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Congratulations to Clare Carrasco, whose paper "*Fantasie oder Sonate: Fantasy Processes in Schubert's Piano Sonata in G Major, D.894,*" was the winner of the 2010–2011 Graham H. Phipps Paper Award.

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Fantasie oder Sonate: **Fantasy Processes in Schubert's Piano Sonata in G Major, D.894**

CLARE CARRASCO

On 11 April 1827 an advertisement in the *Wiener Zeitung* announced the publication of the “Fantasie, Andante und Allegretto für das Pianoforte allein von Franz Schubert” as Book 9 of Haslinger’s *Museum für Claviermusik* (see Figure 1).¹ As an advertisement for Schubert’s op. 78, it is potentially misleading on two main counts. First, and perhaps an innocent oversight, it neglects to mention the third movement contained in the edition, a Menuetto. Second, and much more significantly, it presents the composition as something more akin to a collection of *Klavierstücke* than as the *Sonate* the composer titled it in his October 1826 autograph manuscript.² The rechristening perhaps took place because Haslinger’s publication firm believed the work might sell better as a collection of light pieces than as a serious, potentially demanding sonata. Thus, penciled in above Schubert’s own inscription on the manuscript and appearing on the title page of the first edition is the title “Fantasie, Andante, Menuetto und Allegretto” (see Figure 2).³

A strange additional designation appears on the first page of printed music, at the head of the first movement. As if to obliquely acknowledge Schubert’s original title, Haslinger here printed the words “Fantasie oder Sonate” (see Figure 3). The edition is not entirely clear as to whether this description is meant to apply only to the first movement or to the entire four-movement work, and the additional designation seems to occupy a peculiar and ambiguous middle ground between the title on the title page of the edition and

¹ Advertisement, “Bei Tobias Haslinger,” *Wiener Zeitung*, 11 April 1827. The facsimile shown in Figure 1 is reproduced from ANNO, the virtual newspaper reading room of the Österreichische Nationalbibliothek, <<http://anno.onb.ac.at/>>.

² A facsimile edition of D.894 reproduces Schubert’s fair copy of the score: Franz Schubert, *Piano Sonata in G major, op. 78 (D.894): Facsimile of the Autograph Manuscript*, intro. Howard Ferguson and Alan Tyson (London: British Library, 1980).

³ The penciled-in title is itself revised. Instead of *Menuetto* the title in pencil originally read *Scherzo*, which was then crossed out and *Menuetto* written over it. According to Howard Ferguson, the penciled-in title was added by the publisher, not by Schubert (intro. to *Facsimile*, v). The *Thematisches Verzeichnis* of the *Neue Ausgabe* affirms that the penciled-in title was added by the publisher and “could hardly have come from Schubert” (“er dürfte kaum von Schubert stammen”), *Franz Schubert: Thematisches Verzeichnis seiner Werke in chronologischer Folge* (Kassel: Bärenreiter-Verlag, 1978), 563. Translations are my own except as otherwise noted.

the one Schubert initially specified. The description “Fantasie oder Sonate” is also striking for its incongruity: it reinforces a binary opposition between the sonata and fantasy genres even as it implies the possibility of applying both genres to this single work.

Figure 1. “Bei Tobias Haslinger,” *Wiener Zeitung*, 11 April 1827.

(Nr. 61.)
Bei Tobias Haslinger,
Kunst- und Musikhändler in Wien, am Graben Nr. 572, im
Hause der Dester. Sparcasse, ist neu erschienen:
Museum für Claviermusik.
Neuntes Heft, enthaltend:
Fantasie, Andante und Allegretto
für das Pianoforte allein,
von **Franz Schubert.**
78stes Werk. 2 fl. C. M.
Schubert, Fr., Valses nobles pour le Pianoforte. Oeuvre 77.
Prix 40 kr. C. M.
(Auch bey G. Sichel in Pesth, und bey Kraetz und Depkauf
in Grätz zu haben.)

Figure 2. Franz Schubert, *Fantasy, Andante, Menuetto, und Allegretto für das Pianoforte allein* (Vienna: Tobias Haslinger, 1827). Title Page.



Figure 3. Franz Schubert, *Fantasy, Andante, Menuetto, und Allegretto für das Pianoforte allein* (Vienna: Tobias Haslinger, 1827). Beginning of the first movement.

The image shows the beginning of the first movement of Franz Schubert's Fantasy, Op. 78. The score is in G major and 3/4 time, marked 'Molto Moderato e cantabile.' It features a piano introduction with a left-hand accompaniment of chords and a right-hand melody. The score includes dynamic markings such as *pp*, *mf*, *p*, and *f*, and performance instructions like 'Cresc.' and 'Decresc.'. The score is numbered '3847' in the top left corner and 'T.H. 5010.' at the bottom center.

A highly unusual situation thus arose. At least until the publication of critical editions beginning in the late nineteenth century, the title and therefore also the genre of Schubert's op. 78 were left open to a relatively wide degree of interpretation. This ambiguity was not, however, entirely coincidental. Austro-German composers in the early and middle decades of the nineteenth century—Schubert primary among them—were consistently interested in exploring a formal and expressive continuum between fantasy and sonata. For this reason, although Schubert's autograph indicates his intention to publish a sonata, certain musical features of his op. 78 nonetheless allowed, and likely even encouraged, the work to be understood as both/and rather than as either/or. By the same token, although this work is now formally identified as the Piano Sonata in G Major, D.894, the music remains responsive to an analysis that considers processes of compositional fantasy in tandem with a sonata framework. The both/and approach to the sonata and fantasy genres that fascinated Schubert and his contemporaries—and also colored the reception of D.894 for many decades—has potential to clarify formal and affective features of the music that appear non-normative from a more narrowly defined, sonata-oriented approach to the work.

Shifting Designations: Interpreting Genre in the Reception of D.894

Not surprisingly, the confusing and seemingly antithetical genre designations in Haslinger's first edition initiated a rich interpretive history. In more straightforward cases, a title that also indicates the genre of a work provides audiences with a crucial orientation toward a set of expectations from which to make aesthetic and critical judgments. In an ambiguous case of nomenclature such as that of Schubert's D.894, documents recording reception can be particularly illuminating, providing insight into the criteria, expectations, and valuation of the genres in question for particular audiences over time. A survey of the reception of D.894 can therefore illuminate alternative ways of understanding D.894 in relation to concepts of genre; these past interpretations can, in turn, serve to enrich new readings of the work.

Contemporary reviewers of D.894 sometimes took the work's title as it appeared on the title page and either overlooked or ignored the additional description "Fantasie oder Sonata." The result was that at least one early reviewer did not comment on the work as a sonata at all. In a review published in the *Wiener Zeitschrift für Kunst* on 29 September 1827, the anonymous reviewer described the overall effect of the entire four-movement work as "a fantasy, in which [the composer] gave his spirit of invention free room to play."⁴ After commenting on the general features of the work as a whole, the reviewer provided a brief evaluation of each individual movement but made no mention of the work as a sonata.

By contrast, the author of a lengthy review in the *Leipziger allgemeine musikalische Zeitung* of 26 December 1827 considered only the first movement of D.894—rather than the whole—as a fantasy. In doing so, the reviewer dismissed the possibility of accepting the first movement as the free, improvisatory fantasy of the eighteenth century and instead suggested that Schubert had taken up the synthetic approach favored by Beethoven: "the fantasy, as the first movement . . . asserts the claims of its genre not in the manner in which outstanding masters of the past, such as the Bachs, have delivered such excellence, but rather in the manner—which Beethoven also took up (of whose fantasies that in C-sharp minor belongs among his least known but certainly most magnificent pieces for piano)—according to which, within a not unusual outer form and structure, everything inside is shaped unusually and fantastically."⁵ But although this reviewer perceptively recognized

⁴ Unsigned review, *Wiener Zeitschrift für Kunst, Literatur, Theater und Mode*, 29 September 1827: "eine Fantasie, in welcher er seinem Erfindungsgeiste freien Spielraum gab."

⁵ Unsigned review, *Leipziger allgemeine Musikalische Zeitung*, 26 December 1827: "Die Fantasie . . . macht die Rechte ihrer Gattung nicht in der Weise

that D.894 was more related to the Beethovenian *Sonata quasi una fantasia* than to keyboard fantasies of the eighteenth century, he remained fundamentally skeptical toward its quality in relation to either type of fantasy. In fact, he seems to have considered it pretentious of Schubert to have taken on Beethoven as a model and claimed to give D.894 such lengthy consideration only because Schubert showed artistic promise and not because he had achieved any particular success with this work.

When Robert Schumann discussed D.894 and several other piano sonatas by Schubert almost a decade later in the 29 December 1835 issue of his *Neue Zeitschrift für Musik*, his assessment was quite different. He enthusiastically referred to the whole of D.894 as a “Phantasiesonate.”⁶ His choice of this hybrid term suggests that he applied “Fantasie oder Sonate” to the entire piece, and, moreover, that he declined to choose between the two genres. Having appropriated the work as a multi-movement synthesis of a fantasy and a sonata, he then compared it to the other sonatas by Schubert he was reviewing and noted that among them it was Schubert’s “most perfect in form and conception,” implying that he considered the work to be fine both technically and expressively.⁷ Over three decades later, in an 1868 letter discussing his forthcoming edition of Schubert’s D.894, Franz Liszt referred to the entire piece simply as a fantasy and, like Schumann, offered it high praise: in a parenthetical comment he proclaimed the whole to be “a Virgilian poem!”⁸ When the edition appeared in 1870, the title for the four-movement work was printed as “Fantasie oder Sonate.” In this way Liszt retained the original paradox of Haslinger’s description even as his edition more

geltend, in welcher vorzüglich Meister der früheren Zeit, wie die Bache, so Vortreffliches geliefert haben, sodern in der, welche auch Beethoven aufnahm (von dessen Fantasien besonders die aus cis-moll unter seine am wenigsten bekannten, aber gewiss herrlichsten Klavierstücke gehört), nach welcher, in nicht ungewöhnlicher äßerer Form und Anlage, alles Innere ungewöhnlich und phantastisch gestaltet wird.” Much of the review consists of a firm warning to young composers such as Schubert: they should not be too hasty in attempting to imitate Beethoven since any such attempt will inevitably be unsuccessful. Otto Erich Deutsch suggests that the editor, G.W. Fink, may have been the author of this review, *Schubert: Die Dokumente seines Lebens* (Leipzig: VEB Deutscher Verlag für Musik, 1964), 469.

⁶ Robert Schumann, “Pianoforte,” *Neue Zeitschrift für Musik*, 29 December 1835. According to Leon B. Plantinga this was Schumann’s first review of Schubert’s music. *Schumann as Critic* (New Haven: Yale University Press, 1967), 219–220.

⁷ Schumann: “so dünkt uns doch die Phantasiesonate seine vollendetste in Form und Geist.”

⁸ Adrian Williams, trans. and ed., *Franz Liszt: Selected Letters* (Oxford: Clarendon Press, 1998), 693.

clearly applied it to all four movements rather than to the first movement only.⁹

Not until the piece was published in 1888 as part of Breitkopf und Härtel's critical edition of Schubert's complete works did Haslinger's superimposed titles begin to lose favor and to be gradually excluded from the valuation of D.894 in relation to concepts of genre.¹⁰ In this first critical edition based on Schubert's autograph manuscript, D.894 was included in the series devoted solely to piano sonatas instead of in the series containing fantasies, impromptus, and other pieces for piano. Moreover, indications referring to any part of it as a fantasy were completely expunged.

The publication of a critical edition could not, however, immediately erase the memory of Haslinger's modifications to Schubert's original title. In 1892 a writer for *The Musical Times* identified the work as the "so-called Fantasia Sonata in G (Op. 78),"¹¹ and in a 1928 essay honoring the centenary of the composer's death, Olga Samaroff still referred to D.894 as "Fantasie, Andante, Menuetto, and Allegro."¹² She also expressed the opinion that if Haslinger had not published it under this misleading title, the work "might well have ranked as Schubert's greatest Sonata."¹³ Her comment implies that although she found D.894 to be sufficient and even successful as a sonata, the lingering influence of the originally-published title did not permit it to be unambiguously counted as a member of that genre.

When Otto Erich Deutsch published the first edition of his thematic catalogue of Schubert's works in 1951, he opted to prevent confusion about the designations of the work by listing it as "D.894, Sonata, *called Fantasia*, in G for Pianoforte" (emphasis added).¹⁴ It was not until the reissue of Deutsch's catalogue as part of the 1978 *Neue Ausgabe* that D.894 was listed only as a sonata, with an explanation in the remarks explaining that its first published title carried no authority because it almost certainly originated with the publisher and not with Schubert.¹⁵ In recent decades scholars writing about D.894 have tended to defer to the *Neue Ausgabe* and

⁹Franz Schubert, *Ausgewählte Sonaten und Solostücke für das Pianoforte*, ed. Franz Liszt (Stuttgart: J. G. Cotta'sche Buchhandlung, 1870).

¹⁰ Franz Schubert, *Complete Works: Breitkopf & Härtel Critical Edition of 1884–1897*, vol. 5, ed. Julius Epstein (New York: Dover, 1965).

¹¹ "Sir Charles Hallé's Schubert Recitals," *The Musical Times*, 1 June 1892.

¹² Olga Samaroff, "The Piano Music of Schubert," *The Musical Quarterly* 14, no. 4 (October 1928): 595–609.

¹³ Samaroff, 601.

¹⁴ Otto Erich Deutsch with Donald R. Wakeling, *Schubert: Thematic Catalogue of all his Works in Chronological Order* (New York: W. W. Norton, 1951), 432.

¹⁵ Deutsch, *Thematisches Verzeichnis*, 562–563.

have referred to the composition as a piano sonata.¹⁶ The 1978 edition thus appears to have finally accomplished what Breitkopf und Härtel's critical edition of 1888 first attempted: the rectification of Haslinger's apparent impudence towards Schubert's authorial intent.

The inclination in recent scholarship to insist on Schubert's title over any part of those bestowed by Haslinger is predicated upon deference to the composer's wishes and a predilection for textual accuracy. Perhaps equally important is a prominent critical trend—with roots going back to the nineteenth century—that is devoted to reconstructing Schubert's reputation so as to value him as a composer of serious, large-scale instrumental works in addition to his established reputation as a prolific and masterful song composer.¹⁷ Given a current scholarly climate that strongly favors the reclamation of Schubert's authentic title/genre for D.894, what purpose is there in seeking meaning in past interpretations of the work as "Fantasie oder Sonate" when these interpretations manifestly took as their starting point a designation that did not originate with the composer?

I suggest that the value of reconsidering the relevance of the fantasy genre in relation to D.894 lies not merely in reconstructing past understandings of the work for their historical interest, but ultimately in the possibility that these understandings may be relevant to certain tropes in modern Schubert criticism. After all, when critics in the twentieth and twenty-first centuries write about Schubert's sonata forms, they invariably note the difficulty of reconciling the expressive and formal peculiarities of these works with the normative generic expectations that have become associated with the sonata in the late eighteenth- and early nineteenth-century Austro-German repertoire.¹⁸ The non-normative

¹⁶ For example, as a standard reference source the *New Grove Dictionary* lists D.894 as "Sonata, G (formerly known as Fantasie, Andante, Menuetto und Allegretto)," "Schubert, Franz: Works," in *The New Grove Dictionary of Music and Musicians*, 2nd ed., ed. Stanley Sadie and John Tyrrell, 22:698.

¹⁷ See Christopher H. Gibbs, "Introduction: The Elusive Schubert," in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (New York: Cambridge University Press, 1997) and Walter Gray, "Schubert the Instrumental Composer," *The Musical Quarterly* 64, no. 4 (October 1978): 483–494.

¹⁸ Carl Dahlhaus formulated the problem as follows: "Schubert's lyric-epic sonata form ought not to be measured by the standards of Beethoven's dramatic-dialectic form. Yet it is difficult to understand the relationship between the theory of sonata form, which was extracted from Beethoven's oeuvre, and analyses of Schubert's work that also aspire to the realm of theory, instead of merely describing the musical surface or relying on a hermeneutic that, by dealing only with the most basic issues, pays the price of remaining hypothetical and metaphorical." "Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D.887)," trans.

generic stance that appears to be embedded in so many of Schubert's sonatas has often been attributed to and interpreted by way of various personal and social factors.¹⁹ One way to more adeptly open these "hermeneutic windows"—to borrow Lawrence Kramer's phrase—is to consider Schubert's music in terms of a system of genres that for him and many of his contemporaries included the possibility that the boundaries between sonata and fantasy might be blurred.²⁰

Genre Boundaries: Sonata, Fantasy, and Schubert

What is most remarkable about the tendency of some musicians and critics in the early and middle decades of the nineteenth century to accept and even encourage a degree of flexibility between the genres of the sonata and the fantasy is that until the end of the eighteenth century the two genres were frequently understood to represent antithetical approaches to musical form and expression. If a sonata and especially a sonata-form movement was expected to exhibit a certain compositional preoccupation with formal logic and structure and necessarily engaged itself with a set of normative formal expectations, a fantasy was considered the domain of freedom of invention. From its origins the fantasy was a vehicle for expressive and imaginative license; it was an instrumental genre that valued compositional free play and virtuosic improvisation over adherence to particular formal schemes.

In his extensive study *Die freie Fantasie*, Peter Schleuning details the development of the fantasy genre from the sixteenth century, and in his concluding chapter he distinguishes it from the formally "normative genres" that came to exist alongside it in the eighteenth century such as the sonata, concerto, and symphony.²¹ Heinrich Koch's perspective offers one confirmation of a binary conception of the two genres at the close of the eighteenth century. His 1802 *Musikalisches Lexikon* defined fantasy as the "play of the entirely free-reigning powers of imagination and invention of the composer that is expressed in tones and, so to speak, dashed-off."²²

Thilo Reinhard in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 1.

¹⁹ For example, see Susan McClary, "Constructions of Subjectivity in Schubert's Music," in *Queering the Pitch: The New Gay and Lesbian Musicology* 2nd ed., ed. Philip Brett, Elizabeth Wood, and Gary C. Thomas (New York: Routledge, 2006), 205–33.

²⁰ Lawrence Kramer, *Music as Cultural Practice, 1800–1900* (Berkeley: University of California Press, 1990), 6.

²¹ Peter Schleuning, *Die freie Fantasie: Ein Beitrag zur Erforschung der klassischen Klaviermusik* (Göppingen: Verlag Alfred Kummerle, 1973), 352–354.

²² Heinrich Christoph Koch, *Musikalisches Lexikon* (1802, rpt., Hildesheim: Georg Olms, 1964), 554. "Fantasie": "So nennet man das durch Töne

By contrast, in his *Versuch einer Anleitung zur Composition* of 1793, Koch stated that although a composer could freely choose the expressive characters of the individual movements of a sonata, the “external arrangement” (i.e. formal structure) of the movements and their ordering into a whole adhered to an established scheme.²³ In other words, if the composer or performer of a fantasy was expected to extemporaneously respond to the excesses of his personal feelings and imagination, in the best sonatas he was to seek “a more refined and cultivated expression” within a preexisting formal paradigm.²⁴

Schleuning describes the validity of a binary conception of fantasy and sonata in the eighteenth century but then proposes that within the first three decades of the nineteenth century this opposition began to break down and new possibilities for incorporating both genres in a single work gradually emerged. Thus, the fantasy very quickly came less to mean the improvisatory, freely-conceived genre of the eighteenth century and instead began, as Patrick McCreless has described, “to take on aspects of the sonata and indeed to merge with it.”²⁵ Composers became increasingly interested in the possibility of exploring the territory between the two generic poles—both formally and expressively—and Beethoven in particular experimented with a hybrid conception of fantasy and sonata in his op. 27, nos. 1 and 2 (1802), both of which he labeled as a *Sonata quasi una fantasia* (the latter is the famous C-sharp minor “Moonlight” Sonata, cf. note 5).

