [32] Salonen + Philharmonia (1987)
- [33] Bernstein + VPO (1987)
- [34] Rattle + CBSO (1988)
- [35] Berglund + Helsinki PO (1989) [perf. 1986]
- [36] Saraste + Finnish RSO (1989)

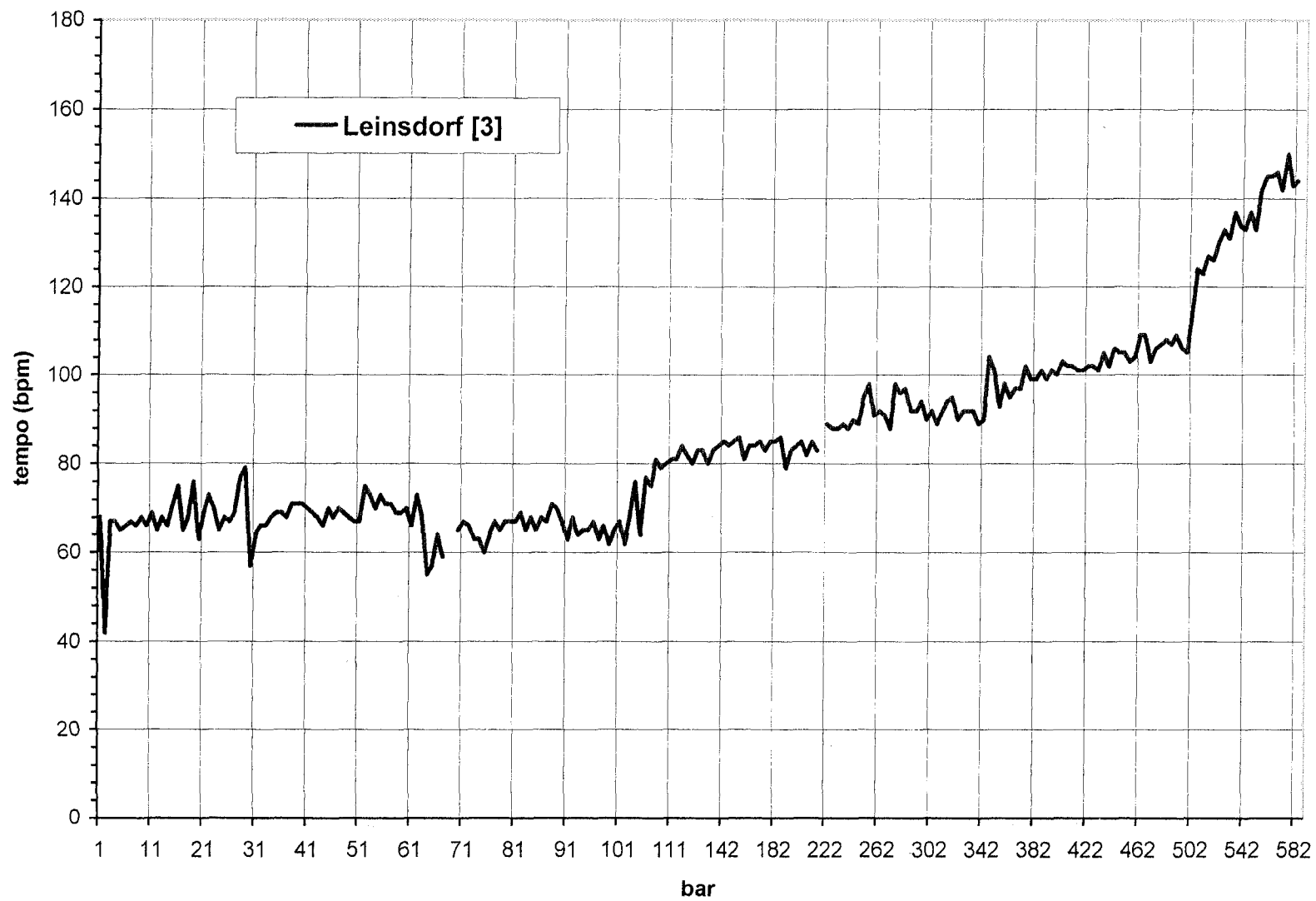
- [B1] Jascha Horenstein + BBC Northern SO (1992) [perf. 1971] Intaglio INCD 7331
- [B2] Sergui Celibidache + Danish Radio SO (1995) [perf. 1971] SH 863
- [B3] Neeme Järvi + Gothenburg SO (1983) BIS CD222
- [B4] Yoel Levi + Atlantic SO (1990) Telarc CD 80246
- [B5] Herbert Blomstedt + San Francisco Symphony (1993) DG 425 858-2
- [B6] Andrew Davis + BBC SO (1996) Live broadcast, Radio
Three, 10/10/96.

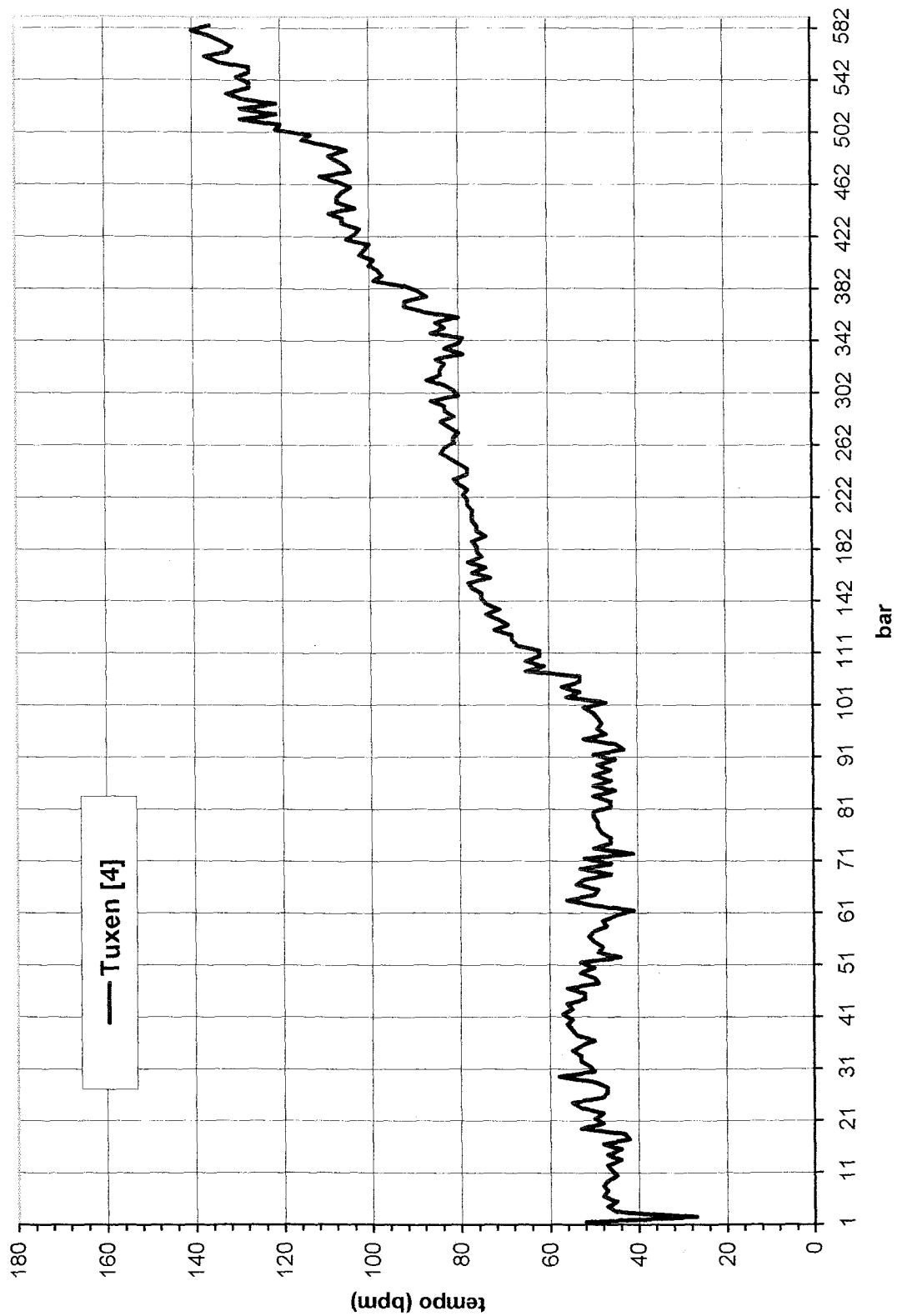
Appendix 4: Set of reference graphs

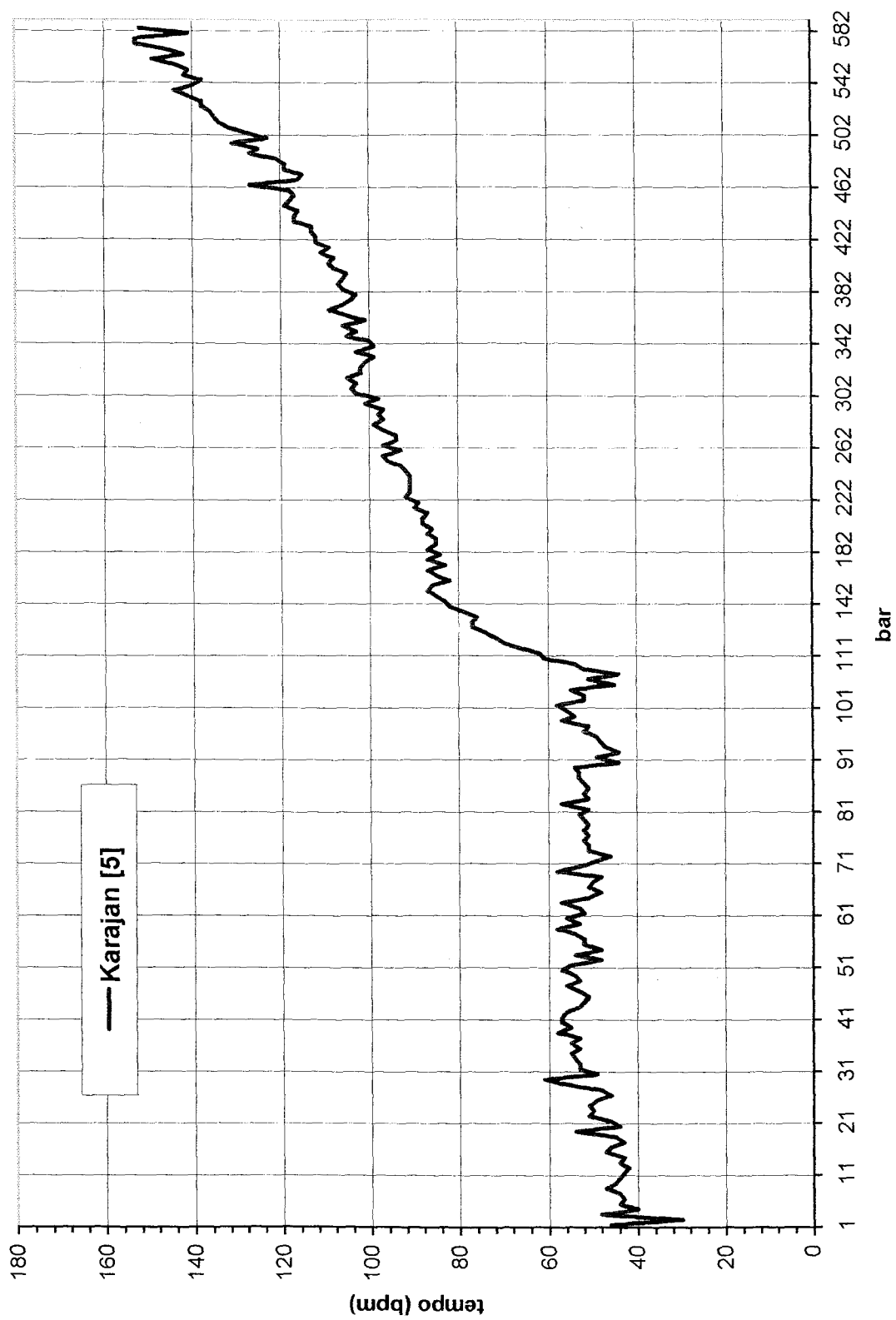
This appendix presents the forty-one performances from the collection listed in Appendix 3 in the form of a tempo graph for each one. The graphs are arranged in order by their reference number, so that the list in Appendix 3 may be used as an aid in locating a particular recording.

