

# Open Research Online

---

The Open University's repository of research publications and other research outputs

## Peter Maxwell Davies's 'Revelation and Fall': Influence study and analysis

### Thesis

How to cite:

Rees, Jonathan (2011). Peter Maxwell Davies's 'Revelation and Fall': Influence study and analysis. PhD thesis The Open University.

For guidance on citations see [FAQs](#).

© 2011 The Author

Version: Version of Record

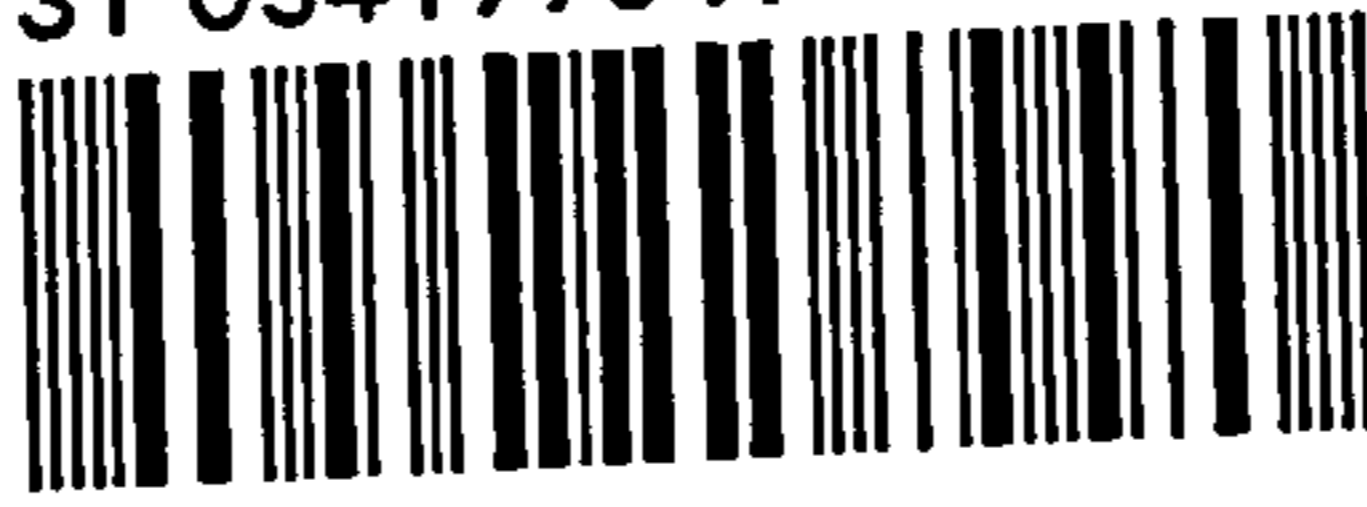
---

Copyright and Moral Rights for the articles on this site are retained by the individual authors and/or other copyright owners. For more information on Open Research Online's data [policy](#) on reuse of materials please consult the policies page.

---

[oro.open.ac.uk](http://oro.open.ac.uk)

31 0341775 X



Jonathan Rees PhD

**PETER MAXWELL DAVIES'S *REVELATION AND FALL*:**

**INFLUENCE STUDY AND ANALYSIS**

**VOLUME ONE – TEXT**

A thesis submitted for the degree of PhD in Music.

Submitted: 17<sup>th</sup> September 2010

DATE OF AWARD: 8 MARCH 2011

Volume Two  
not digitised  
due to  
third-party  
copyright issues

## ABSTRACT

This thesis is an analysis of Peter Maxwell Davies's *Revelation and Fall*, through the influences that affect the development of its musical language and adoption of the expressionist aesthetic. Each chapter concentrates upon one aspect of the work: (1) its deployment of precompositional processes of thematic transformation; (2) the superimposition of different levels of structural organization; (3) motivic working within thematic transformation and contrapuntal devices; (4) experiments with timbre and the manipulation of temporal flow; and (5) the dramatic and aesthetic influences that shape the presentation of the work. Throughout the thesis also runs a critique of certain trends in recent music analysis that seem to limit a full understanding of the analyzed work. I contend that restricting an analysis to the serial level of organization cannot prove the musical viability of the work. The other levels through which the work articulates its material must be identified by the analyst and given importance equal to this serial level. Through this thesis, I attempt to address Kevin Korsyn's complaint that some analyses (of music of all periods, not specifically Davies's) tend to view works as autonomous, synchronic entities, divorced from an artistic continuum of historical development, by focussing on the many connections with other music and ideas that inform the work's identity. Influence study is suggested as a method whereby the shortcomings of these analytical trends can be countered and the Conclusion of the thesis opposes the criticism of this method found not only in analytical studies, such as David Roberts's study of Davies's compositional techniques, discussed in Chapter One, but also a great number of commentaries on literary theory, particularly intertextuality.