An anonymous writer in the *Leipziger allegemeine musikalische Zeitung* of 10 November 1813 affirmed that in his day pieces titled as fantasies were no longer like those of previous times. Indeed, this writer lamented that “the many and good composers for the pianoforte write so little *free* fantasy, indeed hardly any at all—since what we have received in the last decade under the title fantasy is nevertheless, almost without exception, only a freer type of sonata” (emphasis in original).²⁶ Within fifteen years of this article Schubert would also compose sonata-like fantasies of this

ausgedrückte und gleichsam hingeworfene Spiel der sich ganz überlassenen Einbildungs- und Erfindungskraft des Tonkünstlers.”

²³ Heinrich Christoph Koch, *Introductory Essay on Composition*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 202–204.

²⁴ Koch, *Introductory Essay*, 203.

²⁵ Patrick McCreless, “A Candidate for the Canon? A New Look at Schubert’s Fantasie in C Major for Violin and Piano,” *19th-Century Music* 20, no. 3 (Spring 1997): 214.

²⁶ Unsigned article, “Mittheilungen aus dem Tagebuche eines Tonkünstlers,” *Leipziger allgemeine Musikalische Zeitung*, 10 November 1813: “Dass die vielen und braven Componisten für’s Pianoforte die *freye* Phantasie so wenig, ja fast gar nicht bearbeiten—denn, was wir im letzten Jahrzehend unter dem Titel, Phantasie, bekommen haben, ist doch, fast ohne Ausnahme, nur eine freyere Art der Sonate—hat man schon öfter in diesen Blättern beklagt.”

type, most notably the motivically-integrated *Wandererfantasie*, D.760 (1823), the C-Major Fantasy for Violin and Piano, D.934 (1827), and the F-minor Fantasy for Piano Four Hands, D.940 (1828).

When Schumann called Schubert's D.894 a *Phantasiesonate* he was undoubtedly reacting to the title he saw printed on the first edition;²⁷ but given Beethoven as a looming precedent and the tendency toward fusing the two genres elsewhere in Schubert's oeuvre, there is also the possibility that features of the music itself played a role in his construal of the work not as "Fantasie oder Sonate," but as a combination of both. Schumann's eagerness to claim for Schubert's work a space between fantasy and sonata reveals a sympathy for a both/and conception of the two genres that would also nourish his own artistic agenda; for example, the original title for his C-Major Fantasy, op. 17 for solo piano (composed 1836–38) included the description *grosse Sonate*.

Importantly, Schumann has not been the only critic to comment on the fact that many of Schubert's works seem to fall into a middle ground between the formal logic of a sonata and the free play of a fantasy. In an unsigned review of Schubert's Piano Sonata in A Minor, D.845 in the *Leipziger allgemeine musikalische Zeitung* of 1 March 1826, the writer first observed that works were often called fantasies simply because "the name sounds good and because the child of the composer's fancy, bounding out on all sides like wild water, has not wanted to conform to any set form." Remarkably, he then went on to claim that although Schubert had called his op. 42 a sonata, it was in fact the best and truest type of fantasy. In this reviewer's opinion, even though the work did accord in principle with the prescribed formal scheme of a sonata, "within the defined boundaries it moves so freely and peculiarly, so boldly and now and again even so strangely, that it could not unjustly be called a fantasy."²⁸ Several decades later in 1862 a writer for the *Deutsche Musik-Zeitung* similarly recognized that in Schubert's piano music the fantasy and sonata genres are not wholly distinct but rather seem to flow into one another.²⁹

²⁷ According to Plantinga, Schumann used Haslinger's edition in writing his review of D.894. *Schumann as Critic*, 219.

²⁸ Unsigned review, *Leipziger allgemeine Musikalische Zeitung*, 1 March 1826: "Es führen jetzt viele Musikstücke den Namen Phantasie, an denen die Phantasie sehr wenigen oder gar keinen Anteil hat, und die man nur so tauft, weil der Name gut klingt, und weil das Geisteskind, wie wild Wasser nach allen Seiten auslaufend, in keine gesetzliche Form sich hat fügen wollen . . . übrigens aber, dem Ausdruck und der Technik nach, zwar in rühmlicher Einheit beharrt, aber in den abgesteckten Grenzen sich so frei und eigen, so keck und mitunter auch so sonderbar bewegt, dass es nicht mit Unrecht Phantasie heissen könnte."

²⁹ Unsigned article, "Franz Schubert als Claviercomponist II," *Deutsche Musik-Zeitung*, 1 February 1862: "Phantasien und Sonaten.—Der

A similar impression also pervades modern criticism, and it is now a virtual commonplace to understand Schubert as having cultivated a markedly individual approach to both the multi-movement sonata cycle and the sonata-form movement.³⁰ Jeffery Perry found that “the tension between *Das Wandern* and *Die Reise*—between fantasia and sonata form—lies at the heart of Schubert’s music.”³¹ Although writers such as Perry propose that Schubert tends to synthesize the sonata with other genres, others argue that Schubert purposefully does not bridge opposites when they appear in his works. Either way, in Schubert’s music one frequently finds what are apparently non-compatible formal procedures appearing simultaneously; for example, Schubert often employs extensive repetition in formal sections that are usually devoted to dynamic processes, especially development sections.³² Another result of Schubert’s propensity to present unreconciled, contradictory, fantasy-like elements within his sonatas is the frequent occurrence of what various critics have noted as disjunctive syntactical irregularities.³³

This quality of Schubert’s music has often proven difficult to theorize convincingly, in part because it tends to involve musical parameters such as timbre, texture, dynamic level, pulse rate, and register that are under-theorized in general and particularly with regard to keyboard sonatas. In D.894 these parameters become as crucial as more frequently privileged processes related to motivic-thematic, harmonic, and formal considerations. Although traditionally regarded as secondary facets of the music, they can in fact provide functional signals within a musical discourse. When the nature of this discourse is related to the expressive ideals of the fantasy genre, it becomes possible to approach Schubert’s apparent

Unterschied zwischen diesen Formen ist bei Schubert ein ziemlich ineinander fließender.”

³⁰See Charles Rosen, “Schubert’s Inflections of Classical Form,” in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (New York: Cambridge University Press, 1997), 72–98, and James Webster, “Schubert’s Sonata Form and Brahms’s First Maturity,” *19th-Century Music* 2, no. 1 (1978): 18–35, cont. in *19th-Century Music* 3, no.1 (1979): 52–71.

³¹Jeffery Perry, “The Wanderer’s Many Returns: Schubert’s Variations Reconsidered,” *The Journal of Musicology* 19, no. 2 (Spring 2002): 375.

³²Theodor W. Adorno discusses the effect of such repetition in “Schubert (1928),” trans. Jonathan Dunsby and Beate Perrey, *19th-Century Music* 29, no. 1 (Summer 2005): 3–14. Scott Burnham also addresses repetition in response to Adorno in “Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition,” *19th-Century Music* 29, no. 1 (Summer 2005): 31–41.

³³For a survey of how these harmonic disjunctions have been characterized in the critical literature, see Richard L. Cohn, “As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert,” *19th-Century Music* 22, no. 3 (Spring 1999): 213–232.

deviations with the analytic precision that their affective poignancy merits.

Marking Discourse: Sonata Theory and Fantasy-Spaces

Striking junctures in Schubert's music frequently involve contrasts of multiple musical parameters including mode, register, accompanimental pattern, texture, and dynamic level, and they often coincide with the tonicization of distant harmonic regions, especially chromatic mediants. Because sudden changes in these parameters are conspicuously perceptible to a listener and readily observable in a score, the identification of a passage as affectively contrastive and fantasy-like is not wholly arbitrary or merely subjective. Rather, when Schubert calls for significant shifts in several musical parameters simultaneously, the cumulative effect is often analogous to the use of a discourse marker in language.³⁴ Much as words and phrases such as "although" and "despite the fact" function to denote an immediate contrast in semantic meaning in spoken and written language, certain musical markers can be understood as providing the signal for an immediate change in the direction of the music.³⁵ A relevant example of a case in which Schubert uses a confluence of musical changes to create a sudden shift in discourse takes place near the beginning of the first movement of D.894.

The lyricism of the opening nine measures of the movement is typically Schubertian, if somewhat atypical for the primary thematic material of a sonata-form movement (see Example 1). Schubert designates the tempo at the beginning of the movement as *molto moderato e cantabile*, sets the theme in 12/8 meter at a *pp* dynamic level, and then arranges the drawn-out rhythmic durations

³⁴ I follow Bruce Fraser's proposed definition for this class of lexical expressions: "the expressions under discussion share one common property: they impose a relationship between some aspect of the discourse segment they are a part of . . . and some aspect of a prior discourse segment. . . . In other words, they function like a two-place relation, one argument lying in the segment they introduce, the other lying in the prior discourse." "What are Discourse Markers?" *Journal of Pragmatics* 31 (1999): 938. Other terms are frequently used to denote what I am referring to as discourse markers, e.g. discourse connectives, pragmatic particles, pragmatic markers, discourse particles, and so on.

³⁵ Fraser's definition of Contrastive Discourse Markers (CDMs) as a subclass of Discourse Markers (DMs) provides a particularly apt analogy to the musical phenomenon I am describing. Words and phrases that function as CDMs create a semantic situation in which the segment of discourse occurring after the CDM stands in a "contrastive relationship with the prior segment." Fraser proposes the word *but* as the primary CDM in English; a simple example would be: "He started late. But he arrived on time." "On the Universality of Discourse Markers," in *Pragmatic Markers in Contrast*, ed. Karin Aijmer and Anne-Marie Simon-Vandenberg (Boston: Elsevier, 2006), 73.

in a decidedly static homophonic texture. Because the opening is affectively subdued, when first listening it might even be possible to mistake the theme as a slow introduction. However, the subtle conflation of first theme and slow introduction only takes a truly strange turn when the opening period comes to a close. Following the cadence in m. 9, Schubert effects an abrupt modulation from the tonic to the mediant (B minor, m. 10, see Example 1) through a *Leittonwechsel*, the class of Reimannian transformations connecting major and minor triads with roots a major third apart.³⁶ The modulation initiates a relatively lengthy digression first to the minor and then to the major mode of the key of B (iii and III of G Major), all set over a dominant pedal (mm. 10–16).³⁷

Example 1. Schubert, D.894, movement 1, mm. 1–27.³⁸

Molto moderato e cantabile.

³⁶ In this case (mm.9–10), $\hat{3}$ and $\hat{5}$ are retained as common tones while the final chord member moves by semitone, G→F-sharp.

³⁷ William Kinderman discerned a correlation between this movement and the first movement of Beethoven's Fourth Piano Concerto due to the similar key relationships. But although, as Kinderman describes, "in both works, the opening G major chord—with B as the highest pitch—is magically transformed by a later shift into the tonality of the mediant, B major, a goal which in Schubert's sonata is reached through B minor, a key more closely related to the tonic," the rhetoric associated with the key structure differs significantly between the two movements. "Schubert's Piano Music: Probing the Human Condition," in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (New York: Cambridge University Press, 1997), 160.

³⁸ All musical examples are based on Breitkopf & Härtel's critical edition of 1888.

Example 1, continued.

The musical score consists of six systems, each with a treble and bass staff. Measure numbers 10, 13, 16, 19, 22, and 25 are indicated at the start of their respective systems. The key signature is one sharp (F#) and the time signature is 3/4. The score includes various dynamic markings: *ppp* at measure 10, *fp* at measure 16, *cresc.* at measures 19 and 22, and *f* at measure 19. There are also markings for *decresc.* and *pp*. The bass line is characterized by a consistent eighth-note accompaniment, while the treble line features chords and melodic lines with accents and slurs.

Schubert's quick move to the mediant as a local tonic within the first key area might not be so remarkable except that it is accompanied by significant contrasts in several additional musical dimensions. At the sudden harmonic shift the dynamic level drops to *ppp*, the theme's characteristic rhythm appears in diminution

(effectively shifting the basic pulse from a dotted-half to a dotted-quarter value), and in one of only a few instances in his piano sonatas, Schubert specifically calls for pedal (m. 10). Although Schubert's manuscript is somewhat vague in indicating which pedal is to be used (it reads only "ped."), Robert Hatten has proposed that in combination with the *ppp* dynamic marking the implication is not the use of the damper pedal but the use of the moderator pedal "to create an otherworldly effect."³⁹ Thus, in addition to the faster rhythmic profile, the textural stasis of the pedal point on F-sharp, and the radically decreased dynamic level, the passage is also demarcated timbrally from the music that immediately precedes it.

This set-off passage in mm. 10–15 clearly prepares an authentic cadence in III (B major) for the downbeat of m. 16; however, Schubert instead creates an exceptionally weak resolution to the first inversion of B minor on the downbeat and then immediately shifts the root up a half step to form the dominant seventh of G major (Example 1).⁴⁰ The reattainment of V⁷ of G major allows for a quick segue back to the first theme in the tonic at m. 17, and Schubert thereby manages to "correct" the digression to the mediant at the crucial moment of its potential definition. On its second attempt—beginning at m. 17—the G-major first theme is able to launch a relatively normative sonata-form movement as though nothing had gone awry in the first sixteen measures. Because Schubert very clearly marks the striking passage in mm. 10–16 as "other" to its context, the digression seems to demand a consideration of its effect and larger significance.

³⁹ Robert Hatten, "Pastoral: The Piano Sonata in G Major, D.894," in *Schubert the Progressive: History, Performance Practice, Analysis*, ed. Brian Newbould (Burlington, VT: Ashgate, 2003), 154. According to Malcolm Bilson, the moderator "was a leather or cloth strip brought between the hammers and strings to create a special soft effect. . . . [It] was probably more crucial to Schubert's pianissimo thinking than the shift pedal. . . . It is clear that at least in some instances the indication *ppp* or *sordino* will refer to the 'moderator.'" "Schubert's Piano Music and the Pianos of His Time," *Studia Musicologica Academiae Scientiarum Hungaricae* 22 (1980): 270. David Rowland's assessment of Schubert's use of the moderator also provides support for a view that Schubert may be calling for the moderator in D.894: markings in Schubert's music "demonstrate a readiness to use the moderator pedal, but only in passages with a particular texture, with some structural significance or with some pictorial element. The inevitable change in timbre caused by this pedal does not lend itself to frequent, or incidental, use within a movement." *A History of Pianoforte Pedalling* (Cambridge: Cambridge University Press, 1993), 138. Charles Rosen likewise has suggested that the use of the pedal in this specific passage and others like it constitutes a kind of "special effect." *The Romantic Generation* (Cambridge, MA: Harvard University Press, 1995), 21.

⁴⁰ The parsimony of this connection (iii→V⁷) is similar to a *Leittonwechsel* and fits the description of a cross-type transformation proposed by Julian Hook, "Cross-Type Transformations and the Path Consistency Condition," *Music Theory Spectrum* 29, no. 1 (Spring 2007): 1–40.

When a strongly contrasting passage such as this one occurs within a recognizable instrumental formal type (here a sonata form), the passage often sounds as though it is outside of the musical process at hand;⁴¹ or, as Su Yin Mak has stated, passages like this one seem to inhabit a “static ‘lyric space’ that is affectively distant from past and future events.”⁴² She found these moments of disruptive contrast in Schubert’s music to possess a “diffuse nature” that “negates the teleological impulse of normative sonata rhetoric.”⁴³ John Daverio suggested a similar interpretation of such passages in Schubert’s music, and noted that they often project “a sense of removal from the temporal presence of the earlier music into a realm summoned up from the recesses of memory.”⁴⁴ He discerned the affective interiority of such passages and, like Mak, considered them to function as episodic disruptions of the musical process, particularly in movements that invoke formal schemata like sonata form.⁴⁵ William Kinderman likewise observed that in Schubert’s music the abrupt juxtaposition of thematic units with radically different tonal, dynamic, and expressive content tends to create a “dichotomy of inward imagination and external perception.”⁴⁶ A consensus exists among these writers that expressively striking passages frequently present themselves as irregularities in the progress of a logically unfolding formal procedure.

The crux of all of these critical interpretations (and others along similar lines) is that one can differentiate the norms of a sonata process from the digressions that so frequently occur in Schubert’s music. Indeed, in referring to mm. 10–16 of the first movement of D.894 as a digression, I have invoked a complex set of assumptions and expectations about how a sonata process should unfold. In doing so, I am recognizing that sonata-form movements

⁴¹ In this respect Robert Hatten’s comment on the exposition of this movement is particularly insightful, although he develops it in a different direction than the one taken here: “the exposition, while remarkably regular, sounds anything but normal, since the expressive treatment of thematic ideas eludes the structural rhythms and developmental rhetoric of sonata.” Hatten, 165.

⁴² Su Yin Mak, “Schubert’s Sonata Forms and the Poetics of the Lyric,” *Journal of Musicology* 23, no. 2 (Spring 2006): 300.

⁴³ Mak, 300.

⁴⁴ John Daverio, *Crossing Paths: Schubert, Schumann, and Brahms* (Oxford: Oxford University Press, 2002), 54.

⁴⁵ See also John Daverio, “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s ‘Arabeske,’” *19th-Century Music* 11, no. 2 (Autumn 1987): 150–163.

⁴⁶ William Kinderman, “Schubert’s Tragic Perspective” in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 75. Kinderman also discusses these issues in “Wandering Archetypes in Schubert’s Instrumental Music,” *19th-Century Music* 21, no. 2 (Autumn 1997): 208–222.

and sonata cycles necessarily engage with an abstract and adaptable set of normative formal procedures; against this backdrop an individual work then realizes its unique formal design in ways that acknowledge preexisting models without precisely replicating them. Listeners who are conversant with these norms listen against this backdrop and hear the formal process of an individual work in relation to it.

Certainly, no absolute criteria exist for differentiating the typical from the atypical in the unfolding of a sonata-form movement or a sonata cycle; however, a useful tool in this regard is James Hepokoski and Warren Darcy's sonata theory, which is above all concerned with understanding sonatas of the late eighteenth and early nineteenth century as dialogical partners with a "constellation of normative and optional procedures that are flexible in their realization."⁴⁷ Central to Hepokoski and Darcy's theory is a set of typical tasks and generic obligations that define the three primary "action-spaces" of a sonata form (i.e. expository space, developmental space, recapitulatory space). What Mak, Daverio, Kindermann, and others commentators have all grappled with is that Schubert often seems to interrupt the process of fulfilling generic goals in his sonata forms by interspersing digressive passages that do not advance the dynamic processes of the form.⁴⁸

As seen, for example, in mm. 10–16 of the first movement of D.894, these digressive passages are typically demarcated by an affective otherness that is created by a marked shift in the discourse (in this case an abrupt modulation to a distant key is coordinated with changes in dynamic level, timbre, texture, and pulse rate). Because these passages seem to project themselves outside of the action-spaces of the sonata, they bear a close affinity to a formal approach that consists of exactly such episodic, expressively capricious, non-sonata explorations: the fantasy. For this reason, I will designate passages in D.894 like the one in mm. 10–16 as "fantasy-spaces." These fantasy-spaces take place in the context of the standard framework of action-spaces in sonata-form movements and sonata cycles, but they are nonetheless distinctive entities.

I propose two criteria for identifying fantasy-spaces in D.894. First, a fantasy-space must be conspicuously disjunctive because it is

⁴⁷ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 15.