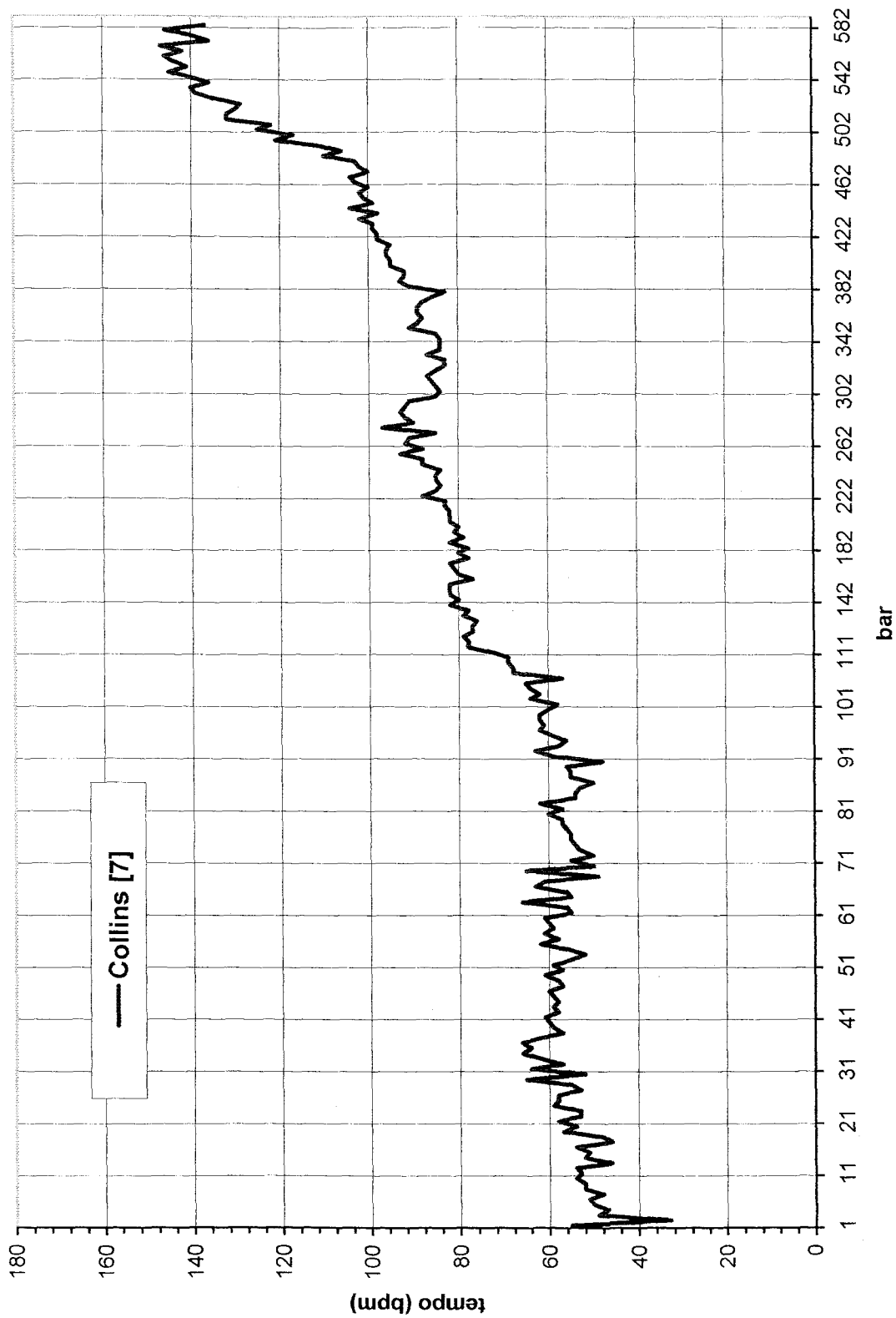


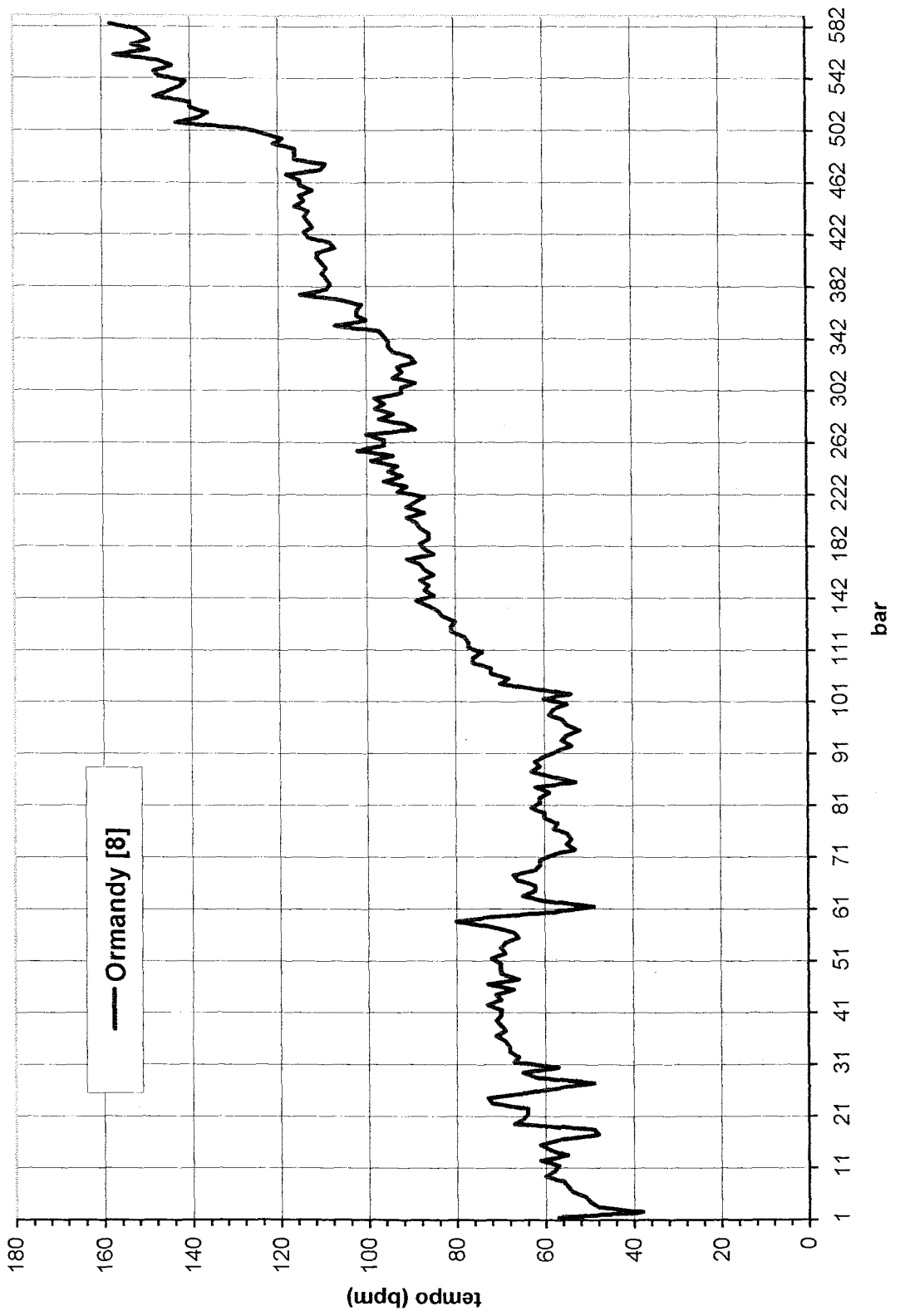


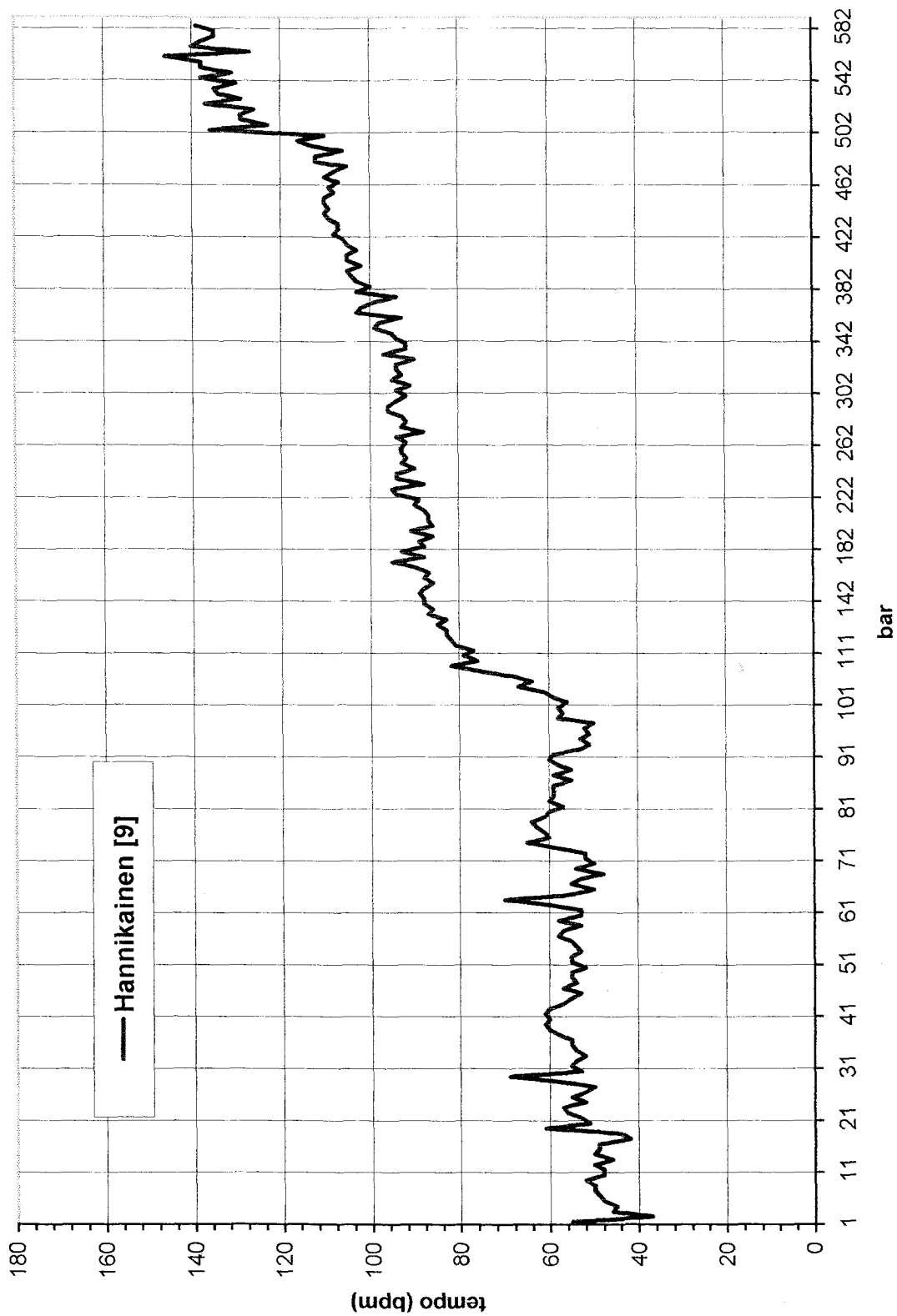


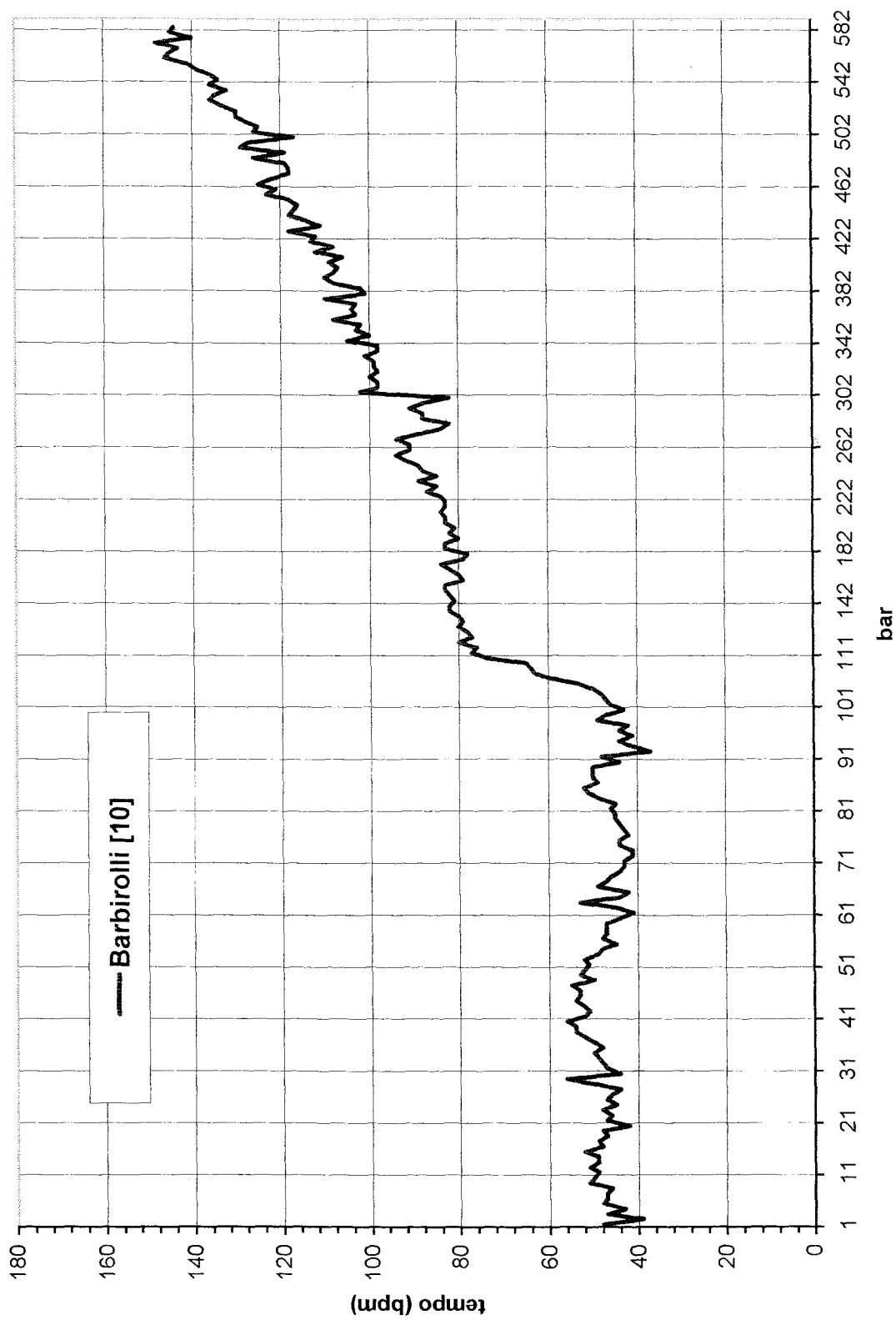


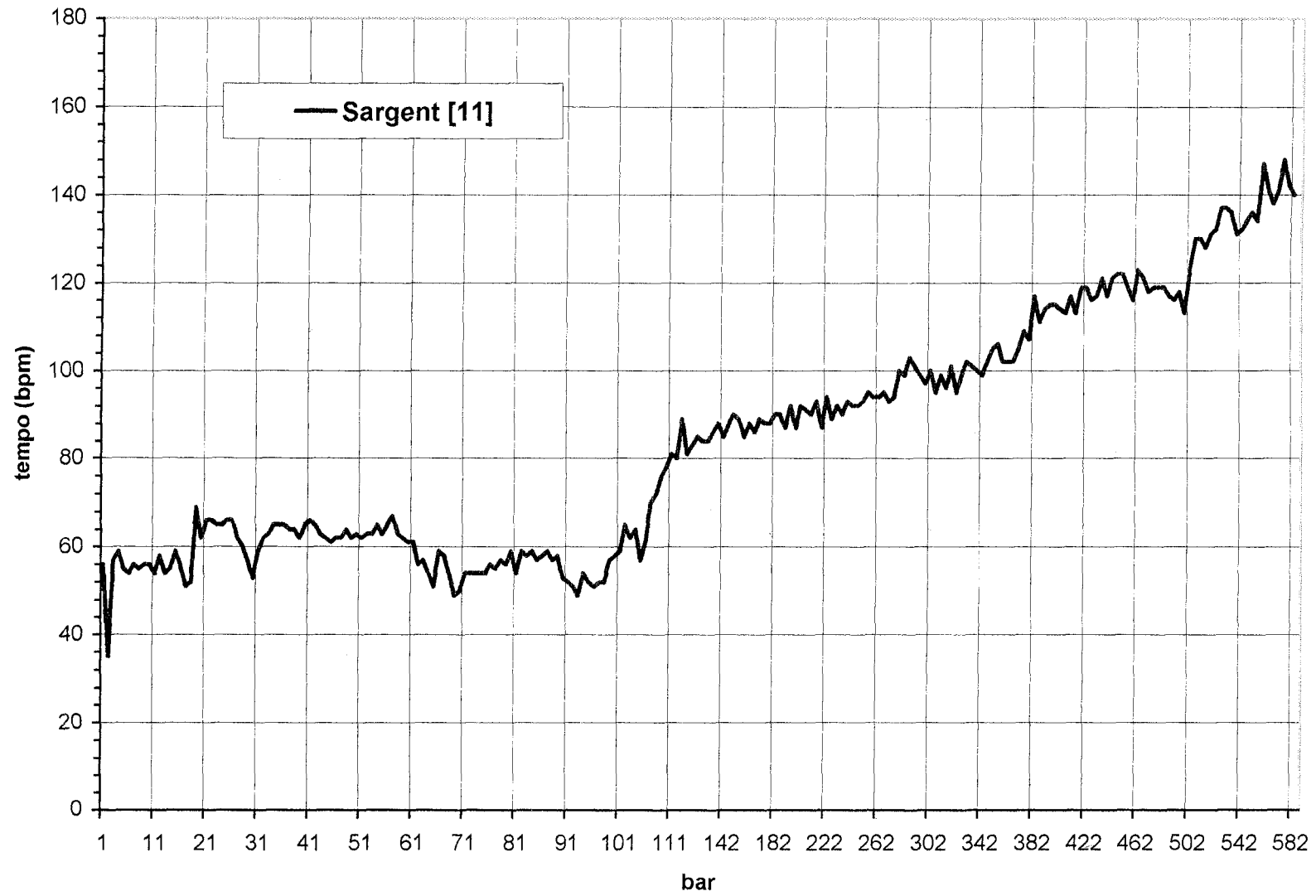


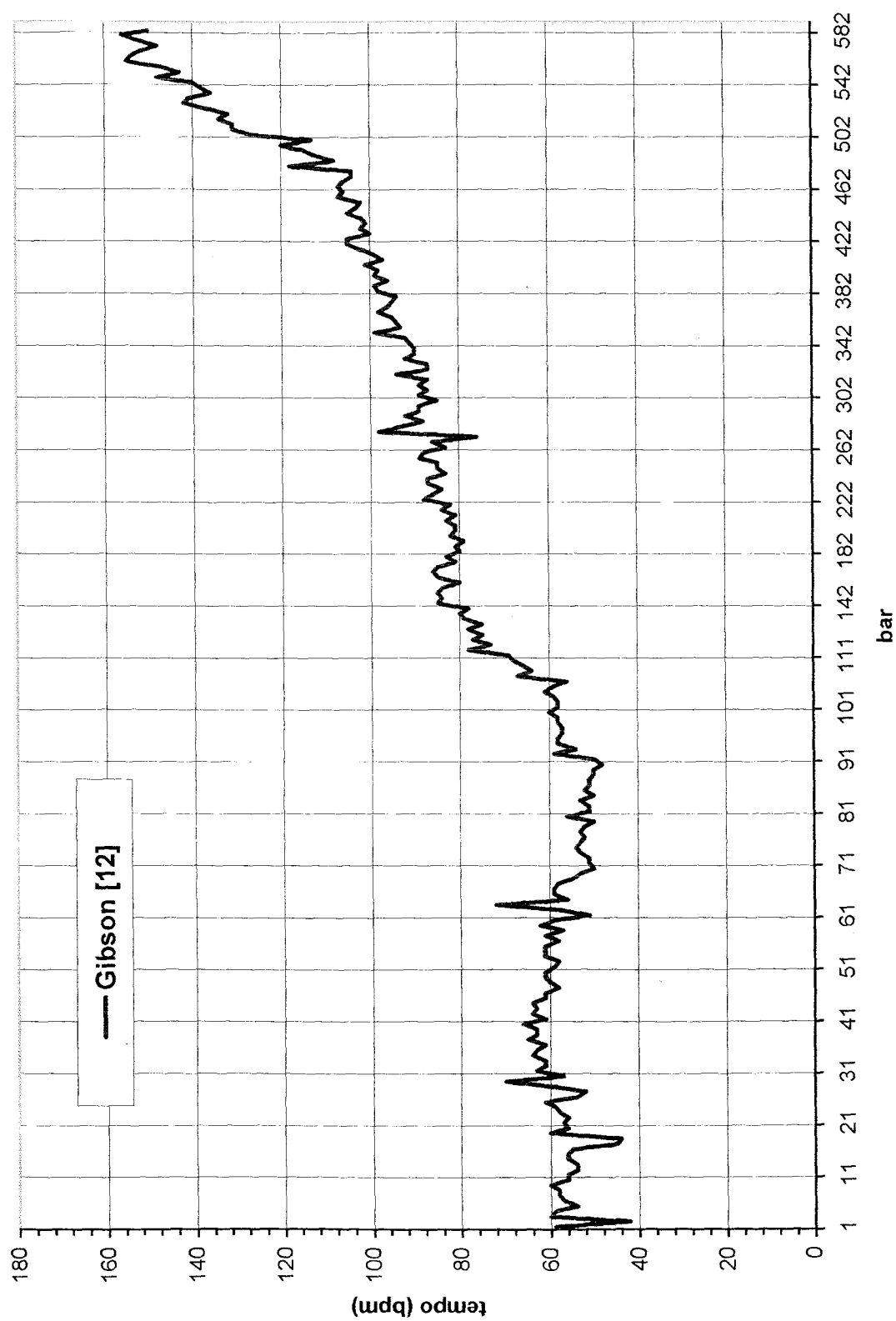


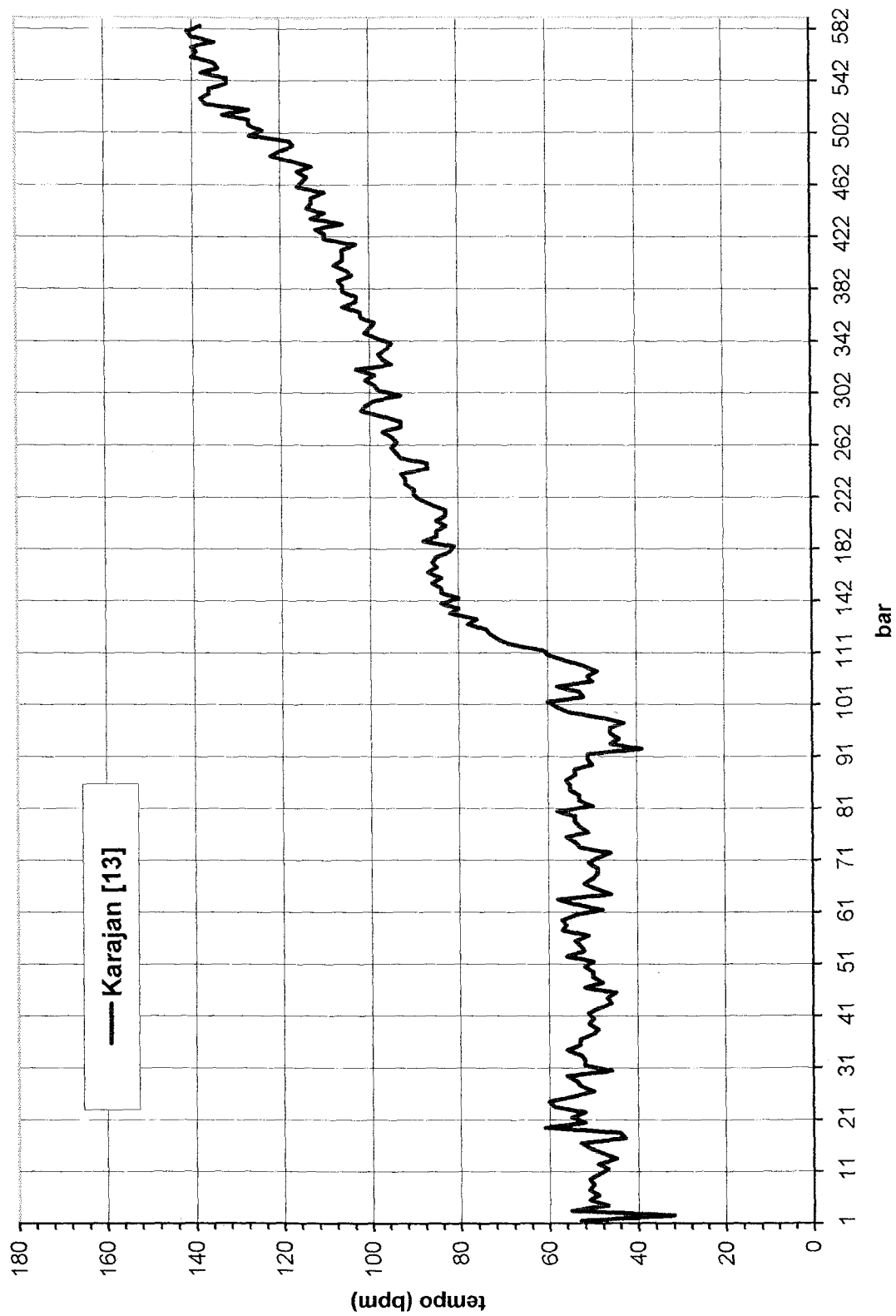


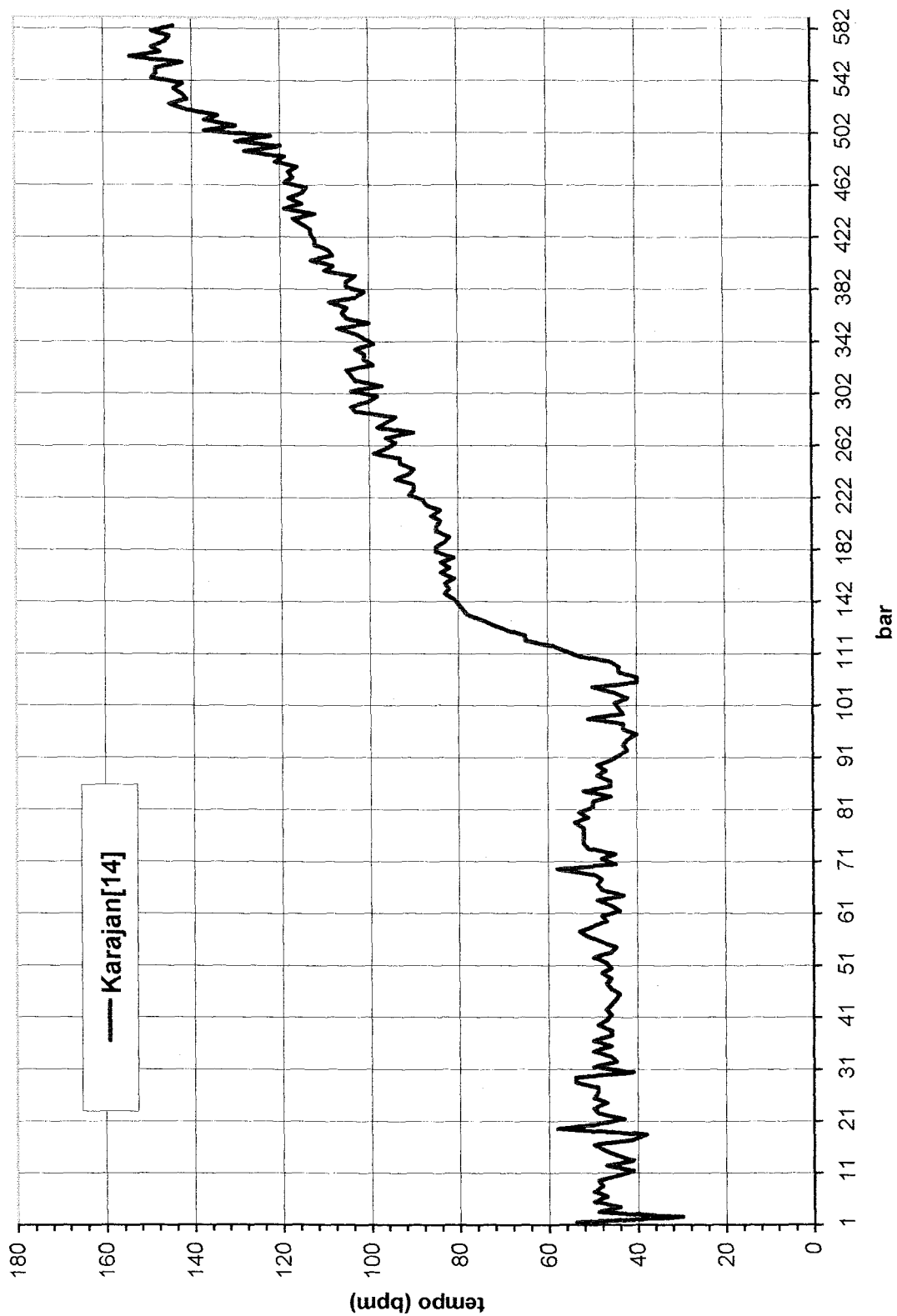


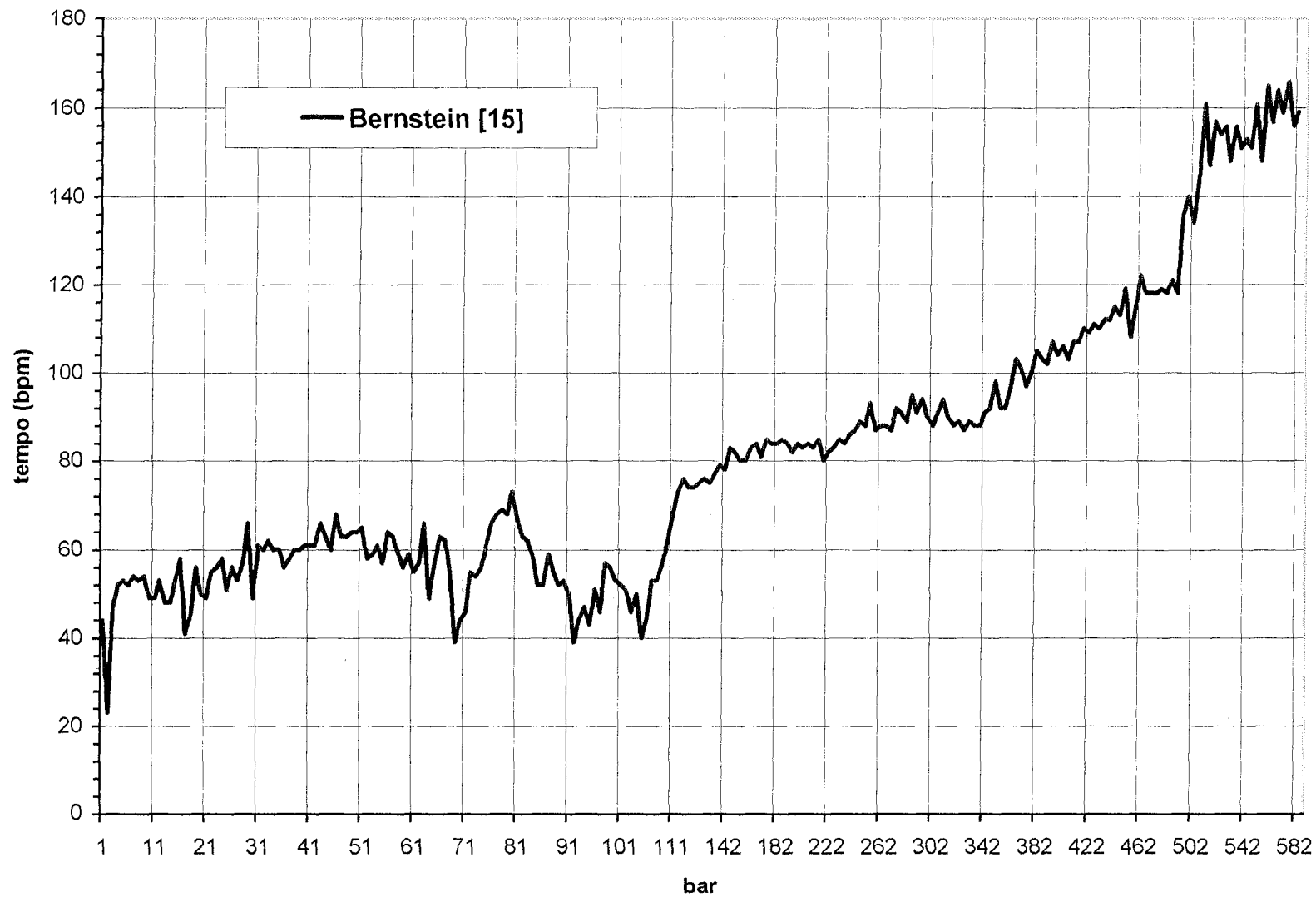


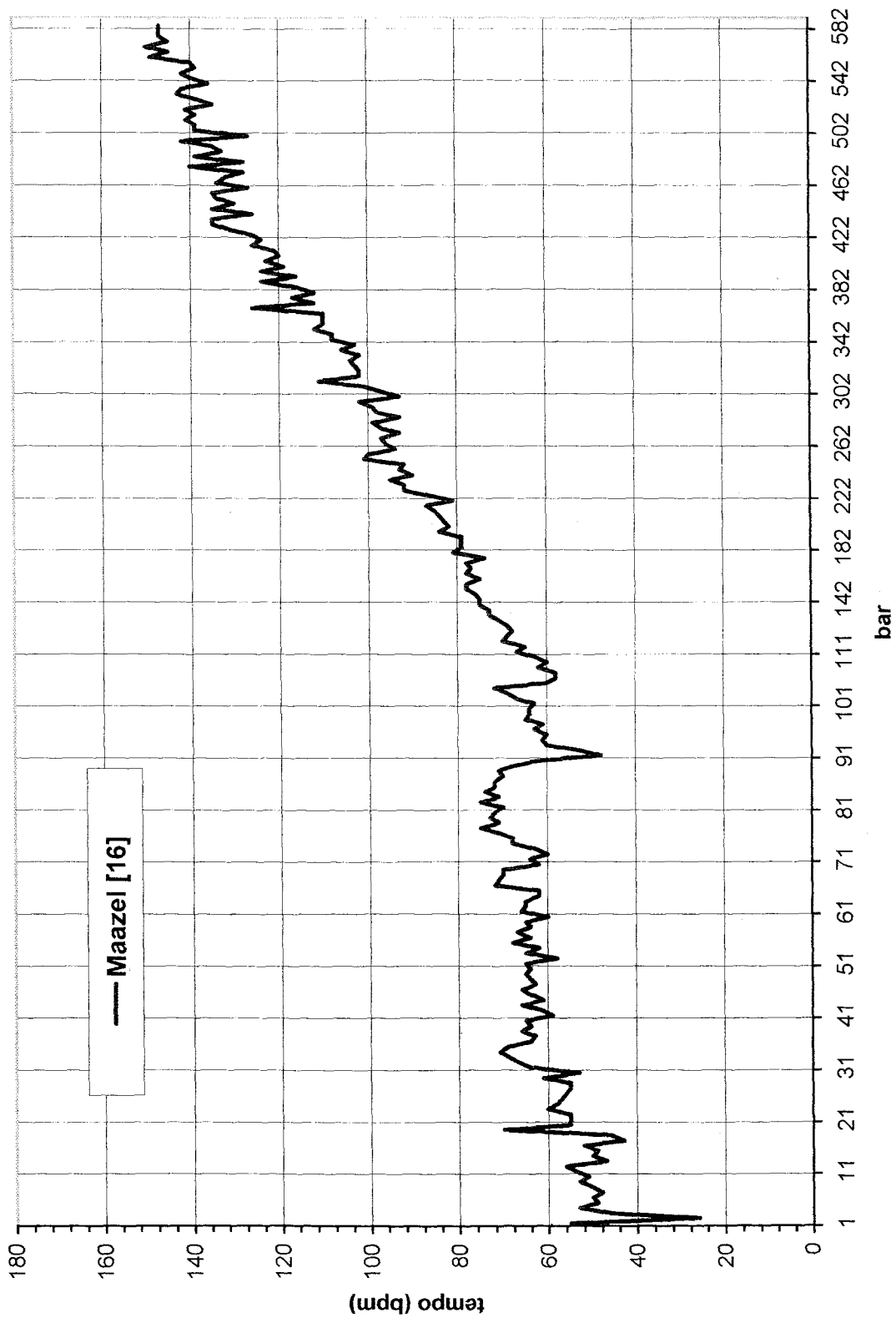


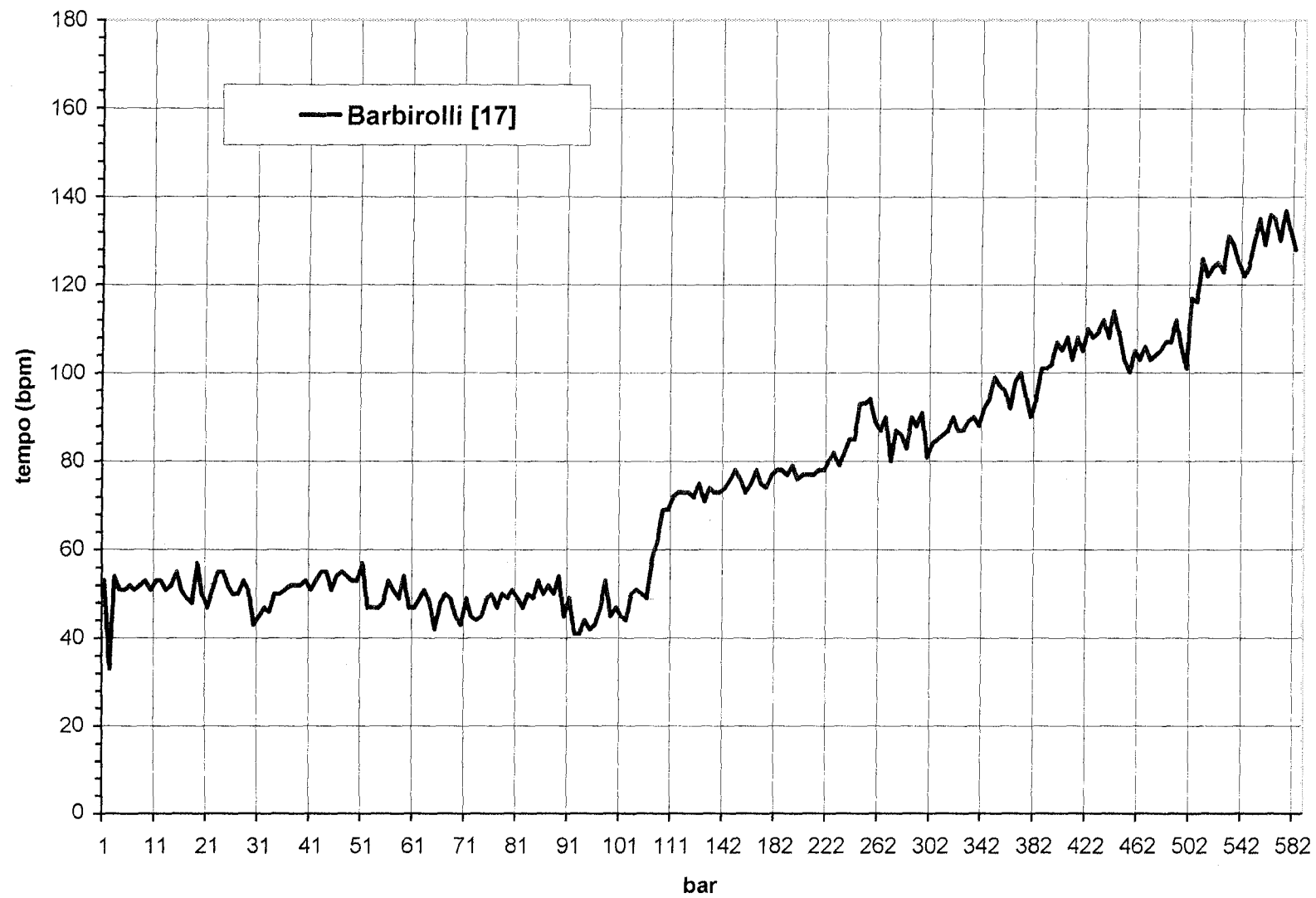


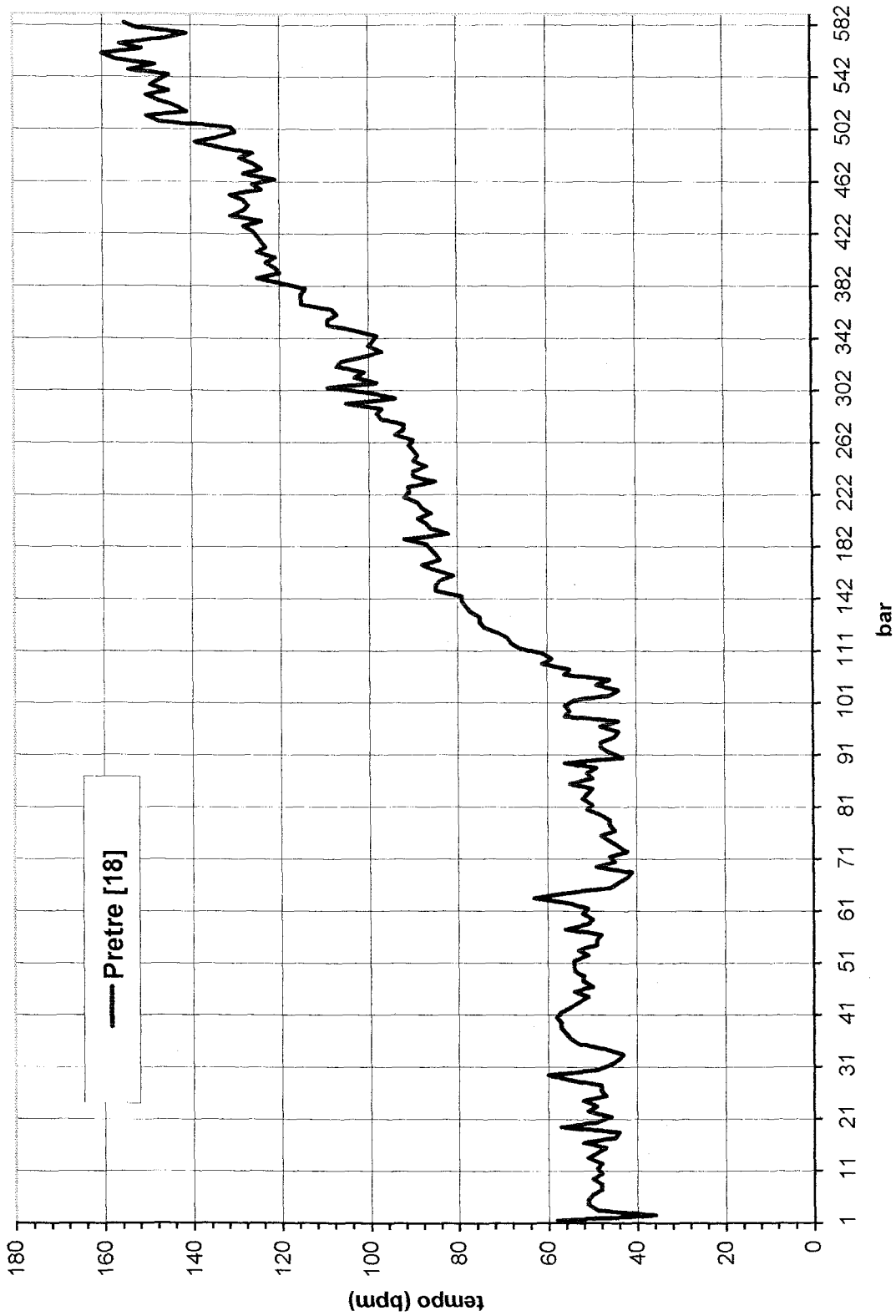


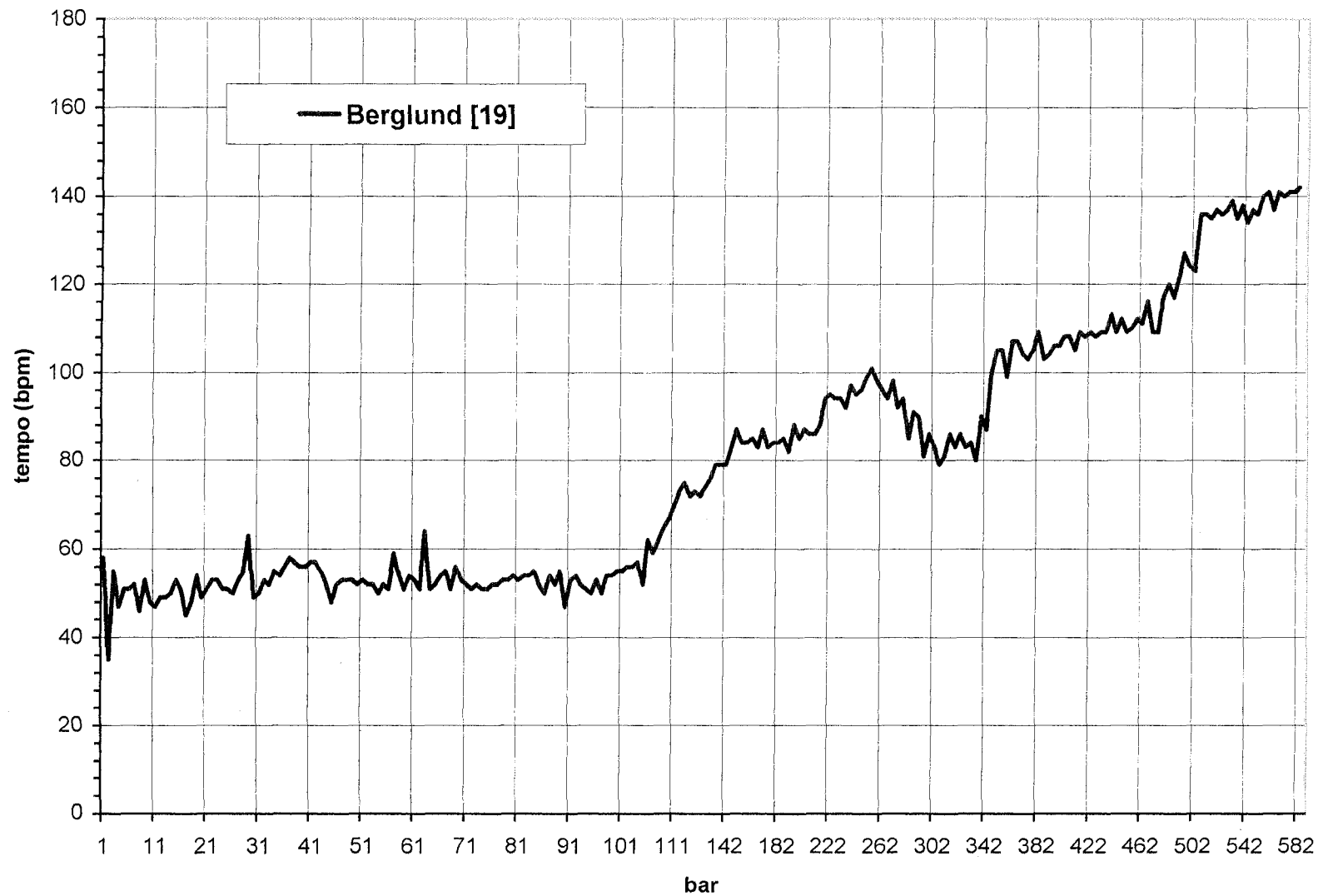


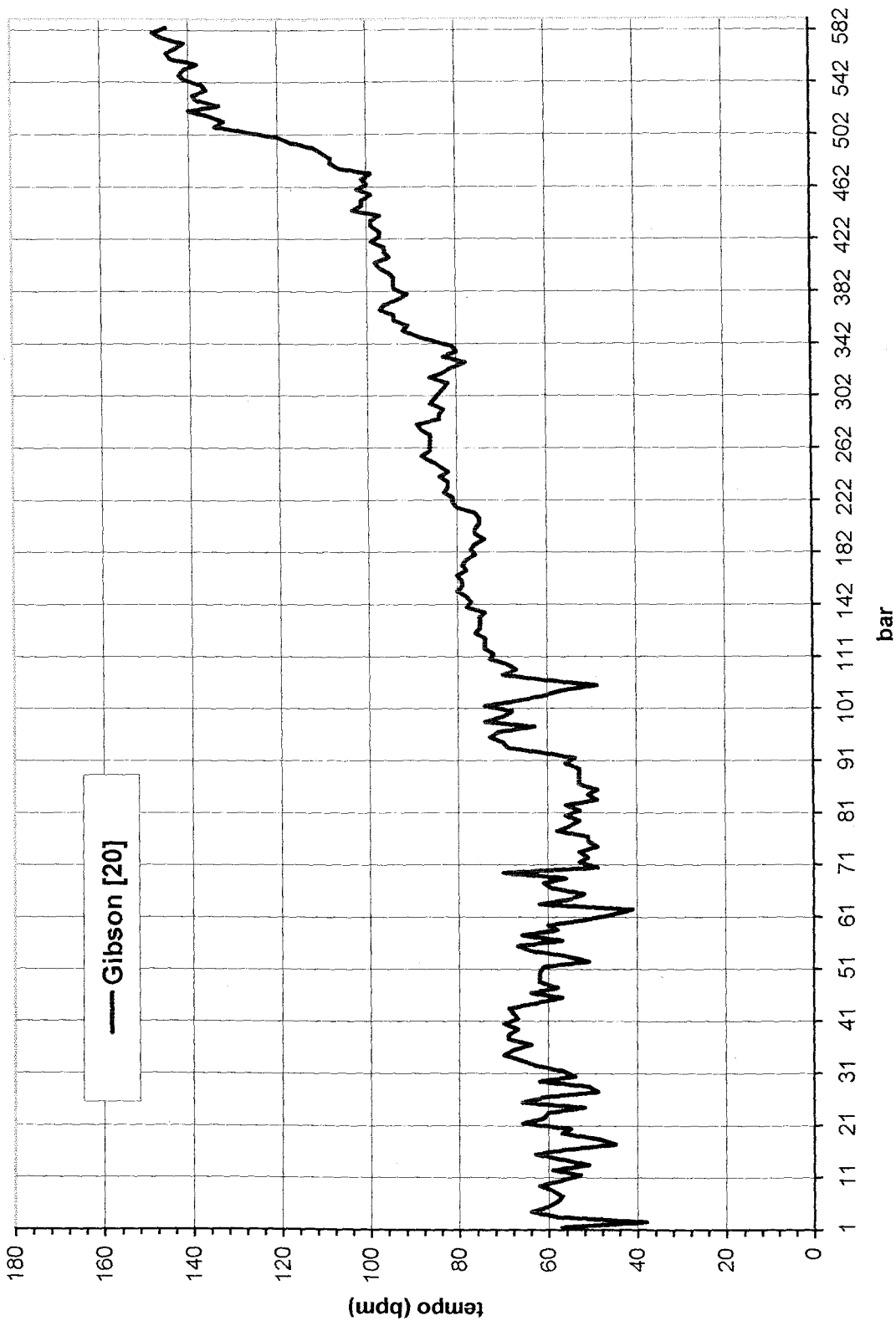


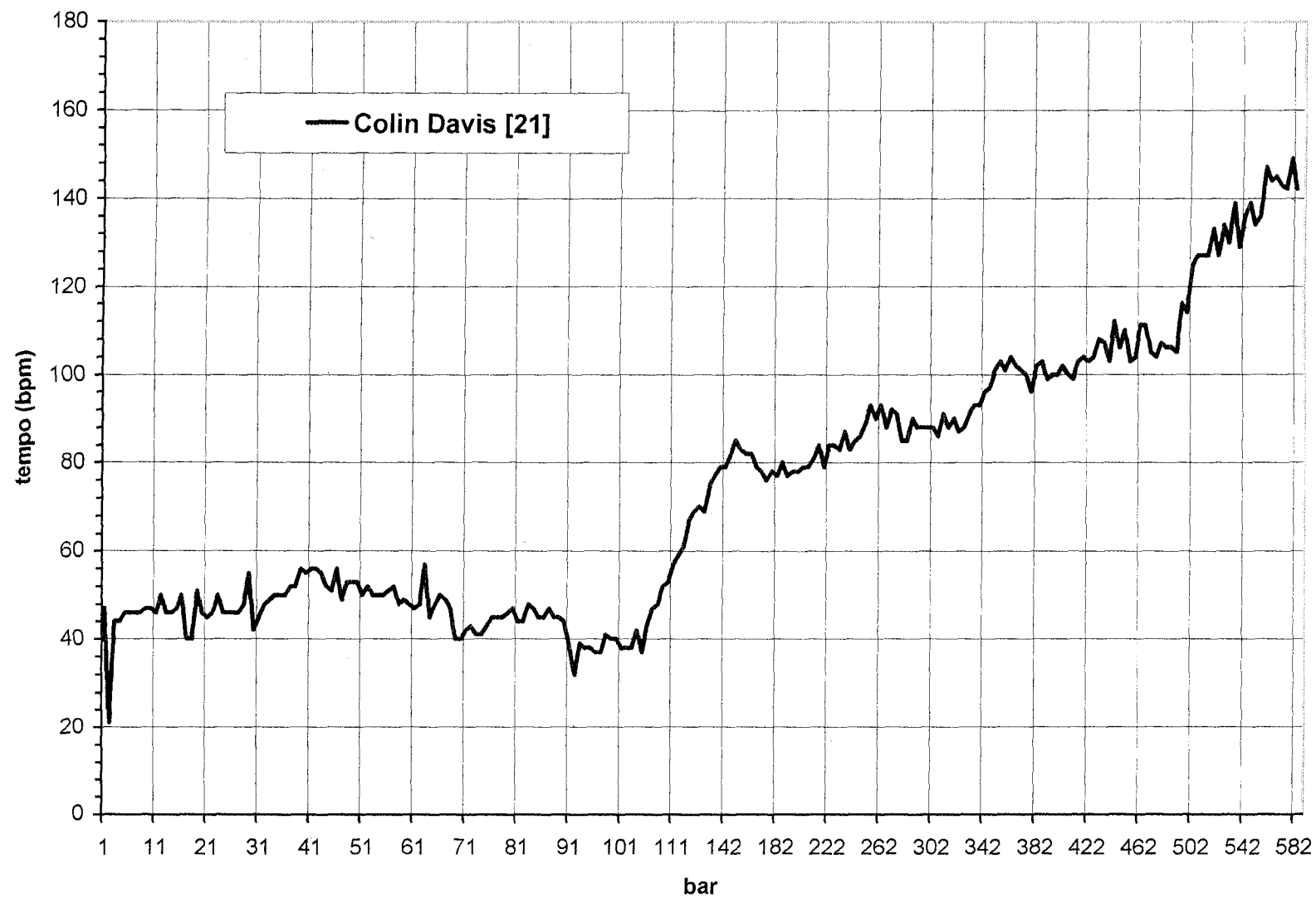


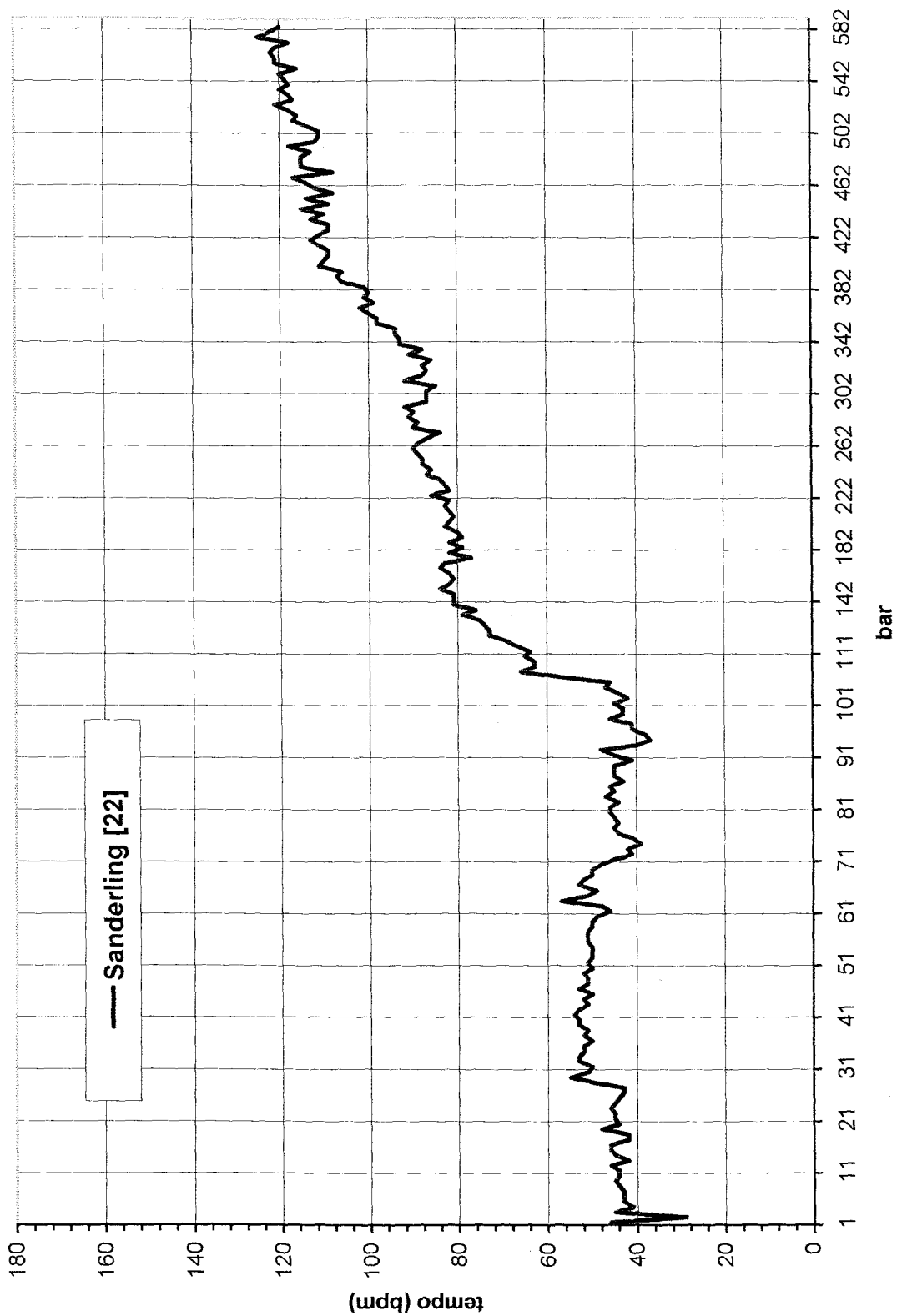


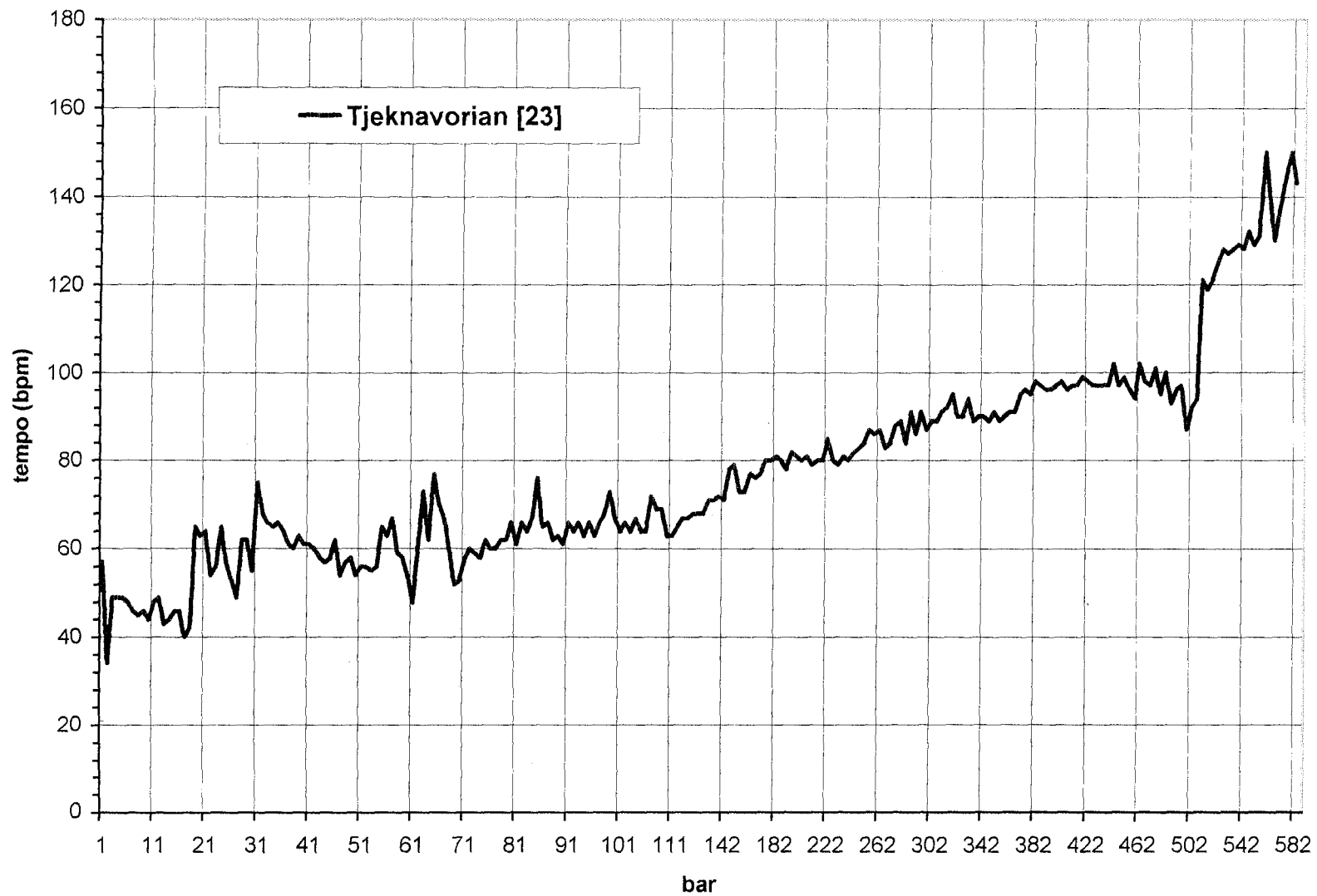


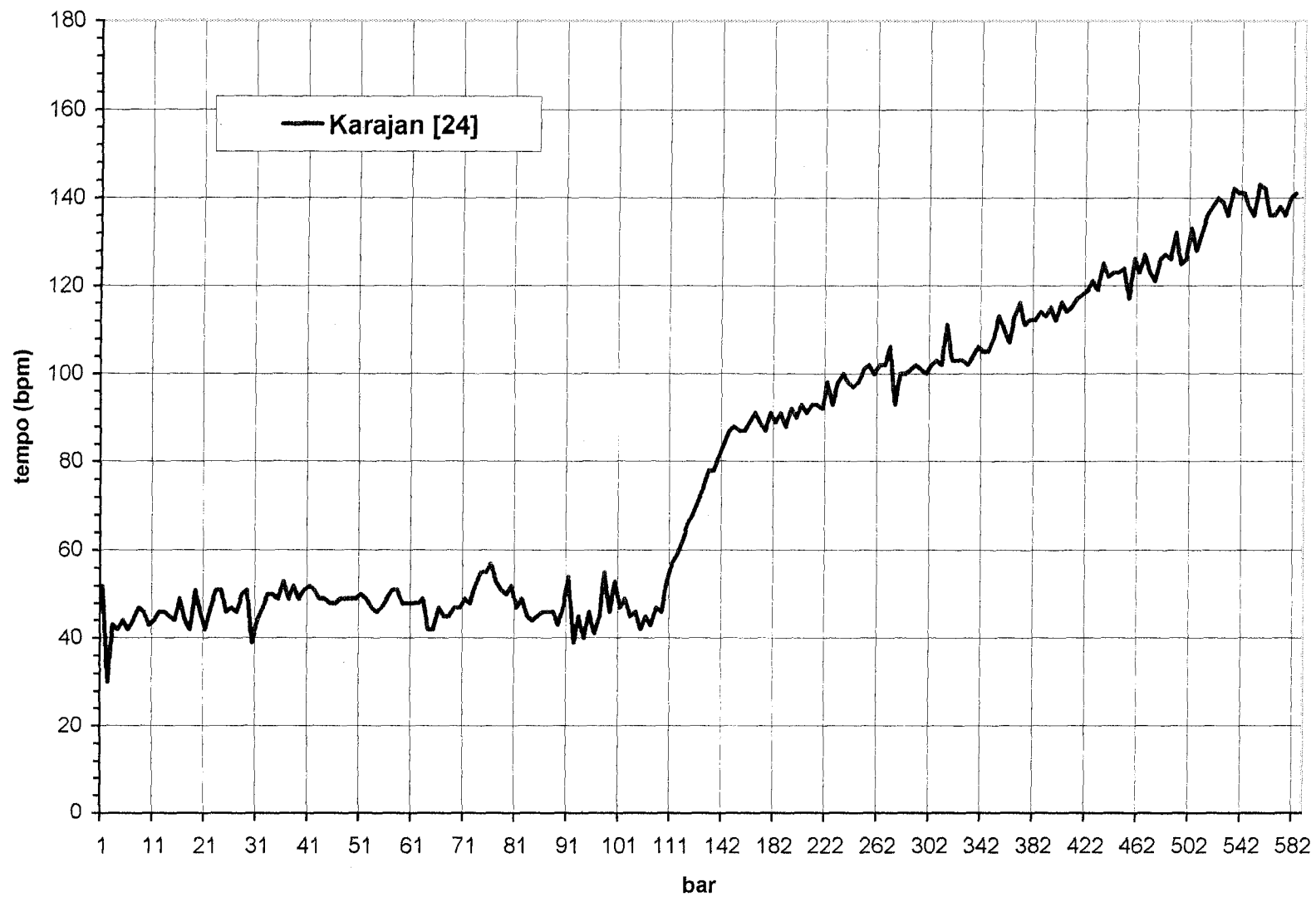


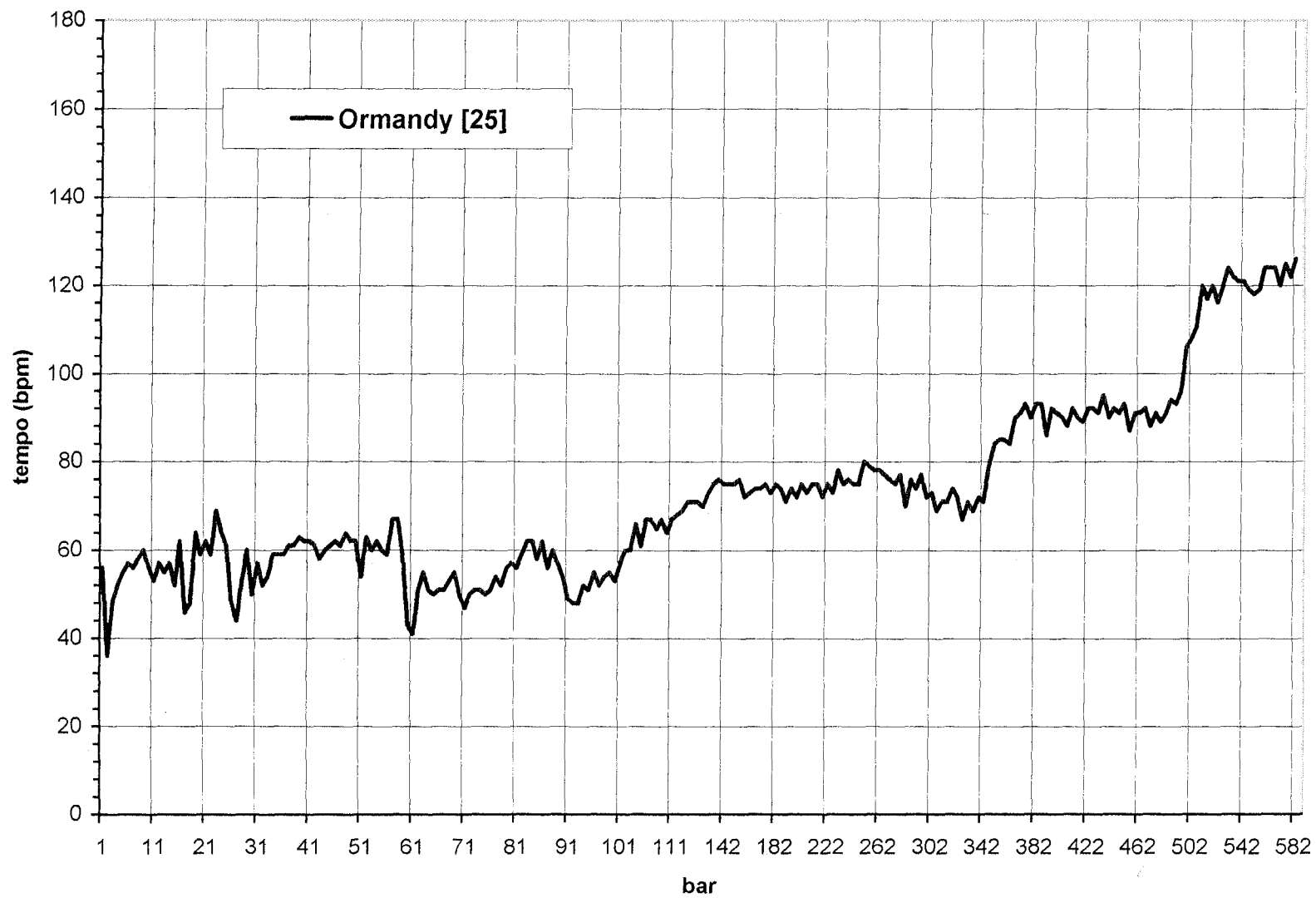


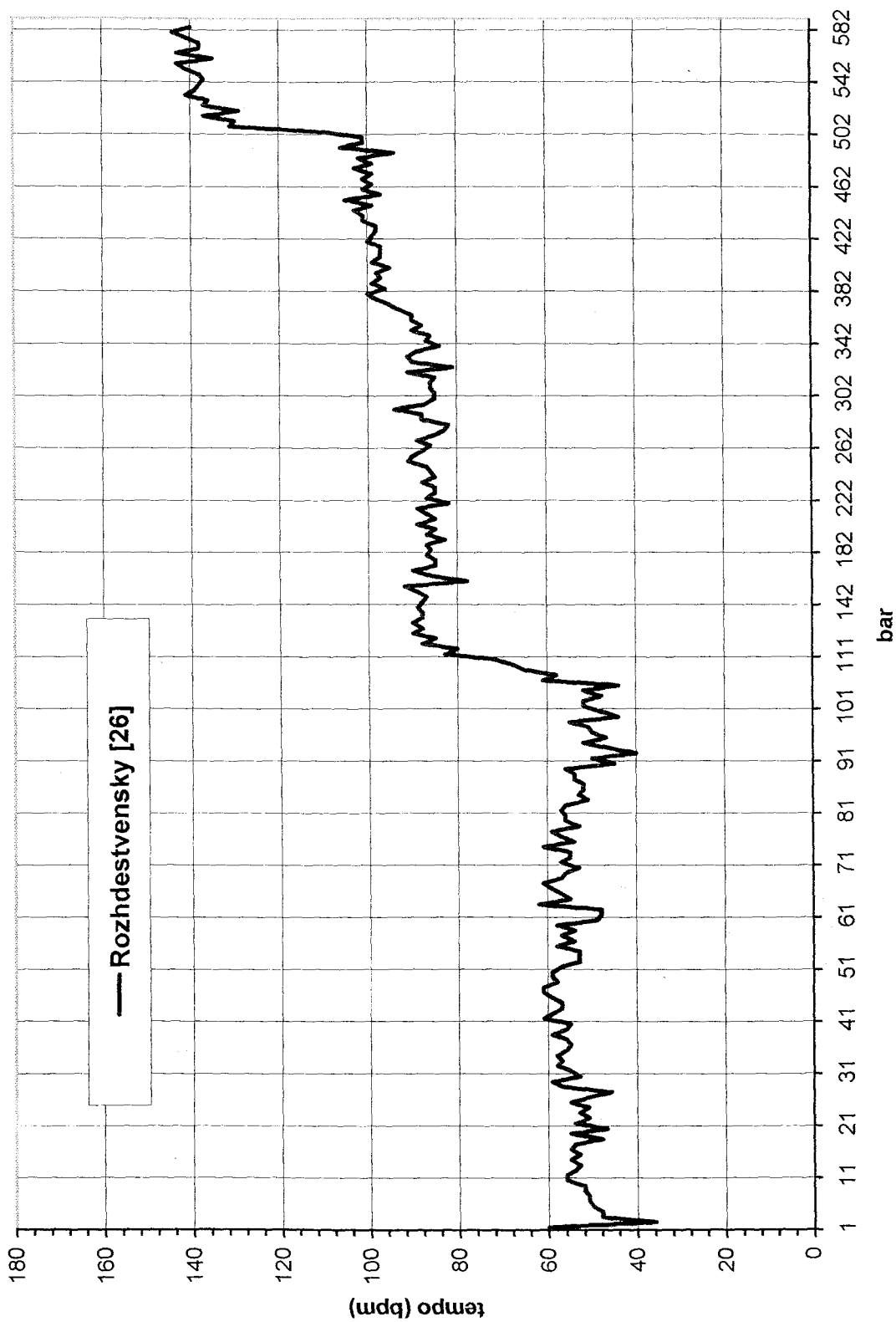


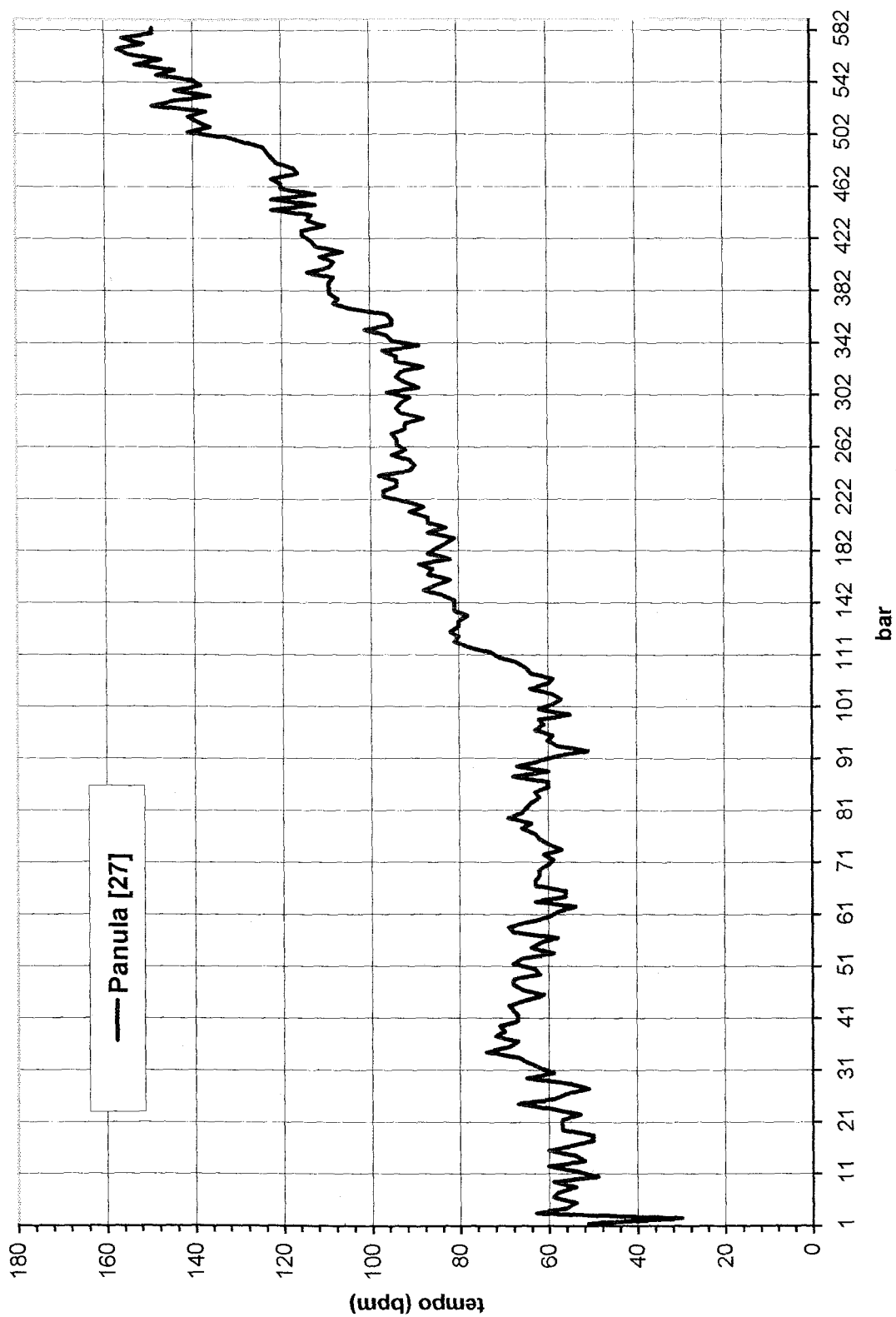


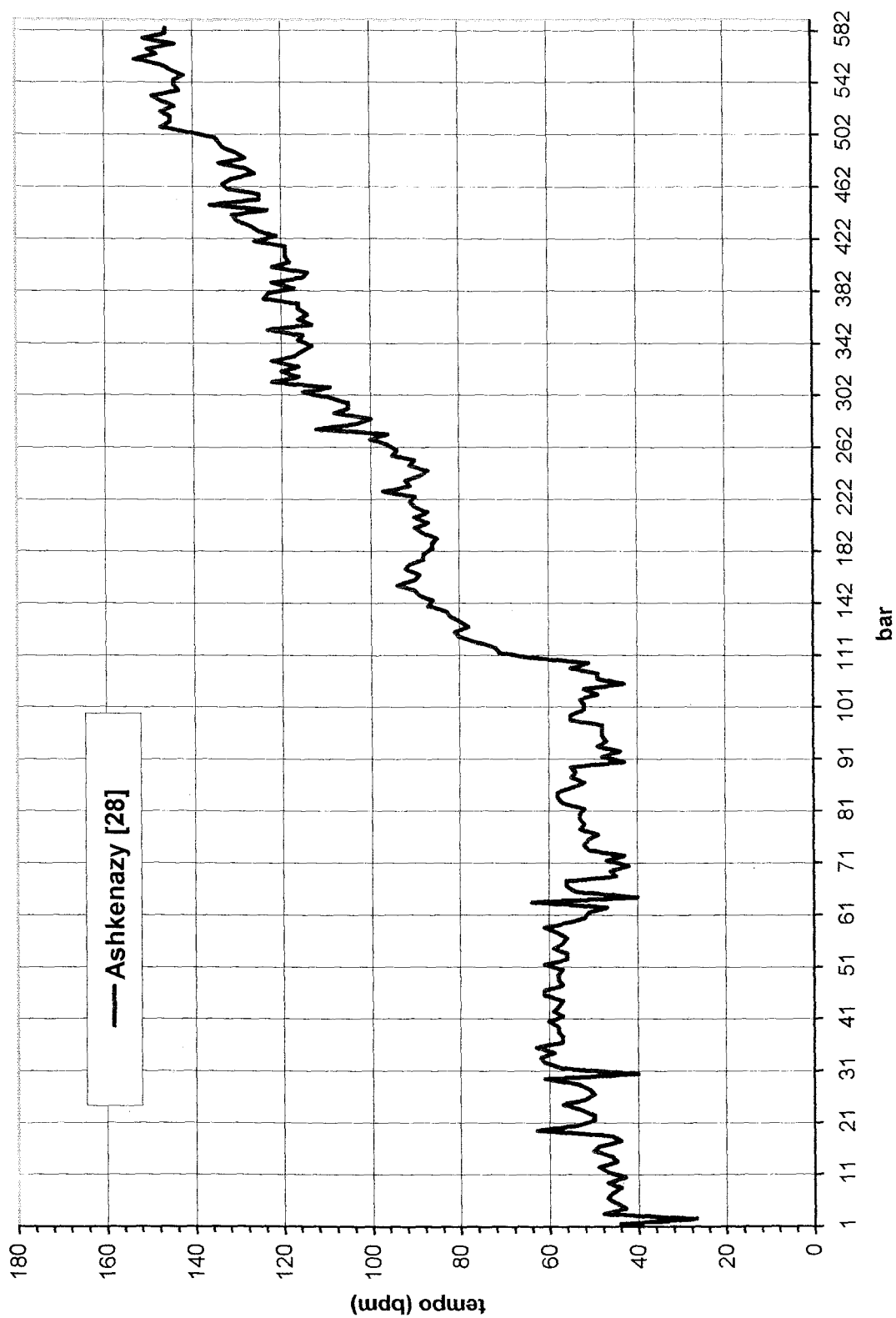


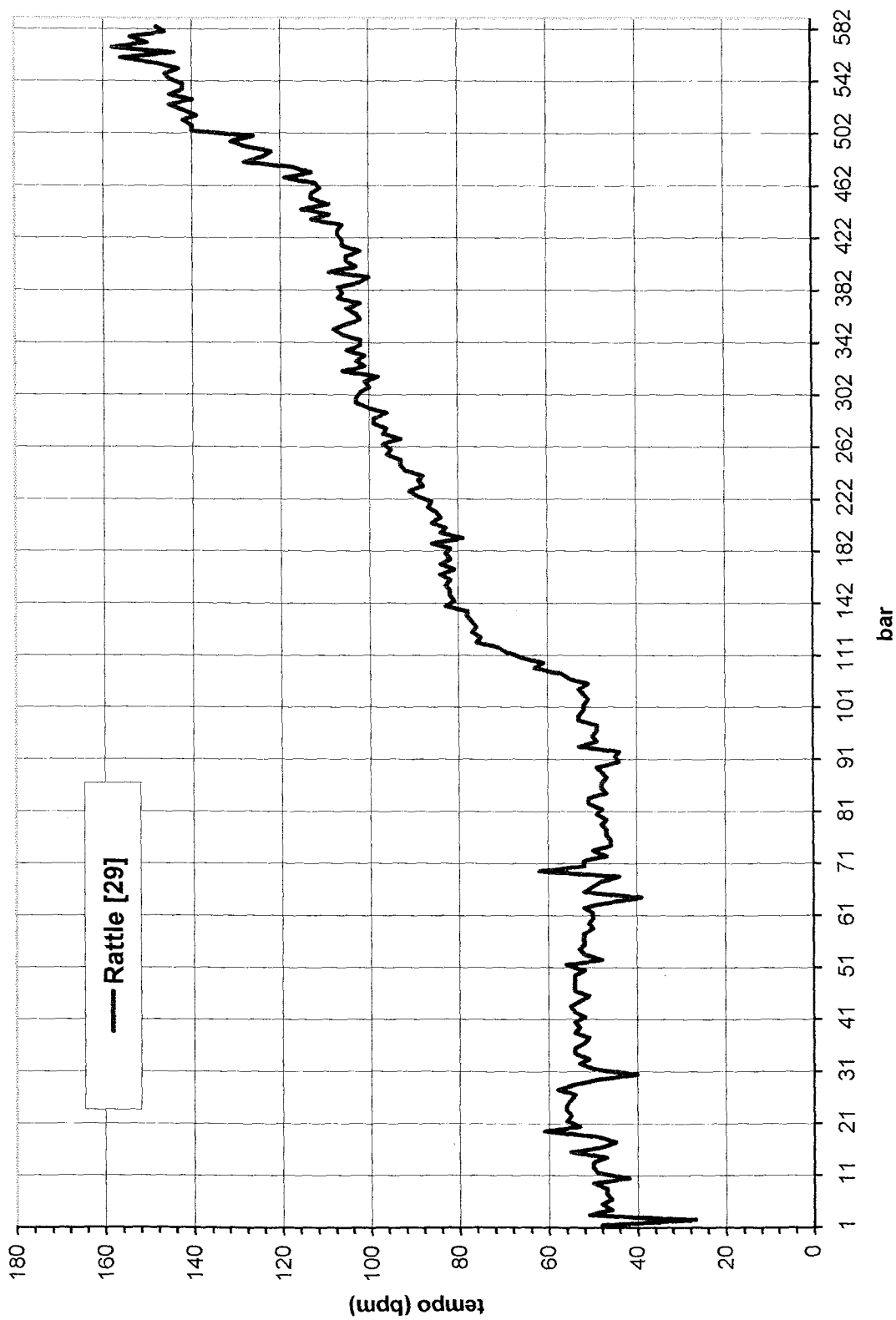


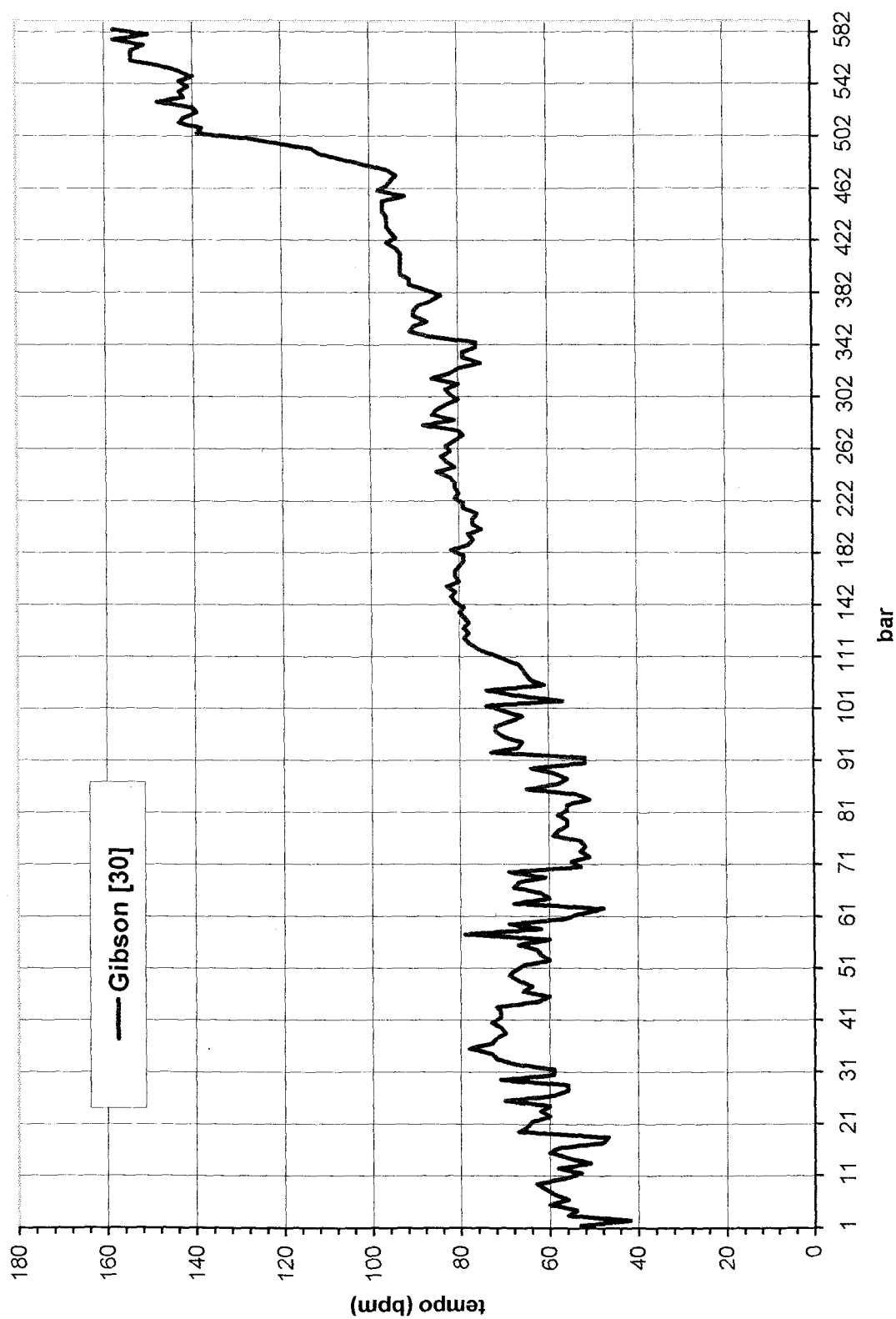


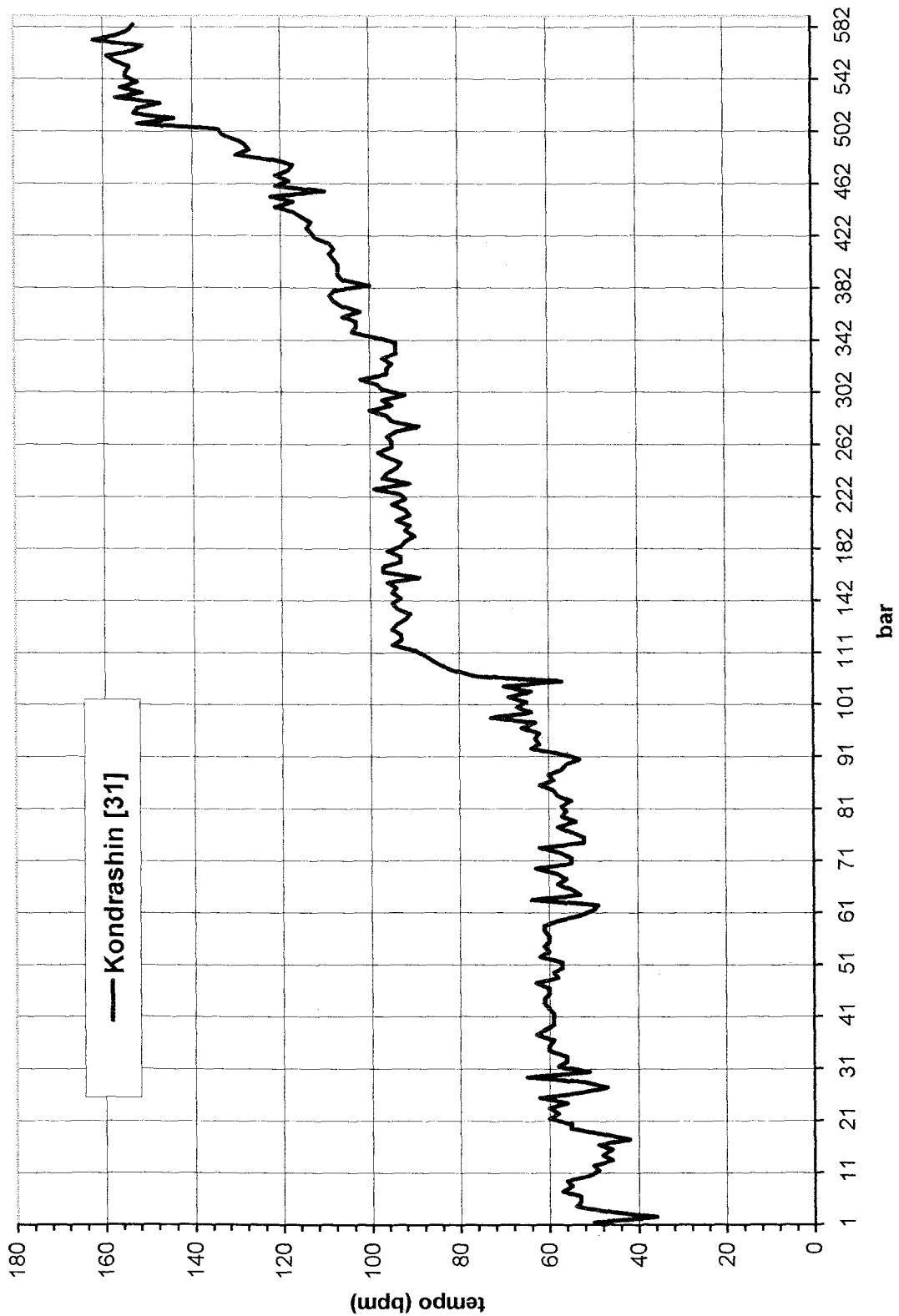


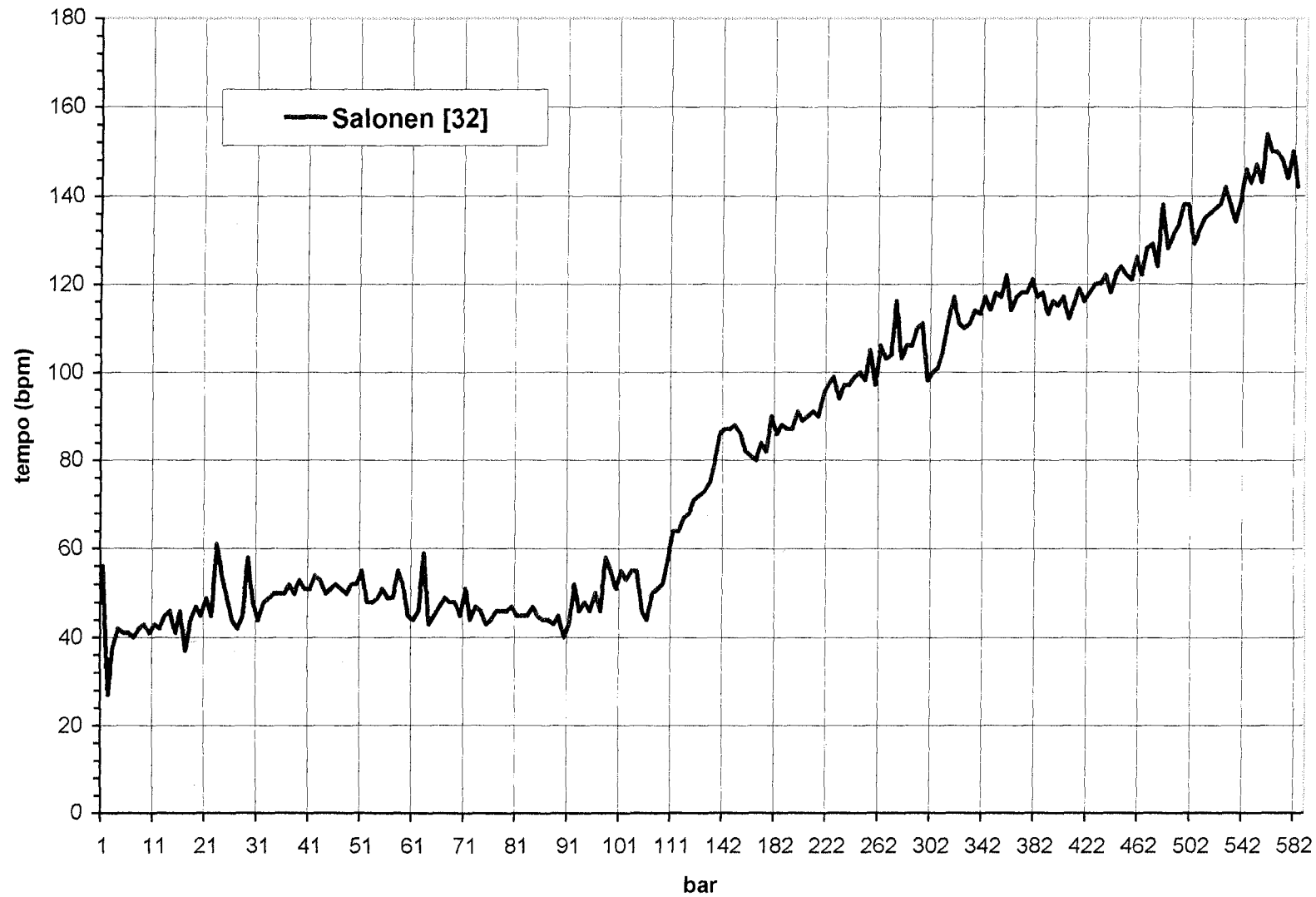