## CONTENTS

Introduction.....	Page 3
Chapter One: Serial Analysis and Influence Study.....	Page 6
1.1 Serial Analysis of <i>Revelation and Fall</i> .....	Page 6
1.2 Roberts and Influence.....	Page 20
1.3 Theories of Influence.....	Page 22
1.4 Musicology and Influence.....	Page 27
1.5 <i>St. Michael</i> : Case Study in Influence Study.....	Page 34
Chapter Two: Form.....	Page 48
2.1 Long-Term Structures: Davies's Adaptation of Sonata Form.....	Page 48
2.2 The Sonata-Fantasia and Liszt's Piano Sonata in B Minor as Precursors.....	Page 53
2.3 Formal Experimentation and Ambiguity in Sibelius's Seventh Symphony.....	Page 56
2.4 Sonata Form Principles and the First Movement of Mahler's Third Symphony.....	Page 62
2.5 <i>Übergreifende Form</i> .....	Page 72
Chapter Three: Thematic Transformation and Contrapuntal Devices.....	Page 78
3.1 Davies's Development of Transformation Processes in the Second Taverner Fantasia and <i>Taverner</i> .....	Page 79
3.2 Precursors to Davies's Transformation Processes in the Works of Other Composers.....	Page 84
3.3 Contrapuntal Arrangement of Linear Strands.....	Page 98
3.4 <i>Seven In Nomine</i> and the Integration of Taverner's Techniques.....	Page 103

3.5	Adaptation of Medieval/Renaissance Compositional Techniques in <i>Revelation and Fall</i> .....	Page 107
Chapter Four: Timbre, Colour and Temporal Manipulation.....		Page 112
4.1	Different Layers of Movement.....	Page 112
4.2	Metrical Ambiguity.....	Page 118
4.3	Colour and the Musical Moment.....	Page 127
4.4	Temporal Manipulation and Improvisation in Indian <i>Rāg</i> Music.....	Page 141
Chapter Five: Non-musical Influences: Aesthetics and Theatre.....		Page 157
5.1	The Expressionist Movement.....	Page 158
5.2	Expressionism in Music.....	Page 161
5.3	Georg Trakl: An Introduction to his Style.....	Page 164
5.4	Language Aspiring to the Condition of Music.....	Page 167
5.5	' <i>Offenbarung und Untergang</i> ' .....	Page 169
5.6	Davies's Adoption of Expressionism and Reinterpretation of Trakl's Poem.....	Page 172
5.7	Musical Processes and Drama.....	Page 182
5.8	The Genre of Music Theatre.....	Page 192
Conclusion.....		Page 200
Bibliography.....		Page 209

## INTRODUCTION

Peter Maxwell Davies wrote *Revelation and Fall* in response to a commission from the Serge Koussevitzky Music Foundation in the Library of Congress, Washington, and it was first performed on 26<sup>th</sup> February 1968 at the Conway Hall, London, by the Pierrot Players with Mary Thomas as the soprano soloist, conducted by the composer. It is a setting for soprano and sixteen instruments of part of a long prose poem written by Georg Trakl in 1914, '*Offenbarung und Untergang*', which was given a semi-theatrical presentation. It is in many ways a turning point in Davies's career. Written during a period in which Davies was openly influenced by the works of the Tudor composer John Taverner – writing such responses to this influence as *Seven In Nomine*, the two Taverner Fantasias and the biographical opera *Taverner – Revelation and Fall* displays a distillation of many of the techniques that these works had introduced. The work also crystallized Davies's adoption of an expressionist style and catalyzed the deeper exploration of the genre of music theatre in later works such as *Missa Super l'Homme Armé* (1968) and *Eight Songs for a Mad King* (1969). The work is seldom performed, despite Davies's revision in 1980, which simplified the barring and notation to make it both more legible and more performable. It is, however, a work of great power and fascinating construction and deserves investigation. My analysis throughout this thesis is based on the 1980 revision of the work.

At the heart of this thesis is the question of how a composer creates his own cogent musical language and also which methods of analysis can best decipher it. Stephen Arnold points out in an article about the opera *Taverner* the problems that faced composers of the mid-twentieth century in this respect:

Tonality provided a context and a degree of 'guaranteed' common experience, against the limits of which the truly inventive composer was able to compose without going (for too long) beyond the receptive and perceptive capabilities of his listeners. Since the 'death' of tonality many composers have



attempted, with varying degrees of success, to evolve systems of comparable communality and compositional potential. (Twelve-tone compositions is but one of the more successful.) The result has been that the composer, in order to communicate, has to provide the terms of reference that in a former era would have existed independently of him. The listener, for his part, has to come to terms with the language of each individual composer. (Arnold 1972, 22)

My fundamental assertion throughout this thesis is that the individual language presented by each composer requires an individual analytical approach, or an amalgamation of analytical techniques that should be informed by the nature of the work being analyzed. I contend that the dogmatic application of one method of analysis cannot reveal the many layers through which a work such as *Revelation and Fall* communicates its meaning. The thesis begins with an example of just such a limited examination of the work; the serial analysis found in David Roberts's seminal dissertation *Techniques of Composition in the Music of Peter Maxwell Davies* (Birmingham 1985). My expansion of Roberts's analysis provides a great deal of crucial information about how the piece is constructed through the deployment of precompositional schemes of thematic transformation: however, I find myself at odds with Roberts's assumption that an analyst should be content to work on this level alone, and his suspicion of the inclusion of matters of