⁴⁸ Although a digression can only be labeled as such through comparison with a set of formal norms, the appearance of a digression emphatically does not make a sonata movement poor or misguided in its formal construction. This is one unfortunate, if necessary, consequence of sonata theory: it tends to require describing what is not typical with words possessing negative connotations such as "digression" and "deformation" (the latter is Hepokoski and Darcy's favored term).

set apart from the music that both precedes and follows it by multiple, tangible discourse markers. Second, because the passage is disjunctive, its function within an individual movement or within the cycle as a whole must be either separate from or in addition to the functions that typify the action-spaces of these classical forms. Because a fantasy-space is both affectively disjunctive and formally or functionally non-normative, it creates an opening for critical interpretation. The label fantasy-space thus seeks to provide a way to analyze and interpret the both/and of fantasy and sonata in D.894 and perhaps also in Schubert's music more generally.

“Unfinished Business”: Fantasy Processes in D.894

The fantasy-space that disrupts the primary theme in the first movement is only the first of these disjunctive passages in D.894. When additional fantasy-spaces occur in later movements, they engage in dialogue with one another across movement divisions and create a long-range process of compositional fantasy that unifies the sonata as a whole. Importantly, large-scale unification in this manner became a hallmark characteristic of the fantasy genre in the early nineteenth century, and it can be considered an important formative influence on formal experiments later in the century.⁴⁹ Although cyclicism is the analytic term that is usually used to describe such unifying, inter-movement relationships, it is not a wholly appropriate description for D.894 because here the inter-movement relationships are not direct thematic quotations or unequivocal motivic transformations. Nonetheless, the affective and musical relatedness of the fantasy-spaces creates a strong sense that an overarching fantasy process is taking place within the four-movement sonata cycle.

Central to my interpretation is the idea that this unifying fantasy process has an identifiable long-term goal whose fulfillment is undertaken simultaneously with that of the sonata process within which it unfolds. The long-term goal of the fantasy process is prepared early in the sonata cycle; indeed, the problem that the work seeks to solve is initiated by the very first fantasy-space, the B minor/major episode in mm. 10–16 of the first movement. Recall from Example 1 that Schubert returns to the first theme in the tonic (G major) at m. 17 without effecting a true modulation to the major mediant. At m. 17 the theme then begins over again with an identical presentation of its antecedent phrase (mm. 17–20 are equivalent to mm. 1–4); however, it diverges from the opening when this time instead of formulating the theme as a period, Schubert now rewrites

⁴⁹This is especially evident in what Dahlhaus calls the “relativity” of formal categories in works that integrate aspects of both single- and multi-movement cycles. Dahlhaus suggests that Liszt took his cue in this regard from Schubert's *Wandererfantasie*. See *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), 239.

the consequent phrase (mm. 5–9) as a modulating continuation (mm. 21–24, see Example 1).⁵⁰ This continuation plus two additional reiterations of its authentic cadence in the dominant (mm. 25–26) also serve as the transition to the second theme group in the dominant, which begins at m. 27. From this point the movement fulfills the basic harmonic and formal tasks of a typical sonata-form movement, including a clear articulation of the dominant key before the end of the exposition, a developmental space, and a recapitulatory rotation that resolves the second theme group of the exposition into the tonic key of the movement.

When the recapitulation begins, the interiority and disjunction of the fantasy-space in mm. 10–16 has been all but forgotten, yet its presence is paradoxically recalled when the digression of the fantasy-space is curiously absent from the recapitulation. Rather than beginning the recapitulation with the G-major period that opened the movement (mm. 1–9), Schubert initiates the recapitulation with the spun-out, modulating version of the theme that reinstated the tonic *after* the intrusion of the fantasy-space (mm. 17 and following). Certainly, composers frequently abbreviate expositional materials in their recapitulations, but here Schubert's decision to recapitulate only the portion of the exposition that took place after the fantasy-space takes on a great deal of significance. The exclusion of the fantasy-space from the recapitulation increases the singularity and out-of-place quality of its first appearance, and it also raises the question: why did Schubert not simply begin the movement at m. 17?

One possible reason is balance. If the movement began at m. 17, the first part of the exposition would be only ten measures in comparison with a second part comprised of thirty-eight measures. Another plausible interpretation—and one that directly supports the association of D.894 with the fantasy genre—is that the problems Schubert poses at the opening of the movement are not meant to be solved in the movement at hand. Because B minor/major is unable to achieve a convincing authentic cadence in m. 16, Schubert leaves the key with what Edward T. Cone has referred to in other works by Schubert as “unfinished business.”⁵¹ Moreover, because this passage

⁵⁰ William Caplin calls this theme type “Hybrid 1: antecedent + continuation.” *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 59.

⁵¹ Cone points out a number of similar cases in Schubert's music that “require close and imaginative attention on the part of the hearer if he is to realize that the business at hand is actually unfinished. Sometimes that awareness arrives very late—perhaps only in retrospect, at the moment of completion.” “Schubert's Unfinished Business,” *19th-Century Music* 7, no. 3 (April 1984): 224. See also Edward T. Cone, “Schubert's Promissory Note: An Exercise in Musical Hermeneutics,” *19th-Century Music* 5, no. 3 (Spring 1982): 233–241.

is then omitted from the recapitulation, it is never resolved to the tonic of the movement. If the most basic purpose of a sonata-form movement is to trace a trajectory that concludes with the “rational resolution of tensions,” the first movement of D.894 has evidently not conformed to this generic requirement.⁵² The key of B minor/major becomes an open problem that must seek resolution in forthcoming movements.

Example 2. Schubert, D.894, movement 1, mm. 166–174.

Of special significance is the extent to which the pitch class B works in conjunction with the keys it represents to contribute to the openness of this sonata-form movement. Recall that it was $\hat{3}$ in G major that formed the common tone with the mediant in the upper voice at the juncture between mm. 9 and 10 (Example 1). The movement finally achieves a perfect authentic cadence in the tonic just before the close of the recapitulation (every authentic cadence in G major to that point had $\hat{3}$ in the top voice), but the problem of the pitch class B as $\hat{3}$ is then immediately reopened in the coda (mm. 166 and following, see Example 2). Here again this pitch class frequently appears in the top voice, and the multiple repetitions of the cadential gesture that take place over a tonic pedal are insufficient to keep B (and the *ppp* associated with it on its first appearance) from claiming the top voice in the final measure of the movement.

In the next two movements, the Andante and the Menuetto, it is inevitably B minor/major—with additional discourse markers like

⁵² Hepokoski and Darcy, 15.

dynamic level, timbre, register, and texture—that indicates the involvement of particular passages in an inter-movement fantasy process centered on the resolution of the open problem of B as a pitch class and as a key. Typically enough for a slow movement, the D-major Andante opens with a closed rounded binary (A-B-A') in the tonic; however, the subdued affect and tonic centeredness of the opening are forcefully dispelled with the arrival of the relative minor—B minor—at m. 31 (see Example 3). A violent outburst featuring aggressive unison rhythms marked both *ff* and *fz* announces the new key.⁵³ At this moment of interruption, it is as though the second movement is now being plagued by the same B-minor problem that appeared the first movement: as before, the course of the movement is disrupted tonally and affectively by B minor. Reinforcing the sense that this movement is replaying aspects of the first is that the *ff* outburst in B minor is followed by a lyrical *pp* that slides into the major mode (m. 45, Example 3), mimicking the minor to major trajectory that characterized the fantasy-space in the first movement. But what finally seals the impression that this movement is looking back over its shoulder are two striking passages that are identifiable as fantasy-spaces and are strongly reminiscent of the fantasy-space that was briefly visited in m. 10 in the first movement.

Example 3. Schubert, D.894, movement 2, mm. 29–51.

The image displays a musical score for Schubert's D.894, movement 2, measures 29-51. The score is in 3/8 time and D major. It shows a transition from a lyrical passage to a violent outburst in B minor. Dynamics include *pp*, *ff*, and *fz*. The outburst features aggressive unison rhythms in both hands.

⁵³ Elizabeth Norman McKay locates Schubert's choice of B minor in this movement within a series of affectively-related uses of the key in his music: "For Schubert . . . B minor had by now become a key, or voice, of special quality. In the first movement of the 'Unfinished' Symphony (1822), in the first *Rosamunde* Entr'act (1823), and in the *Rondeau brilliant* for Violin and Piano D.895, written in the same month as the G major Piano Sonata (1826), this tonality seems to be associated with a combination of intensity of feeling and passionate outbursts." *Schubert: The Piano and the Dark Keys* (Tutzing: Hans Schneider, 2009), 84–85.

Example 3, continued.

The musical score consists of four systems of staves. The first system (measures 37-40) shows a trill in the right hand and a complex arpeggiated pattern in the left hand, with a *pp* dynamic marking. The second system (measures 41-43) continues the arpeggiated accompaniment with a *ppp* dynamic marking. The third system (measures 44-46) features a more melodic right-hand line and a simpler arpeggiated left-hand accompaniment. The fourth system (measures 47-49) concludes with a *ff* dynamic marking and a cadential tag in the right hand.

Here again several discourse markers set these fantasy-spaces apart from their context within the movement. The first of the three-measure digressions is a cadential tag on the dominant of B (mm. 47–49, see Example 3) and the second is the same tag when it recurs in the context of a transposition of the previous passage up a fifth in order to now attain a cadence in the local tonic, B major (mm. 66–68, see Example 4). Both three-measure phrases are distinctively tender in affect, and they effectively detach from their context when several musical parameters shift simultaneously: the dynamic level drops to *ppp*, perhaps again implying the use of the moderator pedal; the registral space significantly reduces; the delicately ornamented melody provides a strong contrast with the preceding bold octaves in the right hand; the foregoing arpeggiated, thirty-second-note accompanimental pattern gives way to a simple homophonic texture that takes place over a pedal point on the active dominant; and the shift from an eighth- to a sixteenth-note pulse creates a significant temporal disjunction. In light of the first movement's lone fantasy-space, it is much more than coincidence that at the moment B major achieves an authentic cadence (mm. 66)

Schubert should recall the *ppp* dynamic level and other aspects of the fantasy-space that set up the “would-have-been” B major cadence in the first movement. This pair of fantasy-spaces has a strong character of remembering an earlier attempt even as they participate in the completion of the task. Neither tag is functionally necessary in its context, but rather its rhetorical purpose is to create a sense of inter-movement connectivity through the reappearance of a striking aural and expressive event.

Example 4. Schubert, D.894, movement 2, mm. 64–70.

The image displays a musical score for Schubert's D.894, movement 2, measures 64-70. The score is in 3/8 time and B major. It consists of two systems of music. The first system (measures 64-66) features a treble clef with a melodic line and a bass clef with a rhythmic accompaniment. The second system (measures 67-70) continues the melodic and accompanimental lines. Dynamics include *ppp* and *pp*.

An important aspect of the B minor/major problem now appears to have been solved. And yet, in the process of addressing an open problem from the previous movement, Schubert has created a significant abnormality in the large-scale formal scheme of the Andante movement at hand. The apparently hard-won cadence in B major represents the tonicization of VI in relation to the tonic of the movement (D major). In order to return to the tonic, following the *ppp* cadence in B major at m. 68 Schubert writes a brief transitional passage that moves by way of F-sharp minor/major to settle on a retransitional dominant. This leads to a varied reprise (in the tonic) of the rounded binary that opened the movement.

If the movement had ended with this varied reprise, the Andante would have been completed as a simple ternary form. Yet Schubert goes on to present a direct transposition of the entirety of the B minor/major material (mm. 31–79) now in the *tonic* minor/major (mm. 110–58). Because the goal of the movement clearly becomes the large-scale resolution of a secondary key area to the tonic key, the movement is best understood as a sonata form without development. If this is the case, Schubert’s use of the major submediant as a second key area in a major-mode sonata form is something of a rarity. It can, however, be justified in this context because of the exceptional role B minor/major plays in the open problems of the previous movement. The relationship of this key to the tonic remained ambiguous and unresolved at the end of the first

movement. As part of a long-range fantasy process, the large-scale resolution of B minor/major then became the goal of the second movement, and this goal is achieved at the end of its recapitulation.

Example 5. Schubert, D.894, movement 2, mm. 143–149.

The musical score for Example 5, Schubert, D.894, movement 2, mm. 143–149, is presented in two systems. The first system covers measures 143 to 146, and the second system covers measures 147 to 149. The music is in 3/8 time and D major. The treble staff features a melodic line with various ornaments and dynamics, including *ppp* and *pp*. The bass staff provides a rhythmic accompaniment with a consistent pattern of eighth notes.

After the tonic perfect authentic cadence (m. 145) and its tag in D major (mm. 145–147, see Example 5), the brief transitional passage that previously connected the secondary theme group with the recapitulation reappears in a modified form to introduce a coda based on the primary thematic material.⁵⁴ The coda is not merely ancillary. Although the attainment of the authentic cadences in the tonic at the close of the recapitulation represented an important formal and tonal event, the bass line of both tonic cadences (m. 145 and m. 147, Example 5) was not in its “obligatory register.”⁵⁵ Because the high register of these cadences offers little in the way of rhetorical or structural closure, the coda provides the opportunity for the bass line to descend to D (see Example 6, the previous authentic cadences placed the bass’s tonic resolution on d¹, Example 5), providing an important sense of finality that the previous tonic cadences lacked.

⁵⁴ Hepokoski and Darcy would refer to this movement as a “Type 1 Sonata with P-based Discursive Coda.” Hepokoski and Darcy, 349.

⁵⁵ “No matter how far the composing-out may depart from its basic register . . . it nevertheless retains an urge to return to that register. . . . The principle of obligatory register applies not only to the upper but also the lower voice.” Heinrich Schenker, *Free Composition*, trans. and ed. Ernst Oster (New York: Longman, 1979), section 9, paragraph 268.

organizing effect.”⁵⁸ Moreover, at the moment when the major mode arrives it is accompanied by a set of discourse markers indicating another fantasy-space (see Example 8). These markers include the by-now-expected drop in dynamic level to *ppp*, again perhaps implying the moderator; a contrasting texture with dominant pedal points in the soprano and tenor creating a sense of contemplative stasis; and a delicately ornamented melody in the alto voice whose *molto legato*, *Ländler*-like ease could not create a greater affective contrast to the minuet.

Example 7. Schubert, D.894, movement 3, Menuetto, mm. 1–8.

MENUETTO.
Allegro moderato.

The musical score for Schubert's Menuetto, D.894, movement 3, measures 1-8, is presented in a two-staff format. The key signature is one sharp (F#) and the time signature is 3/4. The tempo is marked 'Allegro moderato'. The score begins with a piano (*f*) dynamic. The music features a dense texture of chords, with a prominent bass line. A crescendo (*cresc.*) is indicated, leading to a forte (>) dynamic. The piece concludes with a final chord in B major.

Even more subtly, it is here, at last, in this arrestingly lovely trio that the bass motion of the authentic cadence in B major takes place in the correct register (see Example 8, B₁ appears in the bass at m. 8 and again at the close of the rounded binary). This passage is to be the final fantasy-space of D.894 as the key that has deferred its complete resolution across the fantasy-spaces of the previous movements now finds its complete closure.⁵⁹ Contemporary reviewers described the trio of D.894 as “particularly successful” and “delightful,” and the movement as a whole deserves more attention than its diminutive title might suggest.⁶⁰ In my interpretation, this movement—the apparently unassuming minuet movement that was even omitted from the original advertisement for the piece—in fact becomes the pivot of the fantasy process of the entire sonata.

⁵⁸ James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in his Instrumental Music* (New York: Cambridge University Press, 1991), 206.

⁵⁹ Cone's general description of the delayed fulfillment of “unfinished business” in Schubert's music is particularly applicable to this trio: “the effect is subtle—the satisfaction of a subconscious longing rather than the anticipated gratification of a conscious desire.” Cone, “Unfinished Business,” 225.

⁶⁰ Otto Erich Deutsch, *The Schubert Reader: A Life of Franz Schubert in Letters and Documents*, trans. Eric Blom (New York: W. W. Norton, 1947), 674 and 695.

CARRASCO

Example 8. Schubert, D.894, movement 3, Trio, mm. 1–8.

The musical score for Example 8 is in 3/4 time and B major. It consists of two systems of staves. The first system shows the beginning of the piece with dynamics *pp*, *decres.*, and *ppp*. The second system starts at measure 2 and includes a *decres.* marking.

Because the problem posed early in the first movement is resolved in the minuet movement, the sonata as a whole is then able to conclude with a G-major rondo that never revisits *ppp* or the B minor/major key area. The finale does, however, consistently reincorporate the characteristic rhythmic motive of the minuet (four repeated eighth notes, compare Example 9 with Example 7), forming a particularly fluid connection between the last two movements and suggesting once again that the four movements are part of a single process. For although the fantasy process involving B as both note and key is completed before the final movement gets underway, the G-major sonata process in which this fantasy is framed requires fulfillment in a tonic-key finale.

Example 9. Schubert, D.894, movement 4, mm. 1–12.

The musical score for Example 9 is in 6/8 time and B major. It consists of two systems of staves. The first system is marked *Allegretto.* and *p*. The second system starts at measure 6 and includes a *ppp* marking.

Schumann's Riddle

The interpretation of D.894 I have proposed resonates with a cryptic remark Schumann made in his very brief comments on D.894 as a *Phantasiesonate*. After praising it for its perfection in form and conception, Schumann stated that in the work “everything is organic, everything breathes the same life,” and “to solve its riddle, keep away from the last movement, which has no fantasy.”⁶¹ There is no way to know with certainty, but it is conceivable that when Schumann found “no fantasy” in the last movement, he was referring to the absence of the *ppp*-marked fantasy-spaces of the first three movements, and that when he excluded the final movement from participating in the solution of the work’s “riddle,” he was obliquely referring to the relatedness of these fantasy-spaces over the course of the first three movements. What, then, is the riddle Schumann suggests his readers attempt to solve? It is very plausibly the enigma of Haslinger’s designation “Fantasie oder Sonate.”

The point in reopening this enigma has not been to prove that Schubert was at fault in titling D.894 as a sonata, nor to show that Haslinger possessed greater generic insight into the composition than the composer did. Rather, the aim has been first to acquire a sensitivity to the flexibility of generic boundaries that was a feature of Schubert’s compositional world and then to allow this flexibility to inform the analysis and interpretation of apparently non-normative formal and affective features in his music. When considered in light of Schubert’s tendency to simultaneously appropriate generic norms associated with fantasy and sonata—both on the level of the individual movement and the four-movement cycle—seemingly anomalous deviations within the sonata process of D.894 become richly multi-dimensional.

As elements in a goal-oriented process, the series of contextually and functionally defined fantasy-spaces that I have identified serve to unify the work, producing the organic quality Schumann prized in it. It is particularly remarkable that this unification arises primarily through the recurrence of recognizable configurations of musical parameters other than theme and motive. Schubert almost seems to have been experimenting with alternative or additional methods for achieving a successful symbiosis of the fantasy and sonata genres through the engagement of a wide range of musical resources. Features such as dynamic level, texture, and timbre make more subtle demands of the analyst than does motivic-thematic work; for this reason D.894 provides a striking example of the affective and formal currency of these parameters as signals within a musical discourse. Although it goes against the

⁶¹ Schumann: “Hier ist alles organisch, athmet alles dasselbe Leben. Vom letzten Satz bleibe weg, der keine Phantasie hat, seine Räthsel zu lösen.”

historiographic grain, taking seriously the surface-level oddity of Haslinger's unauthorized designation for D.894—"Fantasie oder Sonate"—need not represent a willful ignorance of evidence in the manuscript. Instead, generic multivalence can offer a source of renewal for the analysis and interpretation of this sonata and potentially also for other works by Schubert.