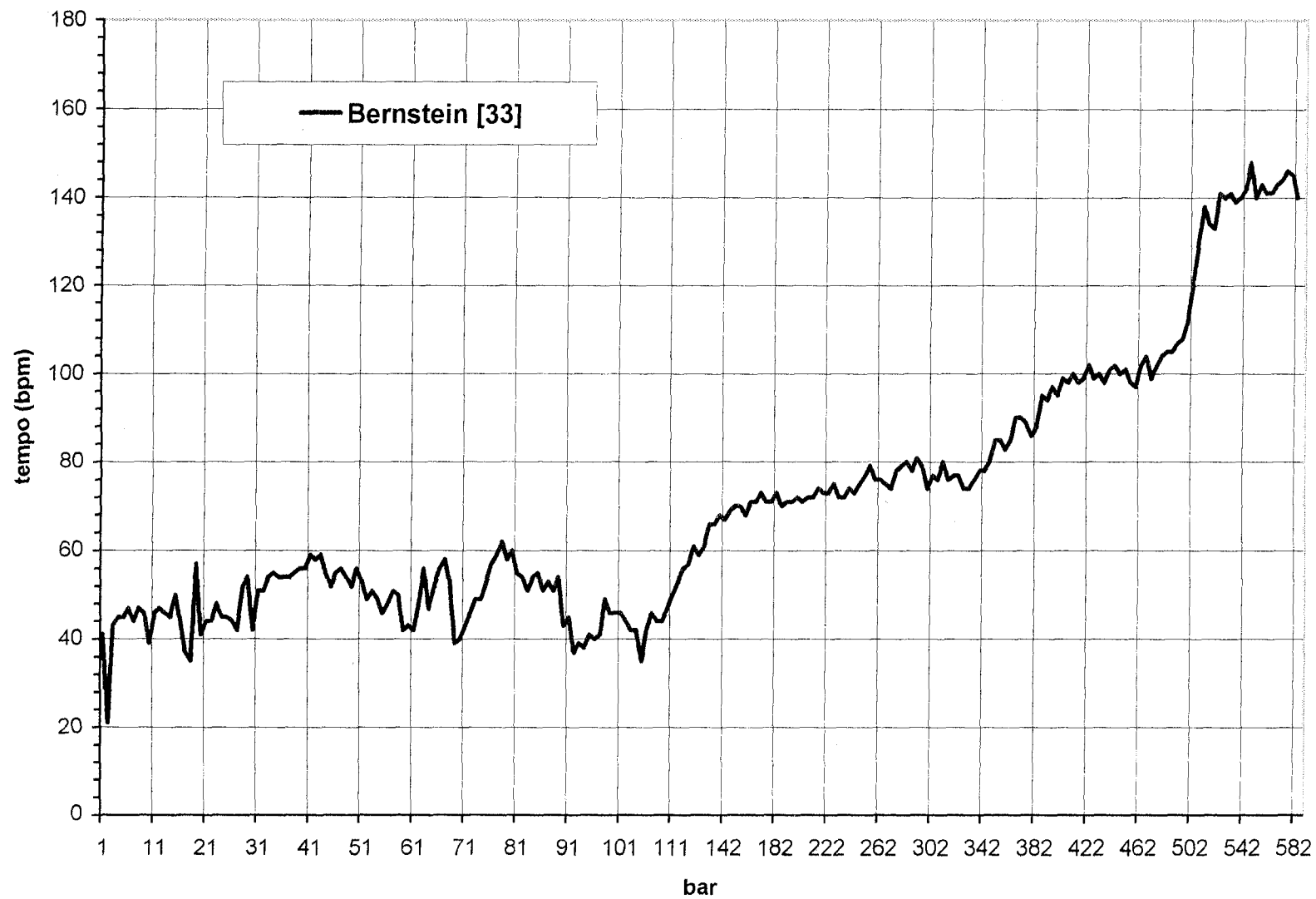


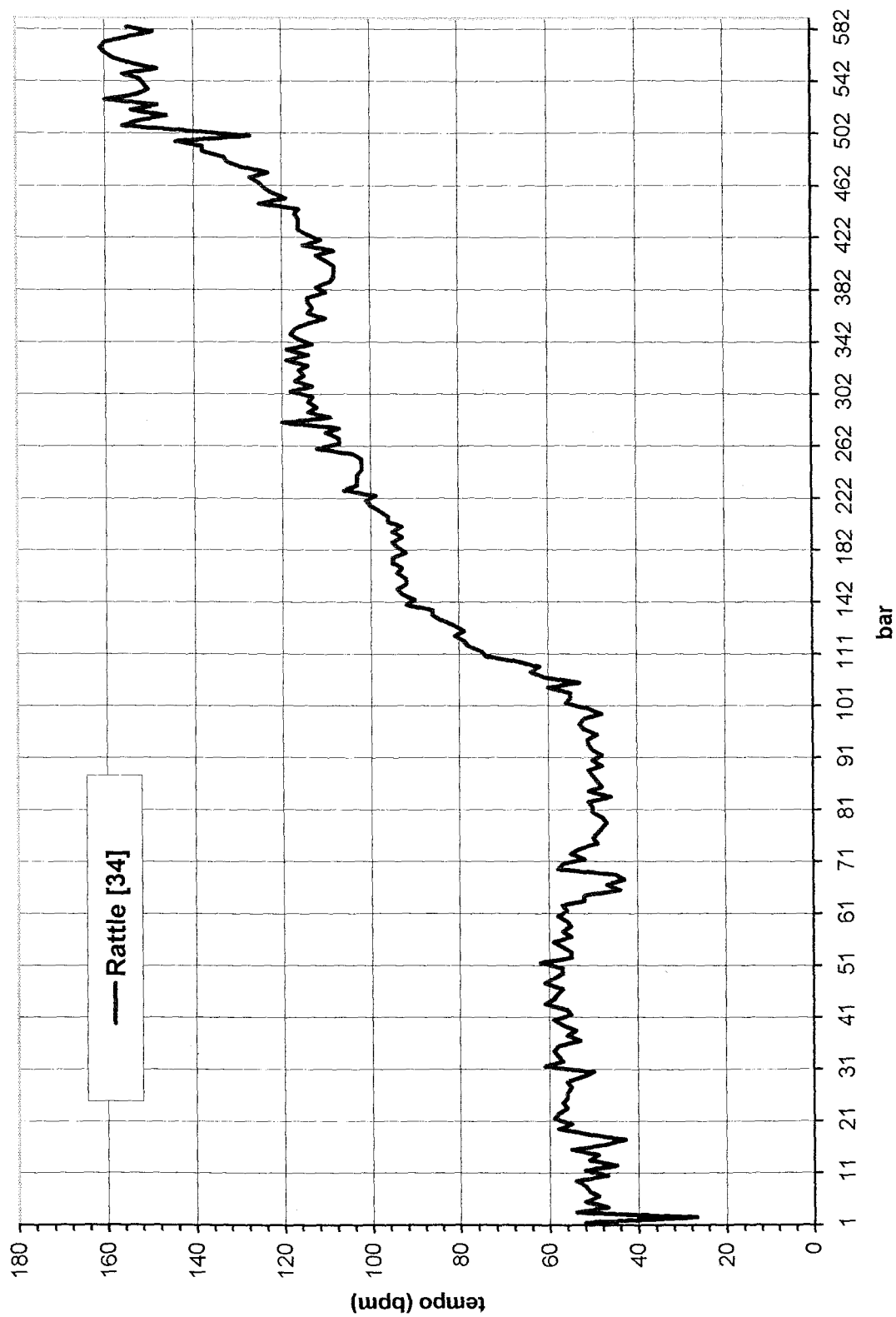


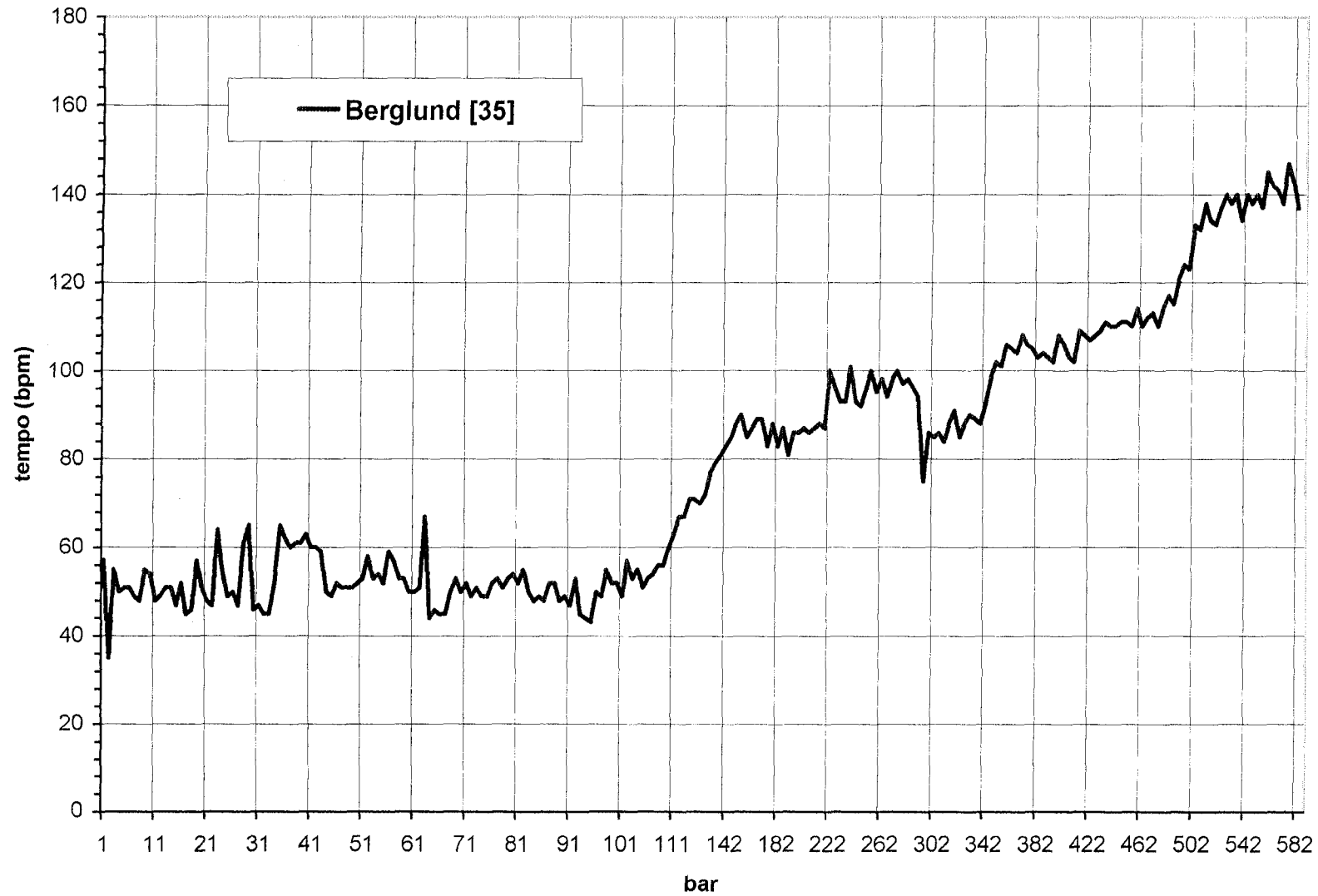


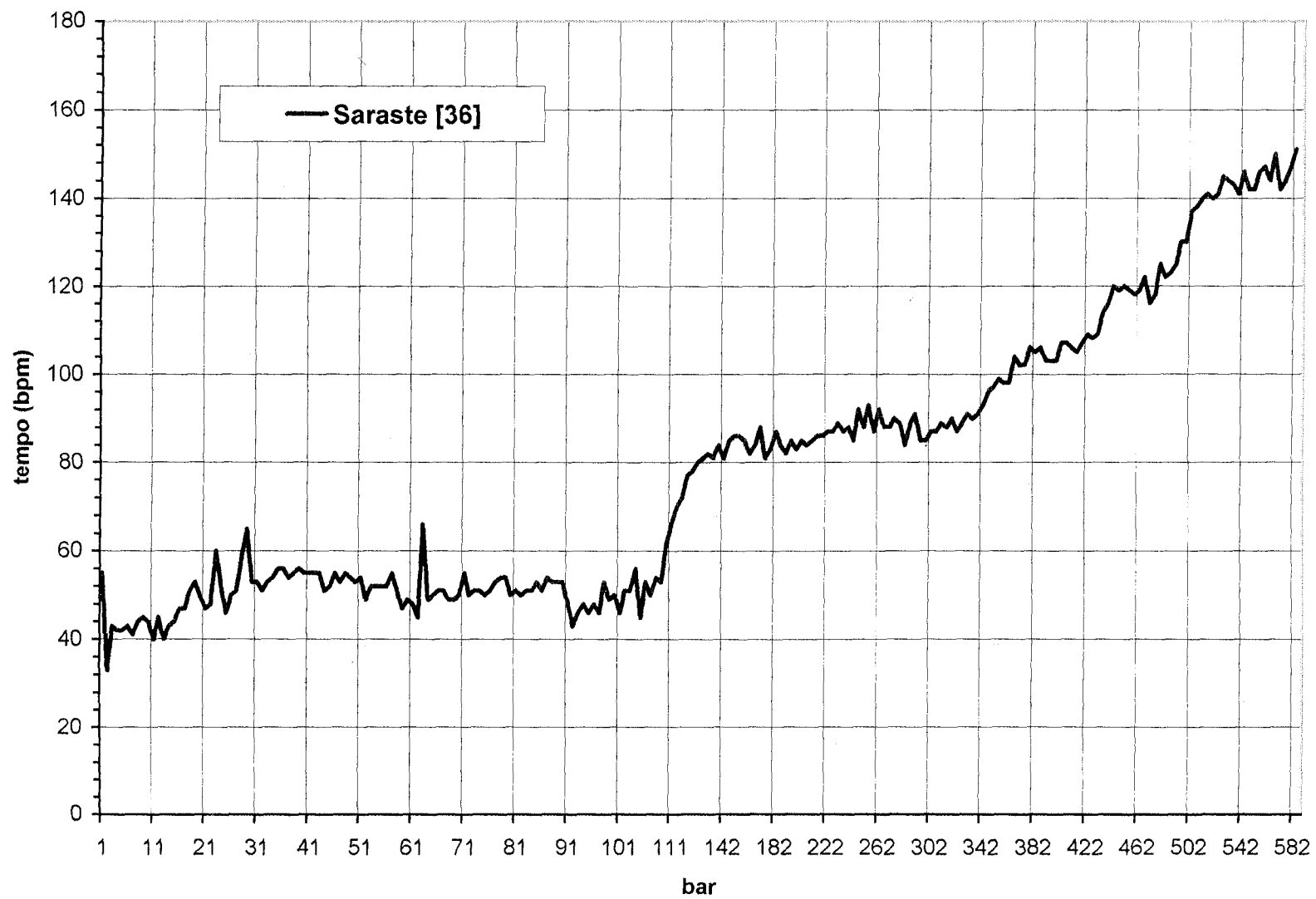


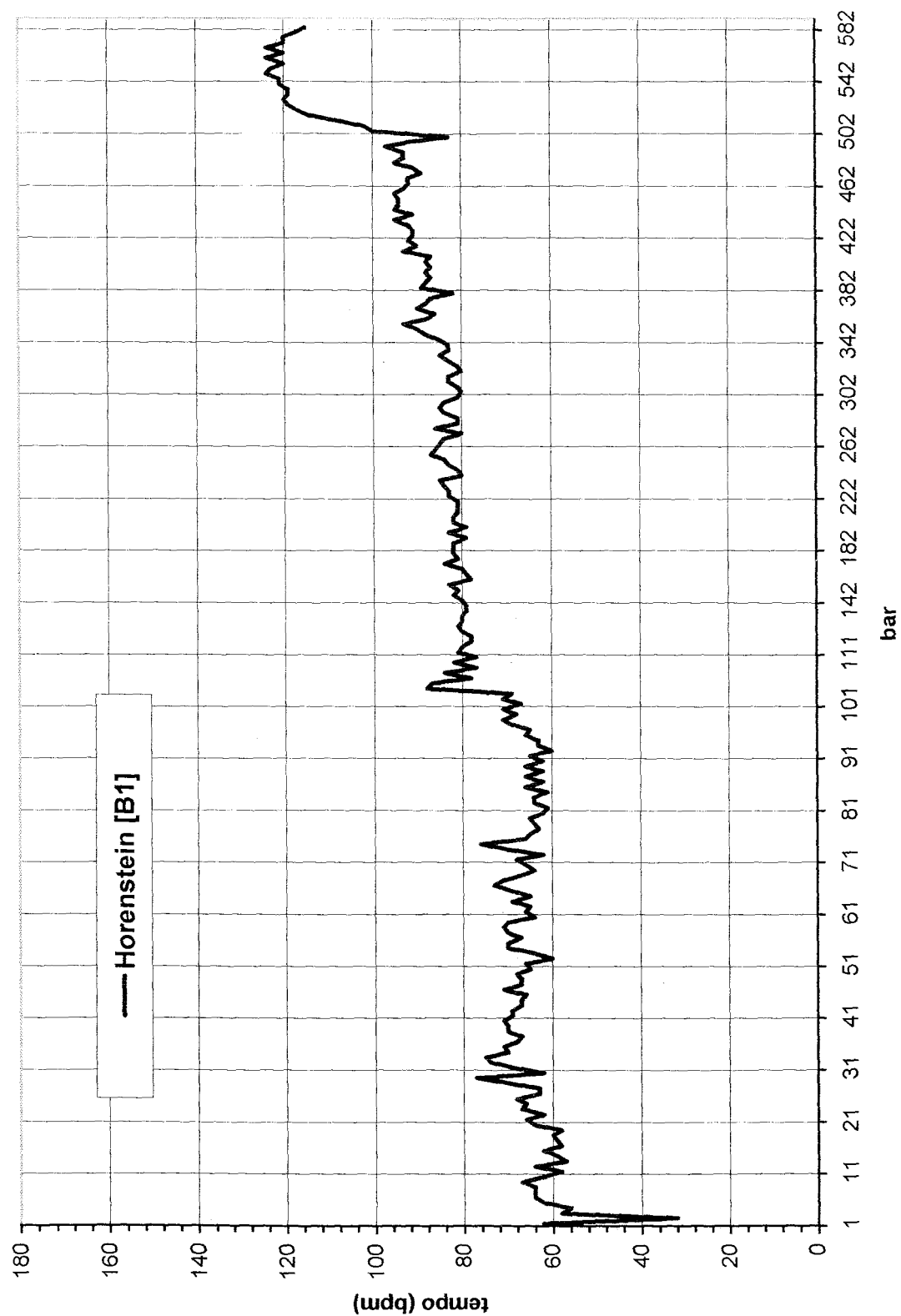


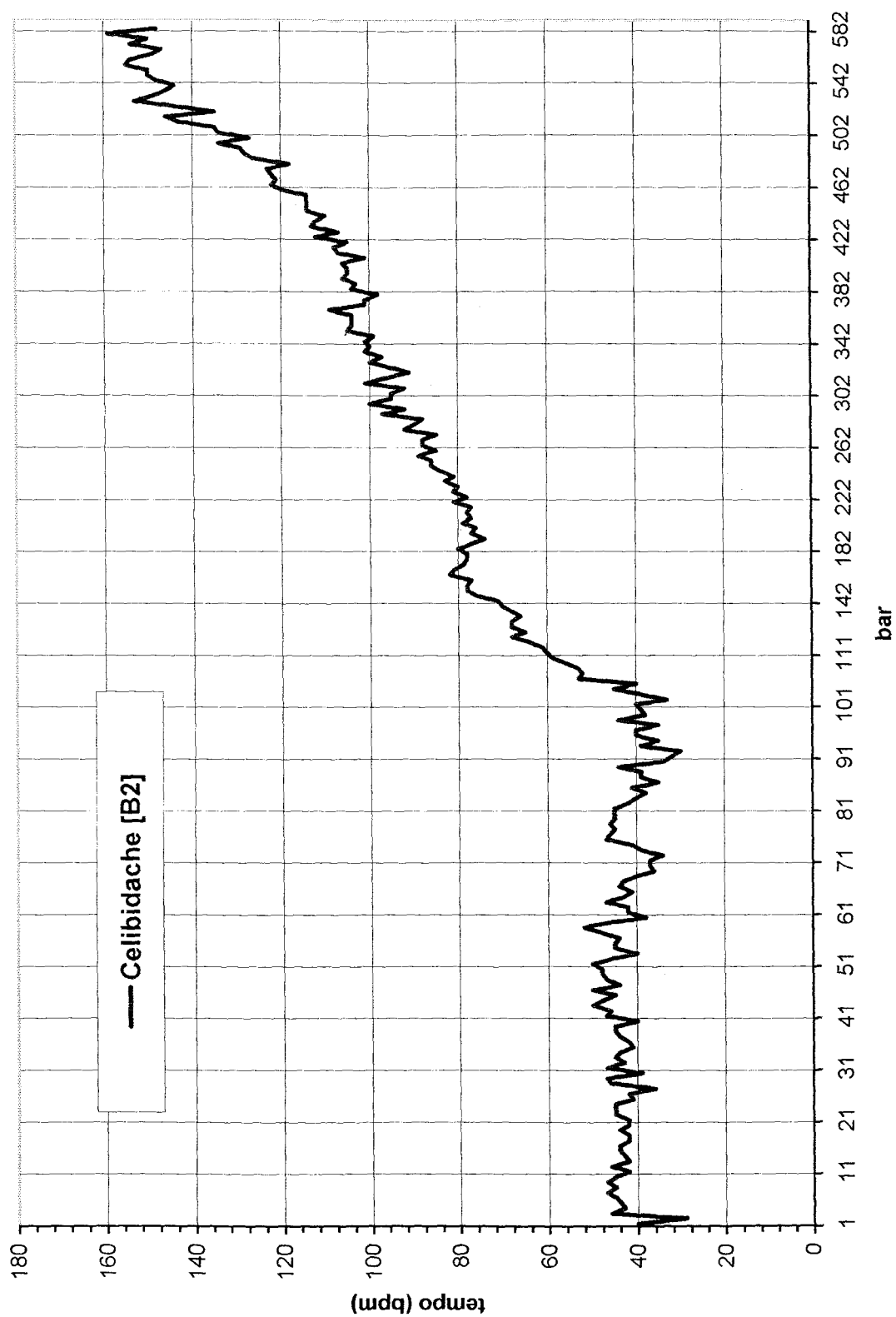


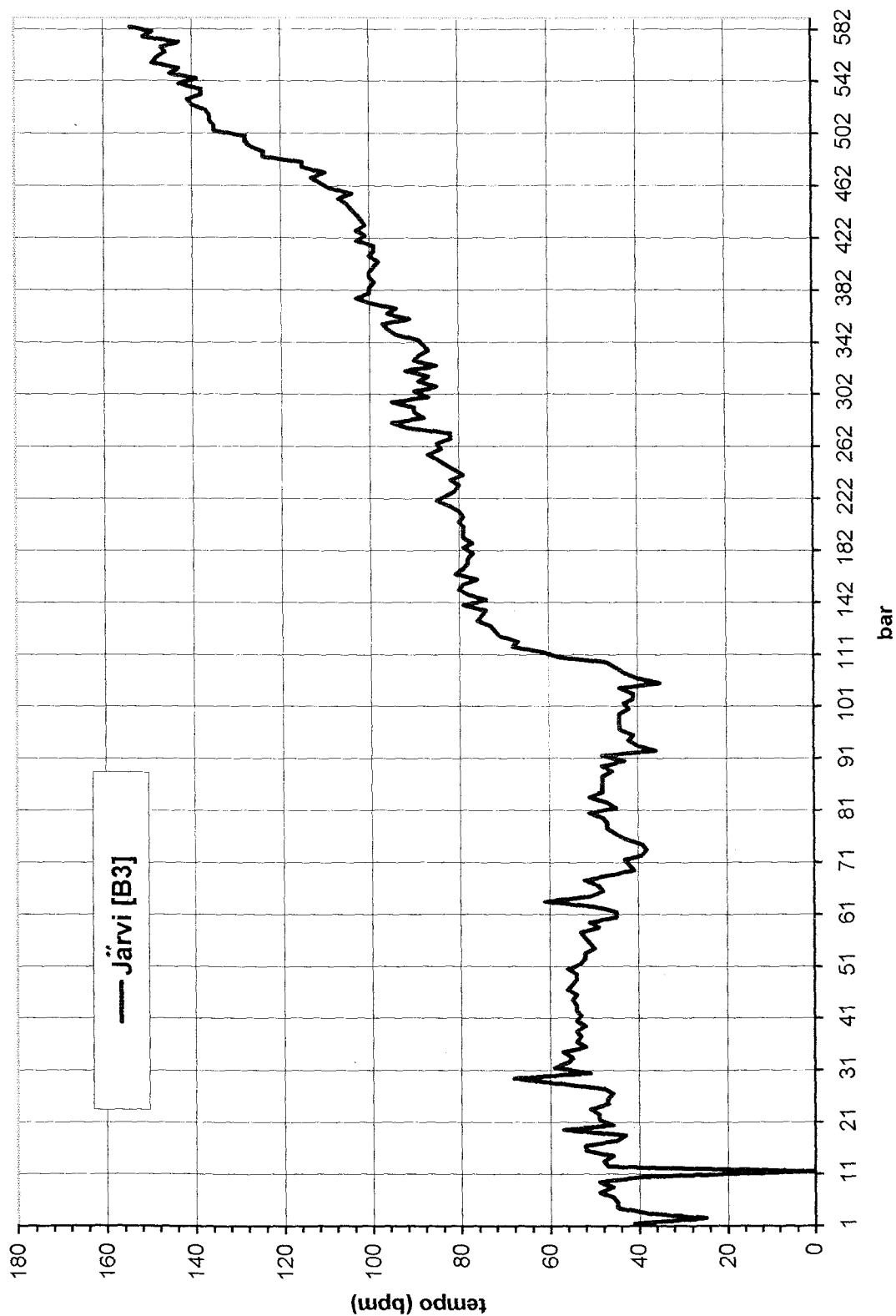


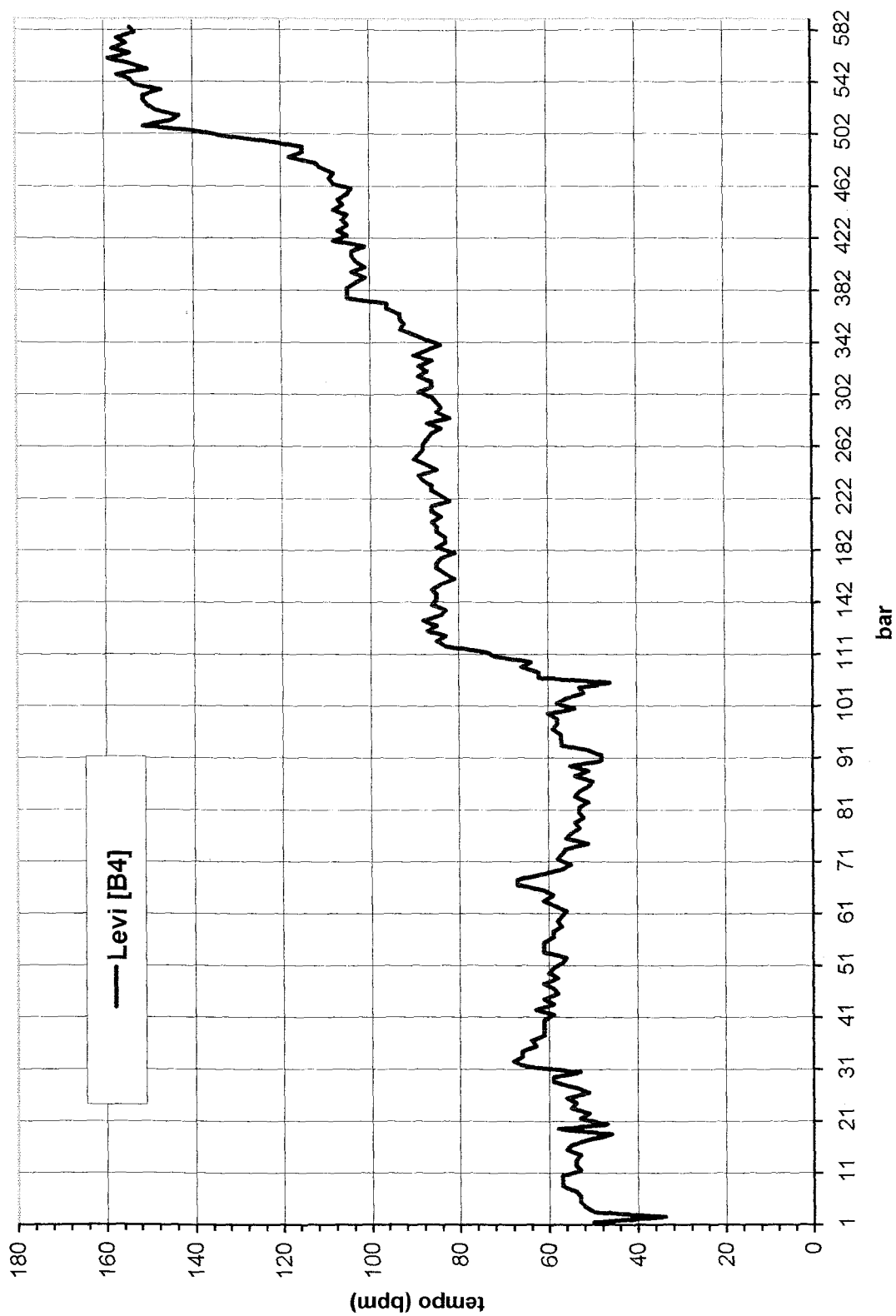


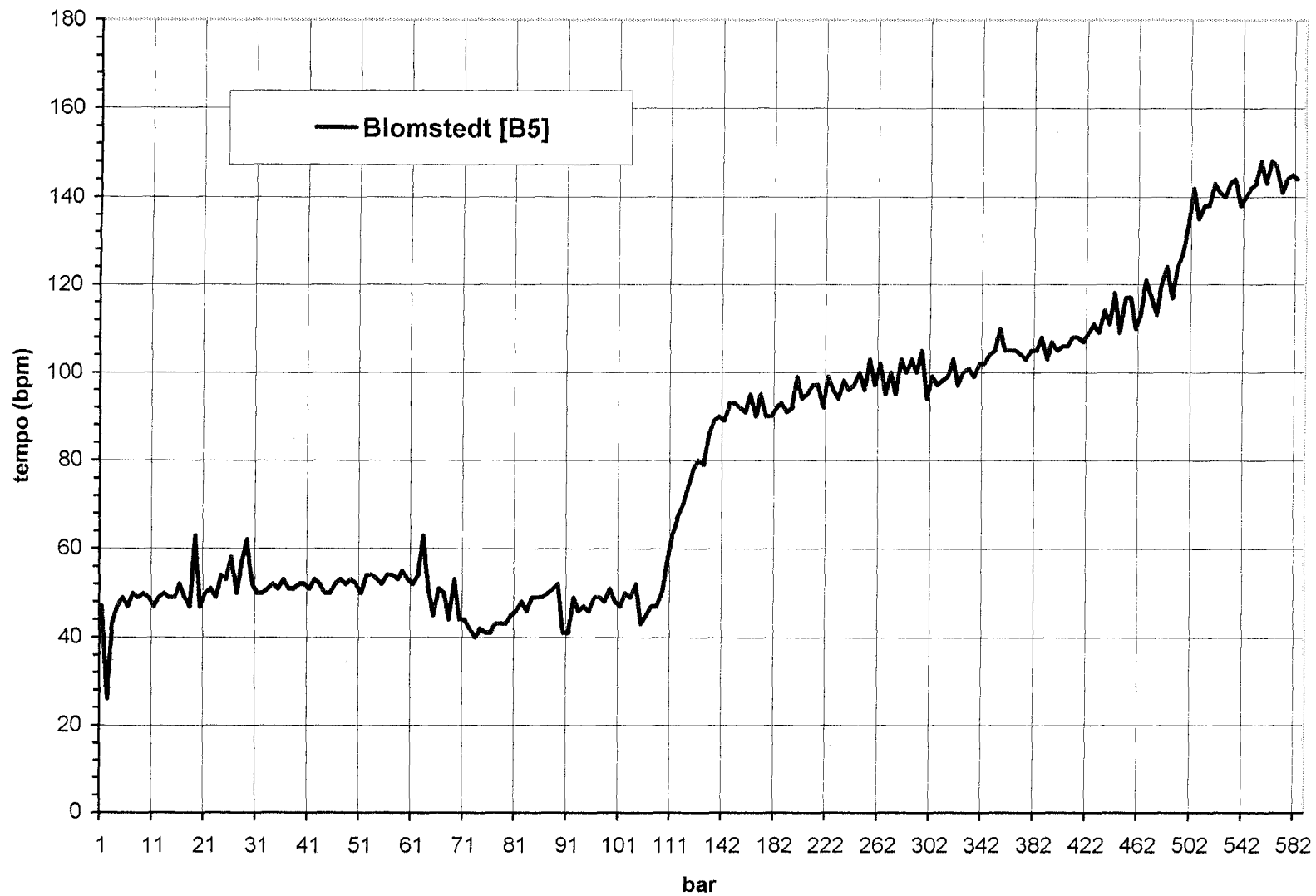


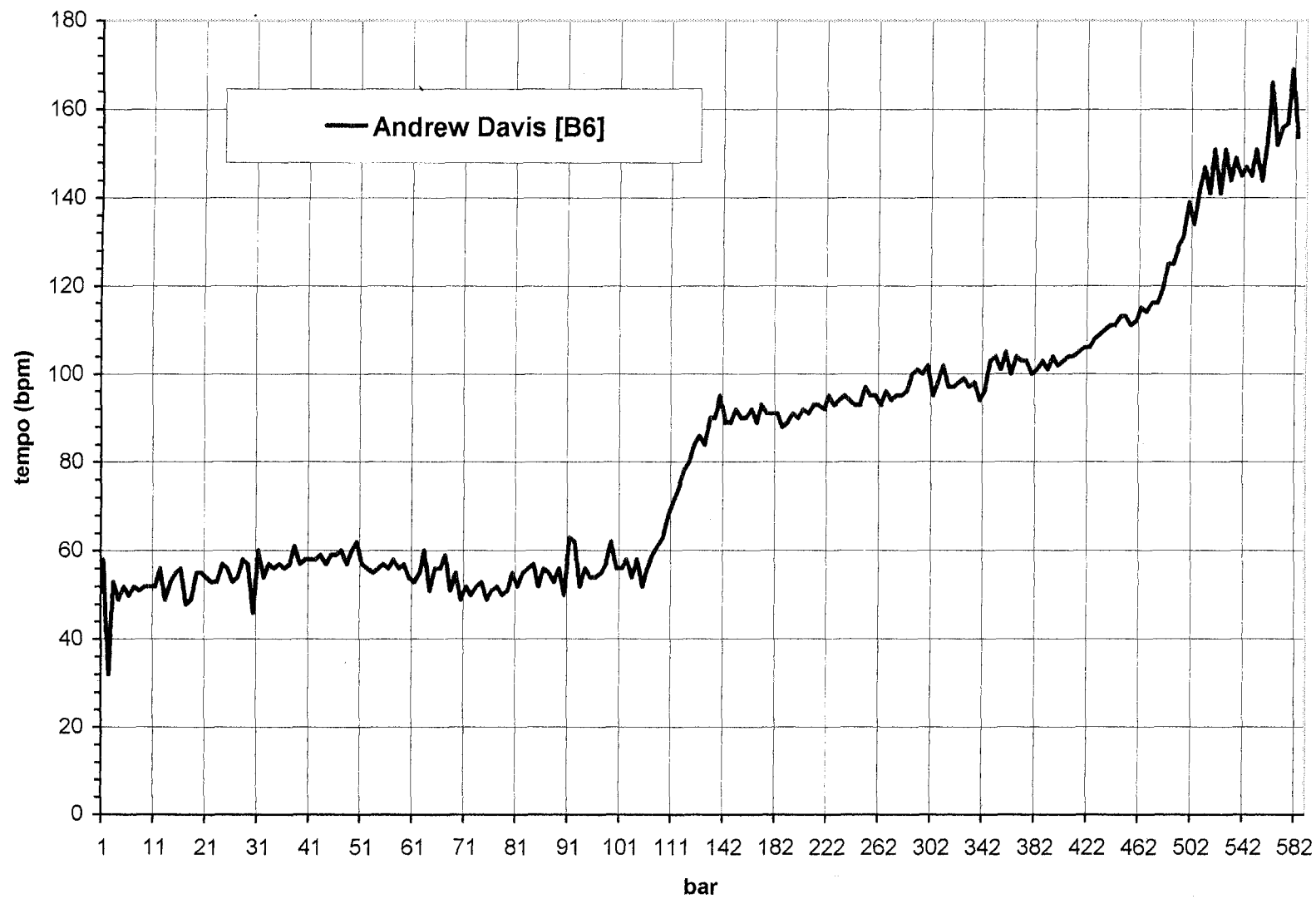












Appendix 5: Update following the publication of the revised *New Grove* dictionary

This thesis was submitted in November 2000, shortly before the revised version of *The New Grove Dictionary of Music and Musicians* appeared on our shelves. In order to reflect the current state of scholarship, this post-submission appendix summarises three articles from the dictionary which may be thought to be relevant to the subject matter of the thesis: those on ‘Sibelius’, ‘Analysis’, and ‘Performance’¹.