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Quotation as a Cultural Agent: Unlocking Cultural Dimensions in Steven Stucky's Oratorio, *August 4, 1964*

J. TISH DAVENPORT

In speaking of quotation in music as a “cultural agent,” David Metzger says, “Quotation puts a new twist on the maxim that to name something is the most direct way of evoking that object and what it stands for. Here, to state the piece itself is the clearest way of summoning that piece and its cultural dimensions.”¹ Building upon this premise, the large-scale borrowing of Steven Stucky's motet, “O Vos Omnes,” appearing as “Elegy” in the seventh movement of his oratorio, *August 4, 1964*, functions as a cultural agent, bringing the cultural dimensions of “O Vos Omnes” into the new context of “Elegy” and, furthermore, into the larger context of the oratorio as a whole. The primary compositional feature binding the motet and the oratorio together is the melodic descending half-step, taken from the opening and closing of “O Vos Omnes.” This half-step motive, which is a small quotation from “O Vos Omnes,” permeates and unifies the entire oratorio, bringing the cultural dimensions of “O Vos Omnes” into the other eleven movements of *August 4, 1964*.

Both the large-scale borrowing of “O Vos Omnes” in the form of “Elegy,” and the descending half-step motive, appearing independently throughout the oratorio, are examples of Metzger's “cultural dimensions,” which are topics evoked by the cultural associations of the quotation in question.² Using many different examples of twentieth-century music and art, Metzger discusses how quotation interacts with a variety of cultural dimensions, including topics such as race, mass media, childhood, utopia, madness, and the past and present.³ Three such cultural topics are most relevant to the relationship between “O Vos Omnes,” “Elegy,” and *August 4, 1964*: time (the past, present, and future), religion (from the biblical text of “O Vos Omnes,”), and lament (evoked by a descending semitone used throughout music history to depict topics such as

¹ David Metzger, *Quotation and Cultural Meaning in Twentieth-Century Music* (New York: Cambridge University Press, 2003), 6.

² For example, Metzger discusses the topic of race as found in *Fables of Faubus* by Charles Mingus, and Mingus's treatment of quotation to musically comment on this topic within the context of the composition. Metzger, 1–2, 10.

³ These topics are discussed throughout the course of the book; however, Metzger specifically lists these categories on page 3 in his introduction.

sadness, loss, and tragedy).⁴ Since the half-step motive not only creates motivic unity within the entire oratorio but also functions as a cultural agent, understanding these three cultural dimensions within the source of the quotation, “O Vos Omnes,” will unlock not only the deeper meaning within “Elegy” but also in the rest of the oratorio.

A twenty-first century historical oratorio, *August 4, 1964* was commissioned by the Dallas Symphony Orchestra in honor of former President Lyndon B. Johnson’s centennial birthday and premiered on September 18, 2008 at the Meyerson Symphony Center with Jaap Van Zweden conducting the Dallas Symphony Orchestra, Dallas Symphony Chorus and soloists.⁵ The confluence of two separate events on August 4, 1964 creates the historical basis for the libretto: the discovery of the bodies of three civil rights workers (Michael Schwerner, Andrew Goodman, and James Chaney) in Philadelphia, Mississippi, and President Johnson’s decision to initiate bombing in the Gulf of Tonkin under the mistaken conclusion that the United States had been attacked first, thus escalating the nation’s involvement in the Vietnam war.⁶ Gene Scheer adapted the libretto from a variety of sources, including diaries, telephone logs, and personal and historical documents.⁷ The characters of this unstaged drama include Mrs. Chaney and Mrs. Goodman (soprano and mezzo soprano) as the mothers of Andrew Goodman and James Chaney,

⁴ Although Metzger does not specifically list the categories of religion and lament in his book, both carry distinct cultural associations and therefore are included here as types of cultural dimensions.

⁵ In the Dallas Symphony Orchestra program notes for the premiere written by Laurie Shulman, Gene Scheer (the librettist), Steven Stucky (the composer) and Schulman all refer to this work as an oratorio. Even though other sources online refer to it as a “Concert Drama” (<http://www.stevenstucky.com/pr091808.shtml>), I refer to *August 4, 1964* as an oratorio, and specifically a “historical oratorio” based upon the topics of the libretto and the discussion of secular oratorios in volume 4 of Howard Smither’s *The History of the Oratorio*. Howard Smither, *The Oratorio in the Nineteenth and Twentieth Centuries* (Chapel Hill: University of North Carolina Press, 2000), 78–79.

⁶ <http://www.stevenstucky.com/pr091808.shtml>, accessed 8/11/2011. A full description of both events in this libretto is also found in the Dallas Symphony Orchestra program notes written by Laurie Shulman, found on pages 31–33 in the program. In addition to these two main events, past and future stories and events (that did not take place literally on August 4, 1964) are woven through the tapestry of the libretto, creating a more dramatic storyline by incorporating elements such as President Lyndon B. Johnson’s speech to the full congress in March of 1965 in which he incorporated the well-known phrase “and we shall overcome,” and even melodic quotations from the unofficial anthem of the Civil Rights movement, “We Shall Overcome.”

⁷ “The world premiere of Pulitzer Prize-winner Steven Stucky’s *August 4, 1964* to be performed in Dallas on September 18, 2008,” accessed August 11, 2011, <http://www.stevenstucky.com/pr091808.shtml>.

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Secretary McNamara (tenor), and the main character President Lyndon B. Johnson (baritone). The chorus, in one of its many roles, speaks for Michael Schwerner, telling of his desire to “be a part of that fight” for equal rights.⁸ Throughout the oratorio, Stucky alternates these two storylines and their respective characters with dramatic contrasts in musical material, orchestration, and tempos to set them apart.⁹

To understand the philosophical significance, as well as the cultural associations behind “Elegy” and, by association, the half-step motive that binds “Elegy” and the rest of the oratorio together, examination of the source is necessary. As inspiration for *August 4, 1964*, Stucky turned to “O Vos Omnes,” an a cappella motet he wrote in 2005, reworking the motet slightly and renaming it “Elegy.” The opening four measures of this motet appear in Example 1 with the corresponding section of “Elegy” shown in Example 1a.¹⁰

Example 1. “O Vos Omnes,” mm. 1-4.

3. O VOS OMNES

Dolente (♩ = 80) STEVEN STUCKY

SOPRANO *p espr.*
O vos omnes, omnes,

ALTO *pp*
O vos omnes, O vos omnes, O vos

TENOR *pp*
O vos omnes, O vos, O, O vos omnes,

BASS *pp*
O vos omnes, O vos omnes, O vos

Stucky orchestrated “O Vos Omnes,” removing the vocal parts entirely, adding an introduction and a handful of insertions, but otherwise left the motet essentially unchanged. Due to the inclusion of the entire motet, its structural importance to the oratorio, and its length, “Elegy,” movement 7 of *August 4, 1964*, should be termed a large-scale borrowing and not a quotation (a term usually reserved

⁸ Text taken from movement 4, titled “I Wish to Be a Part of That Fight.”

⁹ The composer paints from a wide and varied musical palette throughout the oratorio, including but not limited to tertian sonorities with non-functional root movements, hints of functional harmony, quintal harmonies, whole-tone references reminiscent of Debussy, whole tone and atonal materials evocative of the tone row utilized in Alban Berg’s Violin Concerto, and melodic moments derived from the octatonic collection.

¹⁰ Due to the addition of an introduction, the beginning of “O Vos Omnes” does not appear in “Elegy” until m. 14.

for smaller segments of music, usually melodic).¹¹ However, “Elegy” noticeably stands apart not only from its flanking movements, but also from the remainder of the oratorio. As the centerpiece of the oratorio, and a dramatic orchestra-only interlude, “Elegy” retains an element of quotation: “set off from the surrounding context by punctuation or tone of voice.”¹² Furthermore, “Elegy” is able to stand on its own as an independent piece outside of the oratorio.¹³

Ultimately, “Elegy” functions as a cultural agent, drawing upon the cultural dimensions of its source, “O Vos Omnes,” and bringing the dimensions of religion, time, and lament into the new context of *August 4, 1964*. Furthermore, the prominent half-step motive taken from the beginning and ending of “Elegy” permeates the entire oratorio, also functioning as a cultural agent. The primary motive of the oratorio is a melodic descending half-step, taken from “Elegy,” originally “O Vos Omnes.” This half-step, easily heard on the surface throughout *August 4, 1964* as a melodic sighing gesture, also appears hidden beneath the surface and is found on deeper structural levels. In order to show that the cultural dimensions of “O Vos Omnes” permeate the oratorio through the half-step motive as cultural agent, it is necessary to first demonstrate the level of motivic saturation within the oratorio.

¹¹ J. Peter Burkholder, “Quotation,” *Grove Music Online*, accessed August 11, 2011, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/52854>.

¹² Burkholder.

¹³ Stucky indicates in the score that “Elegy” can stand alone as a separate piece; at the beginning of the movement the composer writes, “Omit percussion from bars 1 and 2 when movement is played as an independent piece.” (The end of the previous movement is marked *attacca*.) According to an online program for the Berkeley Symphony, “Elegy” premiered on the West Coast as part of a larger concert which took place on Thursday December 3, 2009.

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Example 1a. "Elegy," mm. 14-18.

The image displays a page of a musical score for the piece "Elegy" by Davenport, measures 14 through 18. The score is arranged in a standard orchestral format with multiple staves for different instruments. At the top left, there is a boxed letter 'A' and a dynamic marking 'pp'. The instruments listed on the left side of the score are: Flute (Fl.), Flute 1 & 2 (Fl. 1,2), Oboe 1 & 2 (Ob. 1,2), English Horn (E.H.), Oboe 1 & 2 in B-flat (Ob. 1,2 m.Bb), Bass Clarinet in B-flat (B. Cl. m.Bb), Bassoon 1 & 2 (Bsn. 1,2), Contrabassoon (Cb.), Horn 1 & 2 in F (Hrn. 1,2 m.F), Horn 3 & 4 in F (Hrn. 3,4 m.F), Trumpets 1-3 in C (Tpts. 1-3 m.C), Trumpet 1 (Tbn. 1), Trumpet 2 (Tbn. 2), Trumpet 3 (Tbn. 3), Tuba (Tuba), Timpani (Timp.), Harp (Harp), Violin I (Vn. I), Violin II (Vn. II), Viola (Va.), Violoncello (Vc.), and Contrabass (Cb.). The score shows various musical notations including notes, rests, and dynamic markings such as 'pp' and 'p'. A section of the score is marked with a boxed 'A' and a 'p' dynamic.

There are four categories of motivic borrowing in *August 4, 1964*: 1) as a melodic element (the descending half-step motive occurs individually and also integrated into a melodic line); 2) as a neighboring tone or chords; 3) as voice-leading in a harmonic progression; and 4) in the creation of an extended sonority (e.g., two tertian-based harmonies with roots a half-step apart). Some of these motivic appearances are closer to the surface and are aurally accessible upon a first hearing, but others are hidden more deeply and potentially uncovered only after repeated hearings. A hypothetical quotation continuum demonstrates the degrees of audibility and aural accessibility of these four different applications of the half-step motive. In addition to providing a scale for comparison of audibility, the quotation continuum also serves as a medium for weighing the strength of the cultural associations of the

quotations, with the more audible quotations carrying the stronger cultural associations.¹⁴

The concept of the quotation continuum is described by Kristian Hibberd in a review of *Quotation and Cultural Meaning in Twentieth-Century Music*. Hibberd explains this concept as follows:

Writing of the use of another's words, Mikhail Bakhtin describes a continuum, at one end of which is the direct and acknowledged appropriation of a preexisting utterance: specifically, the quotation. At the other end stands the notion that 'Any utterance, when studied in greater depth . . . reveals to us many half-concealed or completely concealed words of others with varying degrees of foreignness.' Bakhtin understands these two points as continuous because both (and every possibility in between) are essentially governed by the same principles: their distinction lies in the degree to which the utterance is acknowledged (both by the speaker and the addressee) and appropriately framed.¹⁵

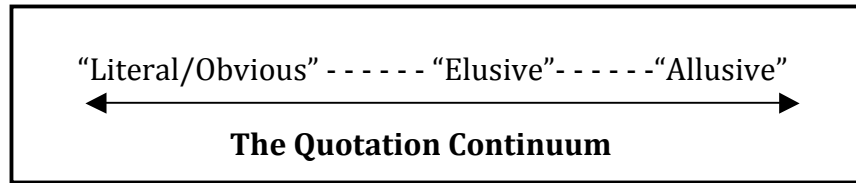
I have taken Hibberd's application of Bakhtin's idea, and created the visual illustration in Figure 1, showing the continuum as a straight line with the most "literal/obvious" quotations lying on the far left side, "elusive" quotations in the center (a category added to help further distinguish degrees of audibility), and the "allusive" quotations placed at the far right side. Beginning with the "literal/obvious" category on the quotation continuum, the melodic descending half-step motive is excerpted directly from the opening of "O Vos Omnes."¹⁶

¹⁴ Metzer, 6. Metzer discusses how the most obvious and literal quotations carry the strongest cultural resonances. Therefore, those quotations that appear to the furthest left on the continuum would carry the strongest cultural associations and those closer to the right would be weaker in association.

¹⁵ Kristian Hibberd, "Review of *Quotation and Cultural Meaning in Twentieth-Century Music* by David Metzer," *Music Analysis* 26, no. 1/2 (March 2007): 249. The Bakhtinian continuum as discussed by Hibberd contains two points: the direct quotation and concealed or half-concealed utterances. I expound upon this idea by creating a continuum with three separate categories, adding the term "elusive" to the center of the continuum. Imagine a continuum ranging from the most obvious and literal quotations, moving through the "elusive" (more subtle) to the least obvious quotations, "allusive," existing on the opposing end of the continuum. "Allusive" quotations may sound vaguely familiar initially but one might have difficulty placing the source, if such as source even exists.

¹⁶ All the music examples contained in this article are excerpted from a C score; therefore, no transposition is necessary.

Figure 1. Visual Representation of the Quotation Continuum.



Shown in Example 2, the melodic gesture in the violin I and II, appearing initially over a G minor chord in m. 2 (E-flat to D) and repeating the gesture over an A-flat minor chord in m. 3, opens the oratorio and reoccurs throughout it in varying harmonic contexts.¹⁷ This gesture carries strong historical associations as a sighing or crying gesture, often connected with lament.¹⁸ One historical source for this idea can be found in the study of *musica poetica* with the use of musical rhetoric as means of expression. Bent and Pople quote J. Burmeister’s analysis of an Orlando di Lasso motet: “The fourth [Period 5] divides into two sub-choruses, and has *pathopoeia* [a semitone chromatic step expressive of sadness] on the words ‘dolor meus’ in Tenor I and Bassus.”¹⁹ The instrumentation and prominence of this descending melodic dyad as the primary melodic gesture in the opening measures of the oratorio contribute to the placement of this motive on the left side of the continuum. Although initially this melodic dyad sounds complete, it subsequently appears as part of what might be considered a larger octatonic arrangement, e.g., a diminished tetrachord, two motives in succession, as shown in Example 3 in the violin I and II, also doubled in the trumpets, oboes, and English horn with piccolo trumpet and oboes doubled at the octave.²⁰

¹⁷ In this article, I occasionally use chord names and lead sheet symbols to label the tertian harmonies (such as G minor and A-flat minor in example 1, or D-flat major chord with raised 7th, 9th and 11th in example 7a). My utilization of these symbols does not limit the designation as non-functional, rather I intend only to convey motivic relationships such as half-step and thirds gestures, while avoiding the connotations that arise from functional notation with Roman numerals.

¹⁸ Ian D. Bent and Anthony Pople, "Analysis," *Grove Music Online*, accessed August 11, 2011, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/41862pg2>. As found in this article, many examples of this semitone figure as *pathopoeia* are given in Burmeister’s *Musica Poetica*. J. Burmeister, *Musica poetica* (Rostock, 1606/R; Eng. trans., 1993).

¹⁹ Bent and Pople. This quote can be located in the “History” section of this article titled “Early History (to 1750).”

²⁰ Kenneth R. Rumery discusses the octatonic scale and separates it into 2 modes: one mode beginning with a half step (the diminished mode) and the other beginning with a whole step (minor mode). Each mode can be split into two tetrachords. The tetrachords that begin with a half step and belong to the diminished mode are referred to here as diminished

Example 2. Movement 1, mm. 1-4 (strings only).

The melodic half-step motive

The musical score for strings (Violin I, Violin II, Viola, Violoncello, Contrabass) in 9/8 time. The score shows a melodic half-step motive. The dynamics are marked as *ff*, *mf*, and *p*. The chord changes are indicated as G min and A \flat min.

Steven Stucky, in “Coming Home: On Writing a Second Concerto for Orchestra,” reveals: “Nowadays I sometimes talk about my Household Gods, those founders of the great twentieth-century musical traditions I still depend on: Debussy, Stravinsky, Bartók, Sibelius, Ravel, Berg, and many others. Their DNA is still in my musical genes.”²¹ This diminished tetrachord shown in Example 2 is reminiscent of Debussy.

Example 3. Movement 1, mm. 31-34, diminished tetrachord (Oct 2,3: E-flat - D - C - B).

The musical score for Violin I and Violin II in 9/8 time. The score shows a diminished tetrachord (Oct 2,3: E-flat - D - C - B). The dynamics are marked as *ff*, *f*, and *p*.

One specific example would include the English horn melody in Debussy’s “Nuages,” which is shown in Example 4.²²

tetrachords. http://jan.ucc.nau.edu/~krr2/ct_octatonic.html, accessed August 11, 2011. There are many more uses of the octatonic scale and harmonies possibly derived from the octatonic collections throughout the oratorio, lying outside the scope of this article, but they provide an interesting possibility for future analysis.

²¹ Steven Stucky, “Coming Home: On Writing a Second Concerto for Orchestra,” Theodore Presser Company, 2003, accessed August 11, 2011, <http://www.stevenstucky.com/writings.shtml>.

²² Rumery points out Debussy’s use of the Mode 2 diminished tetrachord as the “Nuages” ostinato.

Example 5a. Movement 1, mm. 35–38

The half-step motive (from m. 31 in Example 2) embedded into top of melodic line: (E-flat - D).

Mrs. Goodman
 35 *mp espr.*
 It was the saddest moment of my life.

In addition to the melodic statements of the half-step motive, this descending semitone figure also appears in the form of neighbor tones and neighboring sonorities, lying in close proximity on the continuum to the melodic half-step in Example 4.

For the repetition of the E-flat to D motive, shown in m. 3 of Example 6, Stucky shifts the chord underneath the motive (G minor) up a half step (to A-flat minor), thus making the E-flat a chord tone, and the sustained D an incomplete neighbor, which leaves a dissonant augmented fourth (plus two octaves) sustaining above the bass.²⁵ Additionally, Stucky utilizes the half-step motive as a neighboring tone in the viola and violoncello in mm. 3–4, shown circled in Example 6. Within the context of a G minor centrality at the beginning of the oratorio, the A-flat minor chord in m. 3 also functions as a neighboring chord to the G minor. The root movement of these two chords, bracketed in the contrabass (G – A-flat), also forms an inversion of the previously melodic half-step motive.

²⁵ The lingering unresolved neighbor (creating a sustained tritone, two octaves apart, between the bass and soprano) prepares the mood for the first vocal entrance and the text, “It was the saddest moment of my life.” There are some other instances where the use of an augmented fourth seems notable, for example, in the phrygian cadence that closes “Elegy” as the root movement between the two chords is an augmented fourth.

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Example 6. Movement 1, mm. 1-4 (excerpt from score, strings only)

E-flat is an incomplete upper neighbor over the G minor chord; D becomes the incomplete lower neighbor upon the shift in harmony to A-flat minor in m. 3.