The article on Sibelius is by James Hepokoski, with a works list by Fabian Dahlström, and is divided chronologically into periods. The most interesting for our purposes is section 6, ‘1912-26: Late Works’, which covers the context of the Fifth Symphony. The text reintroduces several concepts familiar from Hepokoski’s monograph – for example, ‘rotational form’, ‘teleological genesis’, and ‘swan-related imagery’² – and follows his somewhat teleological approach to Sibelius’s oeuvre, placing the Fifth Symphony firmly at the centre of a post-1912 ‘enormous final project: bringing the 19th-century ideal of organic form to a culmination while exploring the relationship of the resulting form to an enhanced presence of musical sound’³. He continues to resist a too-easy allocation of traditional forms to this special segment of the composer’s output:

After the Fourth Symphony Sibelius sought to forge musical structures less dependent on traditional musical shapes than on the non-systematic, intuitive logic of the musical materials selected for any given composition. [...] The tonal and rhetorical layout of sonata form [...] which had governed the outer movements of Symphonies nos. 1-4, seems much less determinative of *The Oceanides* or the outer movements of the Fifth⁴.

At the same time, Hepokoski recognises the ‘various solutions’ to this formal puzzle that have been proposed (by earlier analysts from Abraham to Murtomäki) as grounded in archetypes ‘that are often relevant to these works but are rarely satisfactory as total

¹ The article on ‘Recorded sound’, by a variety of authors, deliberately confines itself to the technical aspects of the process.

² Hepokoski, ‘Sibelius, Jean’, p.334, p.334, and p.335 respectively.

³ Hepokoski, ‘Sibelius, Jean’, p.333.

⁴ Hepokoski, ‘Sibelius, Jean’, p.334.

explanations’⁵. A controversial light is cast on these speculations by Sibelius’s remark that *Tapiola*, one of his last orchestral works, had been ‘written in strict sonata form’⁶. This is just one of the interesting biographical facts supplied by this article, which also supplies the first definitive account of the alcoholism and domestic tension that characterise his later years.