UN (b6 - 5) (5 - #4) LN UN

*G min A^b min

(* This inverted half-step motive is the root movement between G minor and A^b minor)

The third incorporation of the half-step motive is “elusive” on the continuum, and involves voice leading. The piano reduction shown in Example 7 demonstrates the chromatic stepwise motion in a long stretch of harmonic voice leading. This chromatic voice leading is seen initially in several measures taken from the opening material of Secretary McNamara, and it subsequently recurs several times over the course of the oratorio.²⁶ The reduction shown in Example 7 illustrates two separate harmonic progressions: progression 1 is shown in the treble clef of the piano part and progression 2 in the bass clef.

²⁶ This musical material, shown in Example 7, recurs with McNamara at several points throughout the oratorio: 1) in movement 3, beginning at m. 37, the pitches are the same although some minor changes have been added to the orchestration and text (rhythms slightly adjusted to account for changes in text), 2) in movement 6, beginning at m. 62 (same pitches, different text), 3) in movement 9 at m. 34 (here the vocal line closely resembles the previous examples, although Stucky adds two more progressions and thickens the orchestration to add tension to the drama as Secretary McNamara recommends the use of bombers for the Gulf of Tonkin incident).

Example 7. Movement 1, mm. 104–109 (McNamara), excerpt from piano-vocal score (The right hand of the piano reduction represents the viola parts, and the left hand contains the bass clarinet and bassoon parts.)

As the two progressions are registrally and orchestrally separated in the score, each with its own harmonic rhythm, it is best to examine each voice-leading progression independently. Each progression contains a three-part polyphonic line with ascending half-step motions connecting the adjacent triads.²⁷ When changes in the harmony occur in either progression, the shift is either the direct result of one half-step motion, or the result of two of the three voices moving by half step, in the case of mm. 106–107 in progression 2.²⁸

Parsimony is a useful way to express this relationship between adjacent triads by showing how many pitches move by a half or whole step. Economy of voice-leading motion is ideal, but different authors have varied ideas on what constitutes a parsimonious relationship. Jack Douthett and Peter Steinbach qualify parsimonious chords as those related by $P_{1,0}$, $P_{0,1}$ or $P_{2,0}$.²⁹

The example of parsimonious voice leading as shown in Example 6a consists of an A major triad moving to an A augmented triad (the E-sharp is enharmonically spelled as an F), expressed as

²⁷ The two-part polyphonic vocal line sung by McNamara is not a separate third progression, but is derived from progression 1.

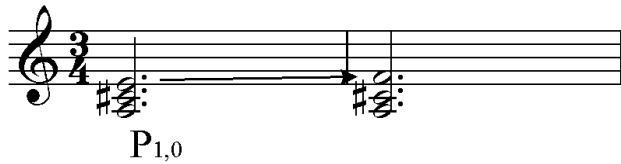
²⁸ This passage continues in like fashion, with mostly ascending half steps reaching the peak of a phrase, and then starting over on a lower pitch and again rising to convey McNamara's tension and anxiety.

²⁹ Douthett and Steinbach discuss Adrian Childs and Richard Cohn's differing allowances for parsimony and offer a definition of $P_{x,y}$. $P_{x,y}$ is a basic formula wherein P = parsimonious relationship, x = how many pitches are moved by half step and y = how many pitches are moved by whole step in the motion from one chord to the next. Jack Douthett and Peter Steinbach, "Parsimonious Graphs: A Study in Parsimony, Contextual Transformations, and Modes of Limited Transposition," *Journal of Music Theory* 42 (1998): 243.

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P_{1,0}, as one pitch moves by half step and no pitches move by whole step (two common tones remain, A and C-sharp).

Example 7a. Example of parsimonious voice leading.



Example 7b contains a harmonic reduction of Example 7 with parsimonious relationships expressed for both individual progressions. The harmonic rhythm in progression 1 changes every measure with each chord related to the next by P_{1,0}. The harmonic rhythm is slower for the second progression, with only two changes in harmony occurring over the six-measure excerpt. Progression 2 incorporates a P_{2,0} relationship in mm. 106–107, where two voices move by half step, retaining only one common tone. All of the harmonic changes in Example 7b result from half-step motions, thus incorporating the half-step motive successfully into the harmonic voice leading.

Example 7b. Parsimonious voice leading, movement 1, mm. 104–109, reduction.

The image shows a reduction of Example 7b in 3/4 time, starting at measure 104. It consists of two staves, labeled 1 and 2. Above the staves, five P_{1,0} relationships are indicated between measures 104, 105, 106, 107, and 108. Below the staves, two P_{2,0} relationships are indicated between measures 106 and 107, and between measures 107 and 108. Below the notation, the chord progressions for each staff are listed:

1.	A Maj	-----	A aug	-----	Bb min	-----	Bb Maj	-----	Bb aug	-----	Eb min
2.	D Maj	-----	-----	-----	-----	-----	Eb aug	-----	-----	-----	E min

Another example of the half-step motive in voice leading occurs when the half-step motive appears cadentially in the bass line, revealing a modern harmonization of the Phrygian cadence with a root movement of an augmented fourth, which is used at several key points in the oratorio. Example 8 shows one instance of this cadential motive as it appears in movement 12.

Example 8. Movement 12. mm. 23–26, the cadential motion of G-flat maj to C min.

23 unis. *ff non dim.*
 What is pre-cious is nev-er to for-get.
 div. *ff non dim.*
 What is pre-cious is nev-er to for-get.
ff non dim.
 What is pre-cious is nev-er to for-get.
 unis. *ff non dim.*
 What is pre-cious is nev-er to for-get.

Gb Maj 4/3 C min7

In Example 8, the somewhat unsettling cadence of a G-flat major seventh chord to a C minor seventh chord completes a textual and musical thought. The half-step descent in the bass line at the end of the phrase, from D-flat to C, emerges out of a longer scalar descent in the bass line which is taken from the Phrygian mode (B-flat, A-flat, G, F, E-flat, D-flat, C), and thus evokes a Phrygian cadential effect. Without a satisfying sense of resolution, one might argue that these two chords are not cadential in quality; however, the open and unresolved feeling that remains is similar to the effect of a deceptive or a half cadence.

In Example 8, the shift in quality at the cadence point from major to minor, the descending half-step in the bass, the soprano note ending on the seventh of the chord, and the relationship of the two chords with root movement of an augmented fourth all contribute to an inadequate sense of cadential resolution. Perhaps meant to evoke an unresolved feeling at this moment in the oratorio, this cadential gesture prepares a subsequent static vamp, and possibly represents the textual promise “never to forget” that which is precious, i.e., the many lives that were lost in the Civil Rights struggle and in Vietnam as well.³⁰

In Example 9, a second instance of this type of Phrygian cadence appears in the final four measures of “Elegy,” which was originally “O Vos Omnes.” The half-step motive saturates these measures in the voice leading, appearing not only in the bass line, but also as double passing tones, and in the diminished tetrachord (A-flat – G – F – E). The use of a dominant seventh quality B-flat

³⁰ The text “never, never, never to forget” appears in movement 12, mm. 28–31 (chorus) as a derivative of text from the Stephen Spender poem, “I Think Continually of Those Who Were Truly Great”: “What is precious is never to forget.”

chord rather than a major seventh chord sets up greater expectations for a functional tonal cadence at the end of this movement; although, perhaps several elements—i.e., the parallel octaves descending by half-step (F - E), the uneasy half-step contrary motion shown in the bass clef in Example 6a with arrows (B-flat ascends to B, the fifth of the E major triad, over the F - E half-step descent in the bass line), or the retention of the seventh of the B-flat chord as a common tone enharmonically respelled as a G-sharp, which does not resolve downward as our tonal ears might expect, but instead becomes the third of the E major chord,—lend an unexpected, tenuous resolution to this harmonic passage.³¹

Example 9. Mm. 47–50, the last 4 measures of “O Vos Omnes”/ “Elegy” as shown in the piano reduction for “O Vos Omnes.” Shown below: the cadential motion from B-flat major-minor seventh chord to E major, and the diminished tetrachord motive: (A-flat - G - F - E), double passing tones, and voice leading motion.

The musical score for Example 9 shows measures 47-50. Measure 47 begins with a B-flat major-minor seventh chord (labeled Bb 4/3) in the bass clef and a diminished tetrachord (labeled DPT) in the treble clef. The treble clef contains a diminished tetrachord (A-flat - G - F - E) with double passing tones. The bass clef contains a B-flat major-minor seventh chord. The score includes dynamic markings 'mf' and 'pp'. The key signature changes to E major (E Maj) in measure 49. The score is dated '25 June 2005'.

As the fourth and final “allusive” incorporation of the half-step motive to be discussed, two motivic ideas (the half-step and thirds) combine in the structure of specific extended sonorities, e.g., the combination of two triads or seventh chords whose roots lie a half-step apart.³² The beginnings of this idea can be found as early as the opening measures of movement 1. The G minor chord and neighboring A-flat minor chord from Example 6, mm. 1–4, begin to overlap in m. 4. The clarinets begin arpeggiating G minor over the A-

³¹ Even though “Elegy” is not functionally tonal, with the use of tertian based harmony the appearance of a traditional-sounding sonority such as the B-flat dominant seventh chord at a cadence point could create in a listener an aural desire for a functional tonal resolution.

³² Steven Stucky, *Lutoslawski and his Music* (Cambridge: Cambridge University Press, 1981), 114–16. One of Stucky’s harmonic influences includes Witold Lutoslawski. In his late works, Lutoslawski utilizes vertical organization of the full chromatic aggregate and Stucky explains the use of limited interval classes in the creation of these vertical sonorities using categories such as “Twelve-note chords based on interval classes 3 and 4.” Although Stucky more typically employs four- to six-note chords, the utilization of sonorities with interval classes 3, 4, and 1 could be a subconscious influence of Lutoslawski’s late works.

flat minor arpeggiation in the strings and lower winds.³³ This arpeggiation continues in mm. 5–7, as shown in Example 10.

Example 10 shows two triadic groupings, separated by register and orchestration. The first is a grouping of a G minor triad arpeggiation, in bassoon, clarinet and Mrs. Chaney, and the second consists of the viola, violincello, and contrabass parts, which outline an A-flat minor sonority. This example is best viewed as polytonal on a local level, with the two harmonies a half step apart.

Example 10. Movement 1, mm. 5–7: polytonality
G minor: Chaney, clarinets, bassoon
A-flat minor: viola, violoncello, contrabass.

The musical score for Example 10, mm. 5–7, is presented in a multi-staff format. The top staff is for the vocal part, Chaney, with lyrics "sad - dest mo - ment of my life,". The score includes parts for Cl. 1 in B \flat , Cl. 2 in B \flat , B. Cl. in B \flat , Bn. 1, Bn. 2, Va., Vc., and Cb. The key signature is one flat (B \flat), and the time signature is 6/8. The score shows a change in key signature from one flat to two flats (A \flat) between measures 5 and 6. Dynamics include piano (*p*) and accents. The score is marked with a '5' at the beginning of each system.

Later in the oratorio there are instances in which two different chords with roots a half step apart sound simultaneously as one larger extended sonority, referred to here as polychords, shown in Example 11.

³³ I use the term polytonality here as defined and examined by Rudolf Reti: "two different lines which are in two different keys appear contrapuntally juxtaposed." He goes on to say the weakness of this definition is the limitation of the key designation, rather than a general sense of two tonics. I agree with his assessment as I do not believe here that the keys of A-flat and G are functional, but rather exist as temporary tonics or centricities. Rudolph Reti, *Tonality in Modern Music* (New York: Collier Books, 1962), 79.

Example 11. Movement 1, m. 115, harp

Example of a polychord: D-flat and C major sounding simultaneously OR one extended sonority such as C major +11, flat 9, flat 6.

115

Although the two triads appear visually separated through registral and orchestral means in the score, this sonority will most likely be heard as a single sonority rather than as polychordal. Therefore, one could consider this type of extended sonority to be the most elusive of the four types of half-step motives discussed, placed toward the right of this category on the quotation continuum. In fact, since the composer did not intentionally create this relationship between the polychordal harmonies and the half-step motive, “allusive” would be a more accurate assessment.³⁴ Only when one uncovers this facet through analysis does the half-step motive reveal itself, and once revealed and connected with the initial melodic half-step motive, a cultural association can be made as well.

The examples of the half-step motive shown thus far are only a small representation of many appearances in the context of the oratorio as a whole. In fact, over the course of the oratorio, this melodic half-step motive appears beginning on each pitch class at least once, completing the chromatic aggregate.³⁵ The creation of motivic unity within *August 4, 1964* is the result of both the level of motivic saturation and the half-step motive’s completion of the aggregate. Larger-scale appearances of the half-step motive, not

³⁴ As revealed in a telephone conversation with the composer, Stucky did not consciously incorporate the half-step motive into the sonorities discussed here, although he did term them polychords.

³⁵ Within the introduction to “Elegy,” (not present in “O Vos Omnes,”) the half-step motive appears beginning on each pitch in the chromatic scale at least once, several motives appearing in retrograde or inversion. Even if not considering this introduction, within the context of the rest of the oratorio as a whole, the melodic half-step, as shown in Example 6, appears at least once beginning on each pitch in the chromatic scale as well. The idea that Stucky has completed the aggregate, so to speak, adds to the unification of the oratorio through the appearance of this half-step motive on each chromatic pitch. Jennifer Tish Davenport, “Functions of Quotations in Steven Stucky’s Oratorio *August 4, 1964* and their Placements within the Context of a Quotation Continuum: Cultural, Commentary, Remembrance, and Unity” (master’s thesis, University of North Texas, 2010), 81–87.

audible on a surface level, contribute to motivic unification as well. For example, on the largest scale, one can view the beginning and ending of the oratorio as unified by a half-step motivic gesture: the descending half-step motive frames the entire oratorio from the opening G minor chord to the final chord, F-sharp major, creating a structural (G – F-sharp) bass line motion between the opening and closing chords.

The cultural dimensions of religion, time and lament are all brought into the context of *August 4, 1964* through the function of the half-step motive, which appears on surface and structural levels throughout the oratorio, and “Elegy” itself, as cultural agents. In regards to the theme of religion, the biblical text of “O Vos Omnes,” Lamentations 1:12, provides a rich source from which to draw in an examination of possible cultural associations. The Lamentations are thought to have been written around the sixth century B.C.E. as a response to the destruction of Jerusalem at the hands of the Babylonians.³⁶ These poems characterize immense grief, suffering, and loss. Of the five poems, titled “Lamentations” in the Septuagint, also referred to as “Elegies,” “O Vos Omnes” belongs to the twelfth stanza of the first poem. This passage opens with the imagery of Jerusalem, personified as a woman, mourning the loss of her children and weeping.³⁷ Lamentations 1:1 reads: “How deserted lies the city, once so full of people! How like a widow is she, who once was great among the nations!”³⁸ In Adam Clarke’s online commentary of this passage he explains: “Cities are commonly described as the mothers of their inhabitants, the kings as husbands, and the princes as children. When therefore they are bereaved of these, they are represented as widows, and childless.”³⁹ Lamentations 1:12 (“O Vos Omnes”), written as if Jerusalem herself is speaking, expresses her immense sorrow and loss:

<i>O Vos Omnes</i>	O all you
<i>Qui transit per viam,</i>	who pass along this way,
<i>Attendite et videte</i>	behold and see
<i>Si est dolo similes,</i>	if there be any sorrow
<i>Sicut dolor meus.</i>	like unto my sorrow. ⁴⁰

How appropriate then, both textually and musically, that Stucky transformed this motet into the basis of *August 4, 1964*. The immense sorrow of Jerusalem, a metaphorical mother having lost

³⁶ F. W. Dobbs-Allsopp, *Lamentations: Interpretation, a Bible Commentary for Teaching and Preaching* (Louisville: John Knox Press, 2002), 4.

³⁷ Adam Clarke, accessed on 6/26/2010, <http://www.godrules.net/library/clarke/clarkelam1.htm>.

³⁸ Lamentations 1:1 [New International Version].

³⁹ Clarke.

⁴⁰ This translation is given in the score: Steven Stucky, *Three New Motets*, (Bryn Mawr, PA: Theodore Presser Company, 2007).

her children, translates effectively to the sadness of the mothers Mrs. Chaney and Goodman as they also experience the loss of a child. With a biblical text as a source for “Elegy,” and thus for the primary half-step motive of the oratorio, one should note that in *August 4, 1964* there is no hint of a plea to God himself, as seen later in the scriptures for Lamentations 1. The composer manipulates the cultural association of the biblical text for “O Vos Omnes” by removing the text in “Elegy,” and thus a tangible relationship between God and the oratorio.

Stucky also incorporates several notable gestures from Benjamin Britten’s *War Requiem* into *August 4, 1964*.⁴¹ The text for Britten’s *War Requiem* contains both texts from the Latin Requiem Mass and poems written by Lt. Wilfred Edward Salter Owen, an Englishman with a strong religious upbringing warring with intense pacifist ideas while fighting in the trenches during World War I. Mervyn Cooke, revealing Owen’s religious and pacifist conflicts through letters written to his mother, states:

He wrote again to his mother in terms which constitute a conscious turning against his earlier biblical exemplar [to turn the other cheek]: “While I wear my star and eat my rations, I continue to take care of my Other Cheek; and, thinking of the eyes I have seen made sightless, and the bleeding lad’s cheeks I have wiped, I say: Vengeance is mine, I, Owen, will repay.”⁴²

Cooke goes on to say, “Not surprisingly, antipathy towards religion was widespread in the trenches.”⁴³ Perhaps for similar reasons, i.e., the topic of war in *August 4, 1964*, religion is treated thus, with the removal of the biblical text from the quotation of “O Vos Omnes.”

In “O Vos Omnes,” the poem from Lamentations 1 contains several features of a lament, as listed by Diane Bergant in “The Challenge of Hermeneutics: Lamentations 1:1–11: A Test Case”: “an expression of grief resulting from a national disaster; a description of how the suffering affects the way the city views herself, her status in the broader society, and her relationship with God; and a direct plea to God to take notice of the city’s affliction.”⁴⁴ Although the oratorio notably lacks any reference to a relationship with God, the expression of grief is distinctly present in *August 4, 1964* as Mrs.

⁴¹ Specifically, two influences of Britten’s *War Requiem* include: 1) arpeggiated brass fanfares, found in sections that contain the topic of, or musically imply, war; and 2) the ending cadence for movements 7 and 12 were inspired by the cadences of the first and final movements.

⁴² Mervyn Cooke, *Britten: War Requiem* (Cambridge: Cambridge University Press, 1996), 9.

⁴³ Cooke, 9.

⁴⁴ Diane Bergant, “The Challenge of Hermeneutics: Lamentations 1:1–11: A Test Case,” *The Catholic Biblical Quarterly* 64 (2002): 8.

Chaney and Goodman open the oratorio with their own version of Lamentations, “It was the saddest moment of my life.” At the height of this melodic line, seen in Examples 5 and 5a, the half-step motive evokes the cultural dimension of lament.