Under the heading of ‘Performance’, Jonathan Dunsby provides a fascinating article which deals with a range of important topics. He mentions three basic elements of musical performance: understanding (defined as ‘informed intensity’), actuality (namely, the reason that audiences continue to prefer live performances to recordings), and the ineffable (which is partly a factor of music’s special social power)⁷. These features are as characteristic of eminent conductors of orchestral music as they are of female Inuits performing a throat game. Dunsby also raises the question of whether the performer is a vital component of a process of transmission that goes from composer to audience, and concludes that there is very little music of significance that is ‘performer-less’. This idea along with the recent trend, which he identifies, towards a more democratic approach to musical meaning which incorporates the listener’s and the performer’s perspectives (as well as the composer’s)⁸ is an essential background idea to this thesis, which constructs a Fifth Symphony partly out of a critical tradition and a set of recorded perspectives on it. (The bibliography supplies a carefully-chosen list of 23 items with publication dates from 1753 up to 1999.)

More specific information on the analytical study of performance can be found within the article entitled ‘Analysis’, revised by Anthony Pople from Ian Bent’s original article of 1980. An introductory section, ‘The place of analysis in the study of music’, repeats from the previous edition several general insights which would support this activity, for example that ‘the point at which composition ceases and interpretation begins is rarely incisive’, as well as that ‘analysis is concerned with musical structures, however they arise and are recorded, not merely with composition’⁹. The new final historical section, ‘Since 1970’, sandwiches a description of the role of performance

⁵ Hepokoski, ‘Sibelius, Jean’, p.334.

⁶ Hepokoski, ‘Sibelius, Jean’, p.338.

⁷ Dunsby, ‘Performance’, p.347-8.

⁸ Dunsby, ‘Performance’, p.347.

⁹ Bent and Pople, ‘Analysis’, p.526.

studies between much longer accounts of cognitive and semiotic approaches – perhaps surprisingly, since it was established much more recently than the latter academic tradition. The account divides the subdiscipline into a more empirical strand deriving from psychology or artificial intelligence (represented by the work of Clarke and Repp) and a more ‘flexible analytical response’ to different performances of the same work (represented by Cook, Epstein, and Rink)¹⁰. The current study, whilst closer in spirit to the latter tradition in its interest in analytical (or interpretative) correlates in performance, also draws on the former tradition in its use of empirical methodology and occasional numerical procedures.

In summary, whilst none of these articles affects the results of this study in any tangible way, it is encouraging to see some of its perspectives represented in a work of standard reference material. Particularly encouraging is the recognition of performance analysis as part of analytical history; in a climate where ‘structures are now understood to be asserted rather than discovered’¹¹, the discipline of analysis will, I hope, continue to be enriched by the study of performance.

¹⁰ Bent and Pople, ‘Analysis’, p.565.

¹¹ Bent and Pople, ‘Analysis’, p.570.

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