James Jensen, in *The Muses’ Concord: Literature, Music and the Visual Arts in the Baroque Age*, discusses lament as a rhetorical convention utilized by artists within the Baroque era. He states that the topic of lament is “supposed to achieve a specific effect . . . whether that lament is in poetry, painting, or music.”⁴⁵ Musically, the means of expression varied according to the type of lament, although it is generally accepted that there were standardized musical conventions employed to evoke particular passions.⁴⁶ The selection of particular key areas to represent specific emotions was one such tradition. By way of example, Jensen discusses Henry Purcell:

Purcell uses specific keys, more or less, with certain emotions. His songs about passionate love and its torments are in the keys of C, D, and G. He saves E for the most extreme cases of death, cold, doubt, and so on; A is not so extreme but is used generally for the same subjects. In a single song he changes keys to indicate which emotion is being expressed.⁴⁷

Stucky connects historically with these conventions in his choices of key for *August 4, 1964* as well, specifically in his selections of G minor and E minor (the latter with Phrygian implications). Dido’s Lament from *Dido and Aeneas* is set in the key area of G minor, and the opera ends in G minor with Dido’s death. An immediate predecessor to *Dido and Aeneas*, John Blow’s *Venus and Adonis* also ends in G minor with a similar topic, lamenting the death of Adonis.⁴⁸ Stucky ties into this convention by opening the oratorio with a clear G minor tonality, which recapitulates at the climax in movement 10.⁴⁹ It is in this G minor tonality that the opening vocal lament, sung by Mrs. Chaney, appears in m. 4: “It was the saddest moment of my

⁴⁵ James Jensen, *The Muses’ Concord: Literature, Music and Visual Arts in the Baroque Age* (Bloomington: Indiana University Press, 1976), 171.

⁴⁶ Jensen, 173. He states, “The laments in all art follow a standard pattern and exhibit and express the same passions in the same conventional ways.”

⁴⁷ Jensen, 102.

⁴⁸ Ellen Harris, *Henry Purcell’s Dido and Aeneas* (New York: Oxford University Press, 1987), 70.

⁴⁹ The particular musical material in this G minor tonality is heard first in movement 1, sung by both Mrs. Goodman and Chaney. It recurs in “Elegy” roughly midway through the oratorio, and then returns in movement 10 at m. 33 and continues until m. 79 in a similar fashion to a recapitulation in a sonata form with a few minor unsubstantive changes. Each recurrence of this material is important structurally: the opening, the beginning of “Elegy,” and movement 10, where the final climax of the oratorio is reached.

life . . . August fourth, nineteen sixty-four.”⁵⁰ “O Vos Omnes” (and “Elegy”) begin and end with E minor (and Phrygian implications, considering the final cadence), despite the Picardy third ending on an E major chord which, according to Jensen, is a key Purcell himself would have reserved for “the most extreme cases of death.” The absence of voices in this purely orchestral movement further sets “Elegy” apart from the rest of the oratorio, as if the sorrow being experienced in this movement is too great for words.

Considering its source and function within the oratorio, not only is “Elegy” itself one large-scale lament, but the opening half-step motive from “Elegy” (as a motivic quotation from “O Vos Omnes”) brings forth cultural associations of lament each time it sounds, whether instrumental or vocal. This gesture, as described by Burmeister, “has *pathopoeia* [a semitone chromatic step expressive of sadness].”⁵¹ For example, in Dido’s recitative “Thy Hand, Belinda,” shown in Example 12, the soprano line contains many expressive descending half-step motions as the vocal line chromatically descends through the octave. Particularly when the text mentions “death,” a descending semitone appears.

Example 12. Henry Purcell, “Thy Hand, Belinda,” mm. 5-9.

The musical score for Example 12 consists of two staves. The top staff is a vocal line in treble clef, and the bottom staff is a piano accompaniment in bass clef. The vocal line begins with a rest, followed by the lyrics: "rest: More I would, but Death in-vades me: Death is now a wel- come guest." The word "Death" is marked with a descending semitone, and the word "wel-" is marked with a descending semitone. The piano accompaniment provides harmonic support with chords and moving lines.

One of Burmeister’s examples of *pathopoeia* includes the semitone found on the text “dolor meus” in Lassus’s five-voice motet *In me transierunt*, shown below in Example 13.⁵²

⁵⁰ Shown in Example 5.

⁵¹ Bent and Pople.

⁵² Bent and Pople.

Example 13. *In me transierunt irae tuae*, mm. 46–52. Orlando di Lasso, Motet 14 from *The Complete Motets 2: Sacrae cantiones (Nuremberg, 1562)*

46

Cantus
a: do - - lor me - - - us

Altus
a: do - - lor me - - -

Tenor 1
a: do - - lor me - - -

Tenor 2
a:

Bassus
a:

49

in

us, (do - - - lor me - - - us)

us, do - - lor me - - - us

do - - lor me - - - us

do - - - lor me - - - us

In comparison, “O Vos Omnes,” ending with the text “sicut dolor meus,” also contains *pathopoeia*. In the final three measures of “O Vos Omnes,” the harmonic reduction shown in Example 9, several voices descend by semitone at the final Phrygian cadence (notable since Burmeister defines the mode of Lasso’s motet as authentic Phrygian).

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Example 14. "O Vos Omnes," mm. 48-50.

The musical score for Example 14, "O Vos Omnes," mm. 48-50, is presented in two systems. Each system includes parts for Soprano (S.), Alto (A.), Tenor (T.), Bass (B.), and Piano (P.). The vocal parts are in 3/4 time and feature the lyrics "sic - ut do - lor me - us." The piano part is in 3/4 time and provides harmonic support. The score is marked with a dynamic of *pp* (pianissimo). The first system shows the vocal parts with lyrics and the piano part. The second system shows the vocal parts with lyrics and the piano part. The piano part consists of chords and a melodic line in the right hand.

The melodic descending half-step motive reappears at many important dramatic moments in the oratorio, at times specifically seeming to lament upon loss of life. In movement 5, the half-step motive punctuates a story Mrs. Chaney tells about her grandfather's struggle with the white farmer. The farmer, wanting to purchase her grandfather's prosperous dairy farm, approached saying, "Name your price." When Chaney's grandfather refused to sell the white farmer became angry, threatening to "burn it down." Convinced to travel by train to visit his daughter while the dispute settled down, Chaney reveals a tragic end to the story. "When the train arrived, he was not on it. Men on horseback stopped the train and took him away . . . Weeks later, his bloodstained shirt and watch were found by the Chickasawhay River." The half-step motive appears in Example 15, mm. 93-95 to punctuate the telling of this story.

Example 15. Movement 5, mm. 93-96.

The musical score for Example 15, Movement 5, mm. 93-96, is a complex orchestral and vocal score. It features a variety of instruments including woodwinds (Piccolo, Oboes, English Horn, Clarinets, Bass Clarinet, Bassoons, Contrabassoon), brass (Trumpets, Trombones, Tuba, Timpani, Percussion 4), strings (Violins I & II, Viola, Violoncello, Contrabass), and Harp. The score includes dynamic markings such as *ff*, *p*, and *f*. A vocal line with lyrics "Men on horse back stopped the train" is also present. The score is written in 3/4 time and includes a key signature of one flat.

In Example 16, from the beginning of movement 10, a lone flute, with the descending half-step lament (D-flat – C), softly and plaintively heralds the actual finding of the three bodies “six miles southwest of Philadelphia, Mississippi” (the information comes via a phone call to the President from the FBI).⁵³

⁵³ Text from movement 12, mm. 6-9.

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Example 16. Movement 10, mm. 1-4.

10. August Fourth
Soprano, Mezzo soprano, Baritone, Orchestra

Molto moderato (♩ = 69)

Flutes 1,2 *colle voci*
p semplice

Timpani *p*

Perc. 1 Chimes *p*

Harp *p*

Mrs. Chaney *recitando, non troppo espr.*
p
At eight-oh - one

Mrs. Goodman *recitando, non troppo*
p
...the F B I

Violin I *colle voci*

Violin II

Viola *tutte, div.*
pp
mf - p dolce

Viola *pp*
mf - p dolce

Violoncello *tutti, div.*
pp
mf - p dolce

Violoncello *pp*
mf - p dolce

Contrabass *3 soli*
n
mf - p dolce

The oboe repeats the lament on G-flat – F in both m. 24 and m. 26 and again in m. 28 on C – B to punctuate the realization that the bodies of James Chaney, Andrew Goodman, and Michael Schwerner have most likely been discovered: “We have every reason to believe they were the three missing men. They were buried at the site of a dam.” Example 17 shows the oboe lament in m. 26 and m. 28.

Example 17. Movement 10, mm. 25-28.

25

Fls. 1-3

Obs. 1,2

Perc. 1

Chimes

Harp

Chaney

Goodman

Va. I

Vn. II

Va.

Ve.

Cb.

p

con sord.

He said: ... We have ev - ery rea - son to be - lieve

He said: ... We have ev - ery rea - son to be - lieve

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Example 17, continued.

The musical score for Example 17, continued, spans measures 27 to 32. The instruments and parts shown are:

- Fls. 1-3:** Flutes 1, 2, and 3.
- Obs. 1,2:** Oboe 1 and 2. A box highlights a passage in measure 28, marked with a first ending bracket and a *p* dynamic.
- Perc. 1 & 4:** Percussion 1 and 4. Percussion 4 includes a *B.D.* (Bass Drum) part.
- Harp:** Harp.
- Chaney & Goodman:** Chorus parts with lyrics: "They were the three mis-sing men. The were bur-ied... ..at the site of a dam."
- Vn. I & II:** Violin I and Violin II.
- Va.:** Viola.
- Vc. & Cb.:** Violoncello and Double Bass.

Key performance markings include *con sord.* (con sordina) and *p* (piano) dynamics across various instruments.

The quotation of “O Vos Omnes” also lends itself to a discussion of its interaction with the cultural area of time, the past, present (as the actual day of August 4), and future. “Elegy” becomes a lament for those previously passed away, presently missing, and soon to give their lives for another cause. Mrs. Chaney shares a past recollection of one such loss in movement 5, the story of James Chaney’s grandfather, whose refusal to sell his farm to white farmers resulted in his death. Surely if the southern states were represented by a woman, like Jerusalem in Lamentations, she too would weep for all the pain and loss experienced during the many years of slavery and the resulting civil rights struggle. As Jerusalem wept for the loss of her inhabitants (metaphorically speaking, as a mother bereft of her children), two twentieth-century women, Mrs. Goodman and Chaney, also weep for their missing sons whose bodies will be found

during the course of the day on August 4, 1964. In the foreshadowing of suffering and loss on a world-wide scale, many people would soon weep for the loss of their children and loved ones: “so many sons are not coming back”⁵⁴ from the Vietnam war, escalated by President Johnson’s actions on this day, August 4, 1964.

In summary, understanding the cultural dimensions of religion, time, and particularly lament, implied through the large-scale borrowing of “O Vos Omnes,” provides a deeper understanding of the grief of not only the characters in the oratorio but also of a country, the horrors of war with conflicts of pacifism and religion, the seeming absence of God in the face of such suffering, and the timelessness of suffering as occurring in past, present, and future. These ideas are expressed not only by the characters in the oratorio but also musically in “Elegy,” and throughout *August 4, 1964*, in the use of the opening half-step motive from “Elegy.”

Just as the half-step motive pervades the oratorio, so do these many cultural associations of “O Vos Omnes.” In particular, the sorrow and grief of lament lingers throughout through the presence of the half-step motive, sometimes as an audible lament on the surface (e.g., found in the opening melodic half-step motive and in musical material which recurs at critical junctures in the drama) and at other moments swimming into the subconscious (e.g., when the half-step motive is hidden in voice leading, at cadences, or in the creation of extended sonorities). Not only does this motive unify the oratorio from surface to structural levels, it also acts as a cultural agent, drawing the cultural dimensions of its source, “O Vos Omnes” into *August 4, 1964* and functioning as the key to unlocking these additional extra-musical meanings within the oratorio. Whether obvious or hiding just under the surface, the lament “O Vos Omnes” evokes is so strong that it remains ever present. The half-step motive continues throughout the oratorio not only to structurally unify the composition, but also to continually remind the listener: “O all you who pass along this way, behold and see if there be any sorrow like unto my sorrow.”

⁵⁴ This text appears in movement 10, mm. 94–99.

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“The Death and the Telling”: W. H. Auden’s Use of the Pastoral Mode in Stravinsky’s *The Rake’s Progress*

MEGAN VARVIR COE

The opening scene of W. H. Auden and Igor Stravinsky’s *The Rake’s Progress* introduces the audience to an aural and visual idyll. The protagonist, Tom Rakewell, appears for the first time amidst a host of pastoral indicators in act 1, scene 1, described in the score as “A garden . . . in the country. Afternoon in spring.”¹ A small ensemble comprising an oboe, an English horn (often intended in modern orchestras to evoke the oboe *da caccia*), and two bassoons introduces the pastoral setting with music marked by several characteristics traditionally associated with the pastoral (Reh. 1+5). The obbligato parts exchange moments of melodic and harmonic importance in a simple and gentle manner, notated in the score as *dolce cantabile*. Though the meter changes often in typical Stravinskian fashion, the meters chosen are limited to triple meters (3/4, 3/8) and dancing duple meters (2/4). The dynamics never rise above *mf* and the melodic lines are occasionally ornamented by quaint trills.

The woodwind quartet is followed by a duet between Tom and his fiancée Anne Truelove in which the lovers refer to the “Cyprian queen,” the “Age of Gold,” and the “swains [that] their nymphs in fervent arms enfold.”² Anne and Tom begin a dialogue (Reh. 2), each singing a solo section before uniting in simultaneously sung parts intricately bound by complementing harmony and rhythm. The tender affect created by the woodwind ensemble continues in the lovers’ smoothly flowing melodies, a sweetness achieved despite the chromaticism and often disjunct motion characteristic of Stravinsky’s style. The orchestra, especially the strings, support the vocal melodies in a homophonic texture, with pizzicato-articulated basses and decorative sixteenth-note motives in the violins and violas that are reminiscent of bird calls. The woodwinds continue to exert their pleasant influence with obbligato music recalling the ensemble introduction but now with their forces increased by the flutes, horns, and clarinets. Though briefly interrupted by the addition to the texture of Father Truelove’s musings, a woodwind ensemble of oboe, clarinet, and bassoon

¹ Igor Stravinsky, *The Rake’s Progress* (London: Boosey and Hawkes, 1951).

² The term “Cyprian queen” refers to Aphrodite (the Greek counterpart of the Roman Venus) who, according to Hesiod’s *Theogony*, arose from sea foam off the coast of Cyprus. The Greek hero Adonis does not have a Roman counterpart and is referred to by his Greek name in Ovid’s *The Metamorphoses*.

frames the piece quietly with a five-measure return to the motives and affect that introduced the duet and the scene (Reh. 25).

In describing the opening scene of *The Rake's Progress*, Joseph Kerman writes, "Spring rites celebrate the annual return of Adonis from the underworld, and the lovers are preparing to re-enact the story of Venus and Adonis, in a new interpretation."³ Though amongst the earliest, Kerman's description is but one of many written by scholars noting the pastoral elements that have characterized *The Rake's Progress* since its premiere in 1951. The association between Tom and Adonis and Anne and Venus provides a recurring literary motif throughout the opera. According to ancient Greek myth, the mortal Adonis spurned the warning of the Goddess of Love and died during a hunt, killed by wild boar.⁴ Adonis achieved redemption, however, through the love of Venus when the god of the underworld, moved by her devotion, chose to release the hunter to her for six months of each year.

Other pastoral characteristics beyond those seen and heard in the opera's opening moments infiltrate *The Rake's Progress* much more deeply than these Arcadian surface elements might suggest or previous musicological studies have revealed. Indeed, *The Rake's Progress* ultimately addresses fundamental issues of life and death, a purpose of works in the pastoral mode, though, as an exploration of the opera will prove, Auden's libretto addresses these issues from a thoroughly modern perspective. In *Literature and the Pastoral*, Andrew V. Ettin elucidates the connection between the pastoral and death:

Like love, death is a topic especially appropriate to the pastoral because it is an experience that engrosses our attention, creating a realm of thought that seems to be separated from the flow of ordinary experience and outside of time. Yet it is neither outside of time nor detached from ordinary experience; rather, it forcibly reminds us of time's passing and makes us confront the world of nature and society around us . . . the [pastoral] work's power lies in the death and in the telling.⁵

In the libretto of *The Rake's Progress*, Auden forcibly confronts the reader with ontological questions through his critique of the pastoral mode and, more specifically, through the pastoral elements that characterize the development of Tom Rakewell's character, the telling of his story, and the nature of his death.

³ Joseph Kerman, "Opera à la Mode," *The Hudson Review* Winter 1954, 560.

⁴ Ovid, *The Metamorphoses*, ed. Robert Squillace, trans. Frank Justus Miller (New York: Barnes & Noble Books, 2005), 187–205.

⁵ Andrew V. Ettin, *Literature and the Pastoral* (New Haven: Yale University Press, 1984), 119, 126.

Aspects of the Philosophical Background for Auden's Libretto

Though the lyric poems of Theocritus established the characters (nymphs and shepherds) and themes (love and death) that have long marked the pastoral as a genre, today's scholars of literature often follow Northrup Frye in recategorizing the pastoral as a fictional mode.⁶ Angus Fletcher explains that a fictional mode can be classified by identifying the hero's power of action.⁷ In *What is the Pastoral?*, Paul Alpers extends Fletcher's categorization of mode to include "assumptions about man's nature and his situation."⁸ For Alpers modern works in the pastoral mode depict an everyman in relation to an often ambivalent world.⁹ Ettin notes that the exploration of this relationship allows the author to "comment on and even criticize contemporary events," often through the handling of tensions between "artifice and reality."¹⁰ Commentators on music from Friederich Schiller to Robert Hatten have often also categorized the pastoral in music as a mode. Schiller described the musical pastoral as of "psychological and expressive value."¹¹ In *Interpreting Musical Gestures, Topics, and Tropes*, Hatten writes that the pastoral in music became in the early Romantic period "an overarching mode that coordinates the dramatic trajectory and expressive significance of the work on the basis of pastoral principles and outcomes."¹²

In literature, music has been an important part of the pastoral since antiquity; shepherds who communicate through song and exist in a primarily musical world are a time-honored pastoral tradition meant to invoke the harmony and balance found in the natural world.¹³ A musicologist, Geoffrey Chew, traces the origin of pastoral influences on modern music to compositions written in Baroque Italy for worship services celebrating the Nativity.¹⁴ Composers such as Arcangelo Corelli in his Concerto grosso in G minor, op. 6/8 ("Christmas Concerto") included in purely instrumental music musical tropes found in the *pastorella*, a Christmas composition for singers and instrumental ensemble. By

⁶ Paul Alpers, *What is Pastoral?* (Chicago: University of Chicago Press, 1996), 49. In 1957 Frye presented his idea of fictional modes in *Anatomy of Criticism*.

⁷ Alpers, 50.

⁸ Alpers, 50.

⁹ Alpers, 50.

¹⁰ Ettin, 6.

¹¹ Geoffrey Chew, "Pastoral," in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie and John Tyrell (New York: Grove, 2001), 29:217.

¹² Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington, IN: Indiana University Press, 2004), 53.

¹³ Ettin, 13.

¹⁴ Chew, "Pastoral," 221.

the early 1700s these tropes had permeated music that had no overtly religious function. Chew includes among his list of pastoral musical characteristics “lilting melodies in triple time,” conjunct motion, frequent use of parallel thirds, drone basses, symmetrical phrases, and echo effects.¹⁵ He identifies one of the most notable characteristics of the pastoral in music as the use of wind instruments, particularly pairs of flutes or oboes, a convention popularized by J. S. Bach and G. F. Handel.¹⁶ Hatten lists similar pastoral musical characteristics but also adds slow harmonic rhythm, subdominant inflection, horn fifths, imitations of bird calls, and *siciliano* rhythms.¹⁷ In a discussion of the pastoral mass tradition, Bruce MacIntyre also considers choral and orchestral homophony, paired voices alternating in dialogue, fanfare motives, use of “Christmas” instruments such as the oboe *da caccia*, triple and/or duple meters, Lombardi rhythms, and lullaby or *ninna* style (often featuring “rocking thirds”).¹⁸ Chew also connects the lullaby to the pastoral, referring to the *ninna* (an Italian lullaby) as “synonymous with pastoral.”¹⁹ As will be demonstrated, Auden’s literary and Stravinsky’s musical choices firmly situate *The Rake’s Progress* in the pastoral mode.

An investigation of *The Rake’s Progress* and the development of Tom’s character through Auden’s use of the pastoral mode has been previously attempted by Chew, an authority on the pastoral in music. In “Pastoral and Neoclassicism: A Reinterpretation of Auden’s and Stravinsky’s *Rake’s Progress*,” Chew posits a new type of character designation for the protagonist Tom Rakewell, that of the “pastoral hero.”²⁰ In doing so, he follows Auden’s lead in an article from 1949, “The Ironic Hero: Some Reflections on *Don Quixote*,” in which the poet demonstrates that the main character of Cervantes’s novel does not fit securely into any of the traditional “hero” categories commonly associated with specific genres: epic heroes, tragic heroes, or comic heroes.²¹ Chew capitalizes on Auden’s use of the literary mode of irony to classify Don Quixote as an ironic hero; taking Auden as a model, Chew classifies Tom according to the pastoral mode and further links his designation to Auden’s by

¹⁵ Chew, “Pastoral,” 221.

¹⁶ Chew, “Pastoral,” 223.

¹⁷ Hatten, 56.

¹⁸ Bruce MacIntyre, “Johann Baptist Vanhal and the Pastoral Mass Tradition,” in *Music in Eighteenth-Century Austria*, ed. David Wyn Jones (Cambridge: Cambridge University Press, 1996), 117–118.

¹⁹ Geoffrey Chew, “Ninna,” in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie and John Tyrell (New York: Grove, 2001), 17:927.

²⁰ Geoffrey Chew, “Pastoral and Neoclassicism: A Reinterpretation of Auden’s and Stravinsky’s *Rake’s Progress*,” *Cambridge Opera Journal* 5, no. 3 (November 1993): 239–263.

²¹ W. H. Auden, “The Ironic Hero: Some Reflections on *Don Quixote*,” *Horizon* 20, no. 116 (August 1949): 86–94.

claiming pastoral heroes such as Tom are a “sub-group” of ironic heroes.²² Unfortunately for the reader, Chew refrains from fully exploring either the meaning of this designation or its consequences for an understanding of the opera as a whole. What is a pastoral hero, and is Tom then an example of one? And how does an exploration of Tom through the pastoral mode affect our overall understanding of *The Rake’s Progress*?

These questions are fundamentally related because the nature of Tom’s character is intimately tied to the opera’s resolution when Tom dies alone and insane in Bedlam, a conclusion that many have found to be unsatisfying and anti-climactic. Indeed, from the beginning the denouement of *The Rake’s Progress* has proved problematic for critics. Kerman went so far as to suggest shortly after the American premiere that Auden and Stravinsky consider rewriting the ending for future performances:

It is the destination of the Rake’s progress that is so crucially at doubt here, and what Tom feels about it, and what Anne feels about it, and what we in the audience are to feel about it. . . . For future productions, and there will be many, the authors ought to be prevailed upon to think through the conclusion again, and redo this last scene, if not the Epilogue. Piercing as it would be to lose any of the present music, the present ending causes even more dismay; some sacrifice is definitely necessary for a final relevance, and a greater beauty.²³

Kerman, who believes *The Rake’s Progress* to be a Christianized retelling of the myth of Venus and Adonis, sees Anne’s departure as the result of a “hereditary strain of stern country morality” that leaves Tom without the redemption promised by her visit.²⁴

In a response to Kerman, George McFadden finds Tom’s second guess of the Queen of Hearts to be a representation of Kierkegaard’s “leap of faith,” an absurd gesture of devotion through which Tom obtains the third state of existence, the religious, by retaining his soul if not his faculties.²⁵ Auden edited and wrote an introduction for a collection of Kierkegaard’s essays published in 1955. This interest in Kierkegaard provided a foundation for the connection McFadden makes, that Tom does find redemption in his own love for Anne, who serves as a symbol for Christian charity.²⁶

²² Chew, “Pastoral and Neoclassicism,” 248. Frye categorizes irony as one of the five fictional modes.

²³ Kerman, 577.

²⁴ Kerman, 562.

²⁵ George McFadden, “*The Rake’s Progress*: A Note on the Libretto,” *The Hudson Review* Spring 1955, 105–112.

²⁶ McFadden, 107.

McFadden believes Auden meant in *The Rake's Progress* to create a Christian allegory anchored in Kierkegaard's philosophy.

Joseph Straus finds "partial redemption" in the protagonist's final moments; Tom keeps his soul, even though he also becomes insane.²⁷ According to Straus, Tom is defined by his relationships with Nick, symbolizing Tom's desires, and Anne, symbolizing "spiritual purity."²⁸ The descent of Nick into hell cleanses Tom of his desires, and Anne's visit to Bedlam offers Tom reconciliation.²⁹ Straus concludes that the opera as a whole offers a "moral about how to avoid becoming a rake."³⁰ The end of Tom (and of the opera) ceases to be problematic in the way that "partial redemption" suggests when viewed in light of Auden's understanding of the pastoral mode. Auden turned Tom into a more complex character by infusing the pastoral (but unheroic) basis of his character with elements of the modern existential human being; in doing so he both critiqued the pastoral mode and constructed a "moral fable" for twentieth-century life.³¹

By the early 1950s, Auden had explored the neoclassical literature of late seventeenth-century England, and his assimilation of the writings of Alexander Pope and others was expressed in part through his poems in the pastoral mode.³² Beginning with his "Paysage Moralisé" of 1936 in which he mourns through "symbolic topography" the post-Descartean separation of mind and body, Auden often used pastoral themes and styles in his work.³³ His poem "Spain 1937," written in response to the Spanish Civil War, presents a call to action against Fascist forces with a compelling description of a pre-war "pastoral haven" that will only return after the defeat of Francisco Franco.³⁴ In one of Auden's most influential works, a long poem entitled *The Age of Anxiety: A Baroque Eclogue* (1947), the four

²⁷ Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge: Harvard University Press, 1990), 155.

²⁸ Straus, 155.

²⁹ Straus, 156.

³⁰ Straus, 156.

³¹ Auden and Chester Kallman subtitled their libretto "a fable." Stravinsky referred to it as a "moral fable." See Igor Stravinsky, "The Composer's Voice," in *Igor Stravinsky: "The Rake's Progress"*, ed. Paul Griffiths (Cambridge: Cambridge University Press, 1982), 3.

³² Unlike the musical style termed "neoclassical," used to describe certain music written between 1910 and 1950, the term "neoclassical" in literature refers to a movement that occurred in post-Restoration England, 1660–1700, in works by poets like Alexander Pope. The mid-twentieth century, however, saw a return to neoclassical literary ideas in the writings of Auden and others.

³³ Paola Marchietti, "Auden's Landscapes," in *The Cambridge Companion to Auden*, ed. Stan Smith (Cambridge: Cambridge University Press, 2004), 204.

³⁴ James Fountain, "W.H. Auden's *Spain*," *The Explicator* 65, no. 3 (Spring 2007): 171.

characters converse in dialogue laden with elaborate landscape imagery.³⁵ *The Shield of Achilles*, a book of poetry published in 1955, contains a set of seven nature poems entitled “Bucolics.” This volume includes Anne’s lullaby to Tom, “Gently, little boat,” from act 3, scene 3, published under the title “Barcarolle.”³⁶ The initial scenario sketch for *The Rake’s Progress*, a basic outline prepared by Auden and Stravinsky during the earliest days of their collaboration in late November 1949, actually identifies the libretto-to-be as a “Pastoral, *comme* Theocritus, of love, youth, country, etc.”³⁷

A perusal of Auden’s pastoral works suggests his ambivalence toward that mode, which he more clearly revealed in an Oxford lecture he gave on Shakespeare’s *As You Like It*, presented on January 22, 1947. In this lecture, Auden explains art historian Erwin Panofsky’s three types of pastoral orientation: soft primitivism, hard primitivism, and the Hebraic/Christian view of primitivism. Interestingly, Auden’s understanding of Panofsky’s orientations seems not to have been applied to *The Rake’s Progress* in previous musicological studies of the opera.³⁸ Soft primitivism, espoused by Theocritus, Hesiod, and Wordsworth, pictures the prehistoric past as a Golden Age that historical progress has forced humanity farther and farther away from. The hard primitivism of Lucretius, Virgil, and Hobbes offers the diametrically opposing view, for it regards prehistoric times as “bestial, brutal, disorderly, and savage,” affording a terrible existence from which technical and intellectual progress has rescued humankind.³⁹ The Hebraic/Christian view, the orientation that most influenced Auden, suggests a middle ground: civilization is neutral, and knowledge is ambiguous. Auden writes, “A man can behave better through understanding, or worse. Neither knowledge nor ignorance has anything to do with the perversion of the will through love of self, and neither can make you choose good or reject evil.”⁴⁰ Auden presents the Hebraic/Christian orientation of primitivism to underscore his belief that responsibility for one’s decisions ultimately lies in the individual, as does the formulation of those decisions.

³⁵ George T. Wright, *W. H. Auden* (Boston: Twayne Publishers, 1981), 159. Leonard Bernstein entitled his second symphony (1949) “The Age of Anxiety.”

³⁶ W. H. Auden, *The Shield of Achilles* (London: Boosey and Hawkes, 1954), 54. “Barcarolle” is identified as from *The Rake’s Progress*.

³⁷ Igor Stravinsky and Robert Craft, *Memories and Commentaries* (New York: Doubleday, 1960), 156.

³⁸ W. H. Auden, “*As You Like It*,” in *Lectures on Shakespeare*, ed. Arthur Kirsch (Princeton: Princeton University Press, 2000), 138.

³⁹ Auden, “*As You Like It*,” 139.

⁴⁰ Auden, “*As You Like It*,” 140.

Tom as Pastoral Character

As Willard Spiegelman wrote in an essay exploring Auden's neoclassical perspective in the opera, *The Rake's Progress* can be seen as "a twentieth-century version of the pastoral, an effort on Auden's part to recapture the myths and language of an earlier, more optimistic world, and to examine that world from the perspective of our own."⁴¹ In the opera, Auden developed his personal view of the pastoral mode through the misadventures and pathetic end of Tom Rakewell. As I noted earlier, Geoffrey Chew characterizes Tom as a pastoral hero according to the literary mode of the pastoral. Chew sees Tom as a "man of nature" whose exploits ambiguously demonstrate his simplicity: the simplicity of a fool's lack of reality in the misadventure with the stones-into-bread machine and the simplicity of a saint's acceptance of reality in the scene of the graveyard card game.⁴² For Chew, Tom "achieves his destiny as a pastoral hero [through his] progress . . . from the Garden of Eden, scene of the fall, to the Garden of Gethsemane, scene of redemption."⁴³

Auden's selection of the pastoral mode, however, means (unfortunately for Chew) that Tom, as a pastoral character, cannot be heroic.⁴⁴ In modern literary criticism, pastorals are "anti-heroic" and the characters found therein are "the opposite of heroes."⁴⁵ Thus both Ettin and Alpers refer to the people found in pastoral works as pastoral speakers (Alpers) or pastoral characters (Ettin). According to Alpers, the inhabitants of a pastoral drama are inherently un-heroic in that their reaction to problems and decisions is one of suspension:

Suspension is a modal term, in that it directly reflects the protagonist's strength relative to his world. The herdsman of

⁴¹ Willard Spiegelman, "The Rake's Progress: An Operatic Version of the Pastoral," in *W. H. Auden*, ed. Harold Bloom (New York: Chelsea House Publishers, 1986), 101. Like myself, Spiegelman is interested in exploring Auden's critique of the pastoral mode. I am indebted to his insights but consider in this paper several different pastoral elements, including musical aspects, that Spiegelman ignores and that lead me to arrive at a very different conclusion.

⁴² Chew, "Pastoral and Neoclassicism," 247.

⁴³ Chew, "Pastoral and Neoclassicism," 248.

⁴⁴ The scenario sketch created by Stravinsky and Auden in November 1949 does refer to a "Hero" as the main character, obviously before the name "Tom Rakewell" was chosen. In lieu of Auden's knowledge of the pastoral mode enlarged upon in this paper as well as the provisional nature of the scenario sketch as a whole (the sketch mentions many plot elements which did not materialize in the finished libretto; an example of such is Tom's yawning as a cue for Shadow's entrance), I do not believe "Hero" meant at this stage anything other than a synonym for "protagonist."

⁴⁵ Spiegelman, 102; Alpers, 68.

pastoral poetry is conceived as the opposite of the hero: he is able to live with and sing out his dilemmas and pain, but he is unable to act so as to resolve or overcome [his difficulties] or see them through to the end.⁴⁶

Ettin describes other characteristics of Arcadian protagonists; for example, their naiveté leaves them vulnerable to outside influences and unable to “deal responsibly with complex problems and decisions.”⁴⁷ The human qualities of these characters cause their inevitable “moral shortcomings” to result in their “failure to fulfill the responsibilities” demanded of their respective societies.⁴⁸

Tom’s attitudes and behavior in *The Rake’s Progress* show him in this respect cut from the pastoral cloth, a pastoral character if not a pastoral hero. In the first moments of the opera, Tom demonstrates his strong tendency towards laziness when, in a soliloquy, he brushes away Father Truelove’s job prospect. “I submit to the drudge’s yoke?” he declares in act 1, scene 1 (emphasis mine);⁴⁹

My life lies before me,
The world is so wide:
Come, wishes, be horses;
This beggar shall ride.

Stravinsky emphasizes Tom’s pastoral nature by supplying these lines with markedly pastoral music. Beginning at Reh. 41, Tom’s tuneful phrases unfold evenly (4 measures followed by 6 measures followed by 8 measures). The music is in a dance-like 2/4 motion, and the writing is diatonic in both the voice and orchestra. As the cellos and basses patter contentedly underneath, the strings and oboes alternate two-measure fanfares with the horns engaging in extended calls. At Reh. 42+2, Tom’s command that “wishes be horses” is matched by exuberant rhythms and repeated melodic patterns that gallop towards the aria’s conclusion. The aria ends with fanfares from the oboes, clarinets, and horns, punctuated in the final measure with cadential chords for strings and bassoon (Reh. 46). Tom’s *parlando* wish for money immediately follows the aria’s conclusion.

When Nick Shadow arrives with his promise of inheritance that fateful afternoon, the traditional time in pastoral stories for deities to mingle with humans, Tom easily falls under his sway, believing in his naiveté that Fortune will continue to provide for

⁴⁶ Alpers, 68.

⁴⁷ Ettin, 38.

⁴⁸ Ettin, 158.

⁴⁹ W. H. Auden and Chester Kallman, *The Rake’s Progress* (London: Boosey and Hawkes, 1951).

him.⁵⁰ Shadow supplies the impetus, but Tom's natural inclinations make his response almost inevitable. As the opera progressively shows, Tom's "moral shortcomings," to borrow Ettin's words, lead to his failure to uphold his social and personal responsibilities. By copulating with Mother Goose in her brothel he betrays Anne; he does this again when he disregards his engagement to her and marries Baba the Turk. (It should be noted that this episode and the episode of the card game occur at night, the most ominous time in pastoral traditions.)⁵¹ He fails to fulfill his responsibilities as Baba's husband, ultimately abandoning her and her possessions to the auction block. When Tom's investment in a ridiculous machine meant to turn stones into bread results in financial ruin, he disappears. In act 3, scene 1 Anne arrives at his home to find an auction of his property in progress; her repeated questions to the crowd as to his whereabouts result only in the knowledge that "They're after him and they will catch him yet." Throughout the opera Tom repeatedly demonstrates that he cannot fully commit to anything and chooses instead to abandon each responsibility when it bores or pains him. Thus, when confronted by Shadow in the graveyard in act 3, scene 2, Tom refuses to take responsibility for his actions, instead blaming "an uncle I never knew [who] selected me as his heir." Spiegelman writes that, despite the play's eighteenth-century setting, Tom is "an ennui-ridden, twentieth-century youth," embodying elements of the pastoral character but also of a modern human being.⁵²

Although Tom is certainly useless in many ways, Auden demonstrates that the main character of the opera is not completely morally bankrupt; as Baba says in act 3, scene 1, "He's but a shuttle-headed lad: Not quite a gentleman, nor quite vanquished by the bad." His behavior occasionally affects his conscience, leading to momentary repentance. Disillusioned by debauchery, his sadness leads him to reflect on his behavior in a melancholy aria introduced by a *dolce cantabile* solo horn, soft arpeggios and scales from the clarinets, and pizzicato cellos and basses at Reh. 23 (act 2, scene 1: "Always the quarry that I stalk fades or evades me"). The memory of Anne and her faithful (true) love fleetingly causes him to hesitate in his journey of self-destruction. During his "catechism" by Mother Goose, the mention of love leads to a passionate aside in act 1, scene 2 ("Love, Love! / The precious word is like a fiery coal / It burns my lips, strikes terror to my soul") his conflict symbolized by the shift in key to E-flat minor and the running, staccato sixteenth notes marked *agitato* at Reh. 140. Coming face to face with Anne after his marriage to Baba, Tom openly admits his weakness and urges her to return to her father. Though he reacts in surprise and anger at Anne's appearance (the score indicates he replies to her inquires "violently"

⁵⁰ Ettin, 136.

⁵¹ Ettin, 136.

⁵² Spiegelman, 106.

(Reh. 112+2)), another aside reveals his true pastoral character. At Reh. 114, both Tom and Anne, unbeknownst to the other, offer prayers, Tom whispering:

O willful powers, pummel to dust
 And drive into the void,
 One thought, one thought
 Return!

Tom's *mezza voce* utterance is accompanied by the traditional musical symbol of the pastoral, paired woodwinds, in this instance two flutes and two clarinets.

Tom's Death and Its Telling

In creating Tom so as to embody features of the pastoral character as well as of an explicitly twentieth-century human being, Auden managed to critique both the hard and soft orientations of the pastoral. Tom's first wish brings him money, and Shadow takes his new master to London ostensibly to straighten his affairs. Significantly, Tom's actual wishes are spoken, never sung. The score indicates that each wish is to be uttered *parlando*, placing the wishes themselves outside the musical frame and indicating through his unmusical communication Tom's continued progress away from his pastoral home; as noted previously, in pastoral works of literature music is the primary means of communication.

Tom demonstrates his turn towards either the soft or hard orientation of primitivism throughout the opera.⁵³ Tom's visit to Mother Goose's brothel demonstrates an acceptance of soft primitivism. In act 1, scene 2, Tom chooses to "shut my ears to prude and preacher / and follow Nature as my teacher"; in keeping with the mock solemnity of the scene, he sings this phrase (Reh. 13+1) in rapid patten on a single D-flat, the harpsichord part repeatedly creating cadential effects. He tries to return to the Golden Age when humans could devote themselves to pleasure without the burdens and responsibilities of modern society to distract them. Tom finds, however, that the pleasures of the flesh are quickly boring. Disillusioned by Nature, Tom rejects a life of depravity and wishes for happiness.

Once again Shadow answers Tom's wishes, this time suggesting that Tom marry the bearded Baba the Turk. At Shadow's urging, Tom decides to do so to demonstrate his freedom (act 2, scene 1: "He alone is free / Who chooses what to will, and wills / His choice as destiny"). Tom's actions demonstrate the ethical paradox commented upon by Auden in a foreword to a translation of Kierkegaard's writings: "Knowledge of good does not automatically

⁵³ Alpers, 70.

cause the knower to will it. . . . One may act deliberately out of spite, just to show he is free.”⁵⁴ As Gabriel Josipovici remarked in “Some Thoughts on the Libretto,” however, the *acte gratuit* cannot bring real freedom because it does not entail responsibility, the acceptance that one is bound to one’s choices.⁵⁵ By marrying Baba, Tom demonstrates an acceptance of hard primitivism, which Auden describes as the belief that man’s barbaric nature can be transformed only through societal civilization.⁵⁶ His decision to choose her as a wife for no other reason than to exercise his freedom shows his disdain for the “Golden Age” of soft primitivism parodied at Mother Goose’s brothel. Turning from a life of hedonism to the civilized union of marriage reveals a turn to hard primitivism in which lawful monogamy is prized over promiscuity.

His debacle with the bread machine demonstrates a further turn towards the orientation of hard primitivism. Instead of trying to return to nature, Tom espouses the idea that scientific progress will lead to a new Golden Age. He wishes his dream of a device to create bread out of stones were true. Upon seeing Shadow manifest the creation of his dreams in act 2, scene 3, Tom exclaims:

Thanks to this excellent device
Man shall re-enter Paradise
From which he once was driven.
Secure from need, the cause of crime,
The world shall for a second time
Be similar to Heaven.

Fanfares marked by *siciliano* rhythms in the strings introduce his words (Reh. 205). Like his other wishes, however, that which produced the bread machine fails to live up to its promise and leaves Tom disillusioned. By realizing Tom’s wishes over the course of the plot, Auden displays the impossibility of both the soft and hard orientations—one cannot return to a mythological past, nor can one create a new Golden Age.

In the graveyard, Tom finds himself at his lowest point. His wishes, granted unflinchingly by Shadow, fulfilled all of his desires. Pleasure, freedom, fame—none brought Tom what he sought, for his disillusionment with all caused him to discard one for the other in hopeless succession. The music underscores this relationship

⁵⁴ W. H. Auden, “Søren Kierkegaard,” in *Forewords and Afterwords*, ed. Edward Mendelsohn (New York: Random House, 1973), 175. Chew previously noted the importance of this passage for an understanding of Auden’s conception of Kierkegaardian ethics and its relevance to *The Rake’s Progress*. Chew, “Pastoral and Neoclassicism,” 244.

⁵⁵ Gabriel Josipovici, “Some Thoughts on the Libretto,” in *Igor Stravinsky: “The Rake’s Progress”*, ed. Paul Griffiths (Cambridge: Cambridge University Press, 1982), 68.

⁵⁶ Auden, “As You Like It,” 140.

through Nick's recapitulation of the ballad tune first heard during the auction scene in act 2. When sung by Tom and Shadow earlier in a nonsensical duet (Reh. 134, reprised at Reh. 149), accompanied by triadic arpeggios on the horns in its first appearance, by clarinets in the second, the music alerted Anne, Baba, and the crowd to the protagonist's presence. Now, at Reh. 165, it haunts Tom, its carefree music and lyrics, reminiscent of a nursery rhyme, eerily transformed at his moment of truth. The triadic arpeggios heard earlier once again accompany Nick's melodic reprise, but this time they appear in the violas and cellos, not in the traditionally pastoral instruments (horns and woodwinds). (This tune returns to Tom's addled mind at the end of the act when he is left singing madly, now believing himself to be Adonis, after Nick's departure. Notably, Tom's reprise of the ballad (Reh. 206) is introduced and then accompanied by an ensemble of solo woodwinds, a flute, oboe, and clarinet, playing repetitive phrases drawn from motives heard in the act 1, scene 2 chorus of Roaring Boys and Whores, "The sun is bright," at Reh. 163.) "Anticipation of experience is always exciting and its realization in actual fact always disappointing," wrote Auden of Tom's misadventures in an article for *Harper's Bazaar*.⁵⁷ It is at this critical juncture that Tom makes his final wish, a wish for nothing. This wish comes upon his remembrance of Anne's voice, representing to him her undying devotion. Both the words she speaks and her music recall the reprised aria of resolve to rescue Tom in act 2, scene 2: "A Love that is sworn before Thee can plunder Hell of its prey." He makes a seemingly absurd decision to choose the Queen of Hearts a second time, thereby demonstrating his faith in Anne's love. Tom finally accepts and commits to true love, placing his faith in it instead of in the natural instinct celebrated by soft primitivism or the reason championed by hard primitivism. Because of his realization of what truly matters to him, Tom wins Nick's game and keeps his soul.

At least, that is what we, the audience, want (and possibly expect) to happen. But Auden knows better. He knows that the simple, fairy-tale ending is not only impossible; it is not, in our contemporary world, enough. Like Tom, we (and Auden) discard both soft and hard primitivism for a middle ground. We believe, as Tom does, that his most desperate moment reveals to him the highest truth. To a degree we are right but not in the way we initially think. The key to Tom's survival is his wish for nothing, not Anne's love. As Spiegelman concludes, "The pastoral myth . . . is gradually modernized throughout the opera which refuses to grant our expectations about the course of the pastoral."⁵⁸ Love may conquer all in the pastoral tradition, but the post-war world of the mid-twentieth century is as far removed from Arcadia as it can be.

⁵⁷ W. H. Auden, "The Rake's Progress," *Harper's Bazaar* February 1953, 161. Auden wrote this brief description of *The Rake's Progress* in anticipation of its Metropolitan Opera debut in 1953.

⁵⁸ Spiegelman, 107.

Instead, Tom's wish for nothing achieves the breakthrough he has long sought without fully comprehending it. Throughout his journey, he constantly wished for something else and tried to satisfy a persistent, all-encompassing want with the goods modern society offered. What Tom really needs (as do we), Auden says, is to recognize his existential crisis for what it is and to begin a journey of self-reconciliation. Confronted by the recognition that he, not Fortune or any other outside determining force, is ultimately responsible for his actions, he must choose a path and commit to it, thereby accepting his responsibility to himself and others.⁵⁹ He confronts, as McFadden writes, the "sense of isolation which is the mark of modern man."⁶⁰ In order to prove his point, Auden continues Tom's adventures, leaving the protagonist addled by his existential discovery. Unable to reconcile his realization with his reality, Tom creates an imaginary world with mythological qualities and inhabitants in one last attempt at pastoral bliss. He envisions his fellow lunatics as shades of the Elysian Fields whom he must cajole into preparing for Venus's annual return.

It is Anne's (Venus's) visit that releases him from this final false construction, though she may not even know how or why. At his request, she sings Tom to sleep with a lullaby full of pastoral imagery such as "crystal waves," "orchards [that] greenly grace," and the peaceful coexistence of "lion, lamb, and deer."⁶¹ A literary and musical genre associated with the pastoral, lullabies or *ninnas* were often included in the Nativity dramas of Baroque Italy in which pastoral musical tropes originated.⁶² The three strophes of the lullaby "Gently, little boat" (Reh. 254) offer one of the quintessential pastoral moments in the opera, going beyond the other pastoral music in *The Rake's Progress* in its complete simplicity: gentle and sweet affect, paired flutes, smoothly diatonic melody, regular phrases, and restrained cadences. Like the mythical Orpheus (whom Tom will call upon in his last moments), Anne's singing of this lullaby tames Tom and the other crazed occupants of Bedlam, who quietly remark, "What voice is this? What heavenly strains / Bring solace to tormented brains?" Anne leaves quietly, saying, "It is no longer I you need." Anne and her love have propelled Tom forward throughout the opera, most notably in act 3, scene 2 when the remembrance of her voice, emphasized by the return of her reprised aria music, inspires Tom to select the Queen of Hearts a second time. She cannot, however, take the final step with him. He must come to the

⁵⁹ This philosophical perspective was developed by Jean-Paul Sartre in *L'existentialisme est un humanisme* (1956).

⁶⁰ McFadden, 106.

⁶¹ As noted previously, the lullaby "Gently, little boat" appears in a set of poems published by Auden as "Bucolics" in 1952.

⁶² MacIntyre, 117.

most crucial of existential conclusions – that each of us is ultimately alone.

To quote Spiegelman again, “The ending of the opera is deliberately modern in its ambiguity.”⁶³ What happens to Tom? Does he die without making that last essential recognition? Or in his last moments does he realize and complete his personal progress? For Auden and for us, the answer must remain unknown. To know would be to complete Tom’s journey with him and deprive him of the possibility of a final reconciliation between his life and his actions. Like the character of Tom, the conclusion of the opera contains elements of the modern and the pastoral.

Auden’s account of Tom’s death further elucidates this mixture of modern and pastoral elements in the conclusion. In his last moments, Tom awakens long enough to charge his cellmates, whom he believes to be nymphs and shepherds, to lament his passing. “Weep ye nymphs and shepherds / Of these Stygian fields, / Weep for Adonis, the beautiful, the young; / Weep for Adonis whom Venus loved!” he exclaims (Reh. 271+1) in heavily ornamented phrases accompanied again by woodwind ensemble (oboe, clarinets, English horn, and bassoon) before collapsing dead onto his pallet. The cellmates comply (Reh. 273) in soft monotone phrases with the words:

Mourn for Adonis,
Ever young, Venus’s dear,
Weep, weep, weep,
Tread softly round his bier.

This brief “Mourning-Chorus” (referred to as such in the score) is sung by strangers and lunatics as an accompaniment to Tom’s death. The chorus sings on the tonic (A) in four octaves, as the strings and timpani emphasize the accented beats of the 2/4 meter in a steady march. In compliance with the traditional pastoral, Tom receives a lament but, in contrast to the traditional pastoral, he does not receive an elegy, “significant for the pastoral tradition because it permits the poet to speak of . . . life and death [and] to contain them both in a comprehensible system.”⁶⁴ As Ettin writes, in pastoral elegies such as John Milton’s “Lycidas,” a sympathetic character or narrator concludes the work by offering a reconciliation between the deceased’s life and death that “by the magnifying power of grief, [enlarges] the actual life that is mourned. . . therefore the poet turns biography and history into myth.”⁶⁵ (Recall Kerman’s criticism of the opera’s ending and the unfulfilled promise of redemption for Tom; an elegy might act to provide the reconciliation desired by Kerman.) Auden demonstrated his understanding of the function of an elegy in

⁶³ Spiegelman, 109.

⁶⁴ Ettin, 118.

⁶⁵ Ettin, 121.

“In Memory of W. B. Yeats” (published in 1940), “In Memory of Sigmund Freud” (published in 1940), and “Elegy for J. F. K.” (published in 1965).⁶⁶ In each of these poems, Auden unites a lament with reconciliation between the deceased’s life and death, something he fails to do for Tom. Though the people in the asylum acquiesce to Tom’s request and briefly join in his delusion through their “Mourning-Chorus,” their addled minds do not permit them to provide the reconciliation fundamental to the pastoral’s conclusion. “Without the elegy,” comments Ettin, “nothing remains but the starkness of death.”⁶⁷

Auden continues his critique of the pastoral by deliberately denying Tom an elegy and concluding Tom’s story instead with an adaptation of the pastoral elegy more commensurate with the modern experience. Unlike traditional works in the pastoral mode, modern works cannot conclude so simply and peacefully.⁶⁸ In response to a death such as Tom’s the only elegy possible is the telling of his story; in a sense, the opera itself acts as Tom’s elegy. To quote Ettin again, “The [pastoral] work’s power lies in the death and the telling. So the writer, through the elegy or whatever substitutes for the elegy, acknowledges the painful fragility of the pastoral moment and of life in its pastoral guise.”⁶⁹ Auden concludes Tom’s story by offering the telling of that story, the opera, as a modern elegy to accompany a modern perspective on death. Through the audience’s internal re-living of his journey with each production of *The Rake’s Progress*, Tom receives the reconciliation of his life and death both promised by the pastoral mode and fitting to its modern presentation.

The opera, however, does not conclude here. How are we to make sense of the final Epilogue?⁷⁰ The libretto offers a quick and seemingly easy moral for the saga the audience has just witnessed. Several characters appear in front of the curtain, minus wigs (and beard), to offer their individual opinions, followed by a group summation of what lessons should be drawn from Tom’s progress. The Epilogue, when paired with the opera’s Prelude, acts as a frame for the drama, for the music of the Prelude expresses the same affect as that of the Epilogue. In completing the frame, the Epilogue’s most obvious function is to fulfill the operatic convention dating from the

⁶⁶ In 1964, Stravinsky set Auden’s “Elegy for J. F. K.” as a twelve-tone composition for voice and three clarinets.

⁶⁷ Ettin, 125.

⁶⁸ Ettin, 125–126. Ettin uses Ernest Hemingway’s *A Farewell to Arms* as an example of a modern pastoral which necessarily forgoes a conventional pastoral and elegiac ending.

⁶⁹ Ettin, 126.

⁷⁰ Ellen T. Harris, *Handel and the Pastoral Tradition* (London: Oxford University Press, 1980), 20. Harris notes the use of prologues and epilogues as being a common trait found in Baroque Italian pastoral musical and literary works.

eighteenth century for a final ensemble number that sums up the audience's experience (the most frequently cited example is the ensemble sextet "Questo è el fin" from the finale of Mozart's *Don Giovanni*): eighteenth-century opera and the Mozart/Da Ponte operas specifically served as models for the libretto as well as for aspects of Stravinsky's music.⁷¹ In the Prelude, a fanfare-like introduction to the opera features limited instrumentation; the brass dominates with timpani and percussively articulated strings punctuating the opening and ending bars. The music of the Epilogue trumpets a similar affect with the initial and closing sections of the piece's arch form displaying the characters singing in a homophonic quintet accompanied by the orchestra, often with fanfare-like motives in the horns (Reh. 281). The middle section of the Epilogue features the individual characters' advice accompanied by music that often reiterates motives heard earlier in the opera. Anne posits that love has indeed saved the day, warning the audience that very few have someone like her to come to their rescue ("Not every man / Is given an Anne / To take the place of Duty"). Baba warns the female audience members not to take men at their word ("All men are mad; / All they say and do is theatre"). Tom himself appears and cautions the audience against hubris ("Beware, young men who fancy / You are Virgil or Julius Caesar, / Lest when you wake / You be only a rake"). Father Truelove heartily concurs. Shadow also addresses the audience with characteristic sarcasm ("Day in, day out poor Shadow / Must do as he is bidden"). Finally, the ensemble counsels the spectators with this final "proverb" (Reh. 306):

For idle hands
And hearts and minds
The Devil finds
A work to do.⁷²

The ensemble connects Tom's punishment (whether or not it actually is one) with the opera's introduction to him as a character; as mentioned above, in the opening scene Tom demonstrates his laziness and indolence by blithely turning down Father Truelove's potential job offer.

The other, more obscure function of the Epilogue corresponds with the ambiguity seen to be a characteristic of the opera's final outcome. The libretto is multivalent; the ideas outlined above are but one interpretation based on Auden's understanding of

⁷¹ Examples of this include Stravinsky's use of number arias, da capo form, *recitativo accompagnato*, and *recitativo secco*. For further investigation into Stravinsky's incorporation of opera buffa musical models, especially Mozart's *Don Giovanni* and *Così fan tutte*, see Straus, 155–161, and Robert Harold Danes, "Stravinsky's *The Rake's Progress*: Paradigm of Neoclassical Opera" (PhD diss., Washington University, 1972).

⁷² The chorus refers to its final words as a "proverb."

the pastoral. The pastoral is, after all, “inherently multiplicitous.”⁷³ Auden offers a predictably bourgeois and moralizing lesson to be learned from Tom’s experience, a lesson for audience members who are content to accept the opera without critical thinking. But Auden also offers a more complex option for those spectators who can identify with Tom’s plight and with the plight of others who have questioned the meaning of their existence in the twentieth and twenty-first centuries.

An exploration of the pastoral mode and Auden’s personal understanding of it provides a fruitful approach to interpreting *The Rake’s Progress* and in particular its controversial denouement. Tom’s seemingly pathetic end and Anne’s apparent abandonment have troubled critics since the opera’s debut. Critics have sought to reconcile the ending through interpretations such as Chew’s explanation of Tom as pastoral hero. A closer examination of Auden’s understanding of the pastoral mode, however, reveals Tom to be both an unheroic pastoral character and a twentieth-century youth. By combining traits of the two in conceiving the opera’s protagonist, Auden creates a critique of the pastoral mode as well as provides a metaphysical lesson for audience members. To revise Kerman’s criticism, Tom’s death and its telling make the pastoral story of *The Rake’s Progress* powerfully beautiful and continually relevant.

⁷³ Ettin, 7.

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About the Contributors

Clare Carrasco holds a bachelor's degree in performance from New Mexico State University and a master's degree in performance from the University of North Texas. She is currently a fourth-year student in the PhD musicology program at UNT where her doctoral studies have been supported by a Toulouse Doctoral Fellowship, awards from the Hispanic Scholarship Fund, and a Teaching Assistantship. Clare was awarded UNT's University Writing Award in 2009, the MHTE Division's Outstanding Graduate Student in Music History Award in 2010, and the Graham H. Phipps Paper Award in 2011. She was the editor of the 2009–2010 volume of *Harmonia* and has also served as secretary and historian for GAMuT. Her research interests include hermeneutics, nineteenth-century Austro-German instrumental music, temporality in twentieth-century music, and the music and writings of Arnold Schoenberg. In addition, Clare recently traveled to Ghana under the supervision of Professor Steven Friedson to study and participate in the musical and ritual life of the Ewe people. Outside of her academic pursuits Clare is an active community volunteer, working weekly with families affected by domestic violence and sexual assault and serving as a team member with a local food pantry.

J. Tish Davenport is a first-year student in the PhD music theory program at the University of North Texas, having recently graduated *summa cum laude* with a master's degree in music theory from UNT. Awarded a Teaching Fellowship in 2009, Tish is currently teaching the third level of aural skills classes in the undergraduate theory core curriculum. Even though her primary instrument is flute (she graduated *cum laude* from Loyola University in New Orleans, Louisiana with a Bachelor of Music degree in Performance), Tish also sings in the Dallas Symphony Chorus, of which she has been a member since 2006. In fact, her interest in the oratorio *August 4, 1964*, composed by Steven Stucky, was initially piqued during the chorus' preparation for the world premiere of this composition in 2008. Tish's research interests currently include music theory pedagogy with a focus in aural skills as well as the analysis of recently-composed choral and orchestral compositions. As a part-time music director at St. Mark's United Methodist Church in Mesquite, Texas, her additional interests include sacred choral music, vocal pedagogy, and choral conducting.

Megan Varvir Coe is a doctoral student in musicology at the University of North Texas. She graduated *summa cum laude* from Austin College in Sherman, Texas in 2004 with Bachelor of Arts degrees in History and in Music with Honors. Megan studied with esteemed singer and vocal pedagogue Joan Wall at Texas Woman's University in Denton, Texas; she graduated *summa cum laude* with

her Master of Arts degree in Vocal Performance in 2006. She has sung several operatic roles including Susanna in *Le nozze di Figaro* and Belinda in *Dido and Aeneas*. Megan is a member of multiple honor societies including Phi Beta Kappa, and she won the AMS Southwest Chapter's Hewitt-Oberdoerfer Award in fall 2010 for her paper "In the Eye of the Beholder': The Liberation and Subjugation of Salome in Strauss's 'Dance of the Seven Veils.'" As a Teaching Fellow at UNT, Megan teaches "Music and the Human Imagination" to undergraduate music majors. Her research interests include opera in the twentieth century, dance music and performance, the relationship between literature and music, and the philosophy of music. Megan is the president of GAMuT for the 2011-2012 academic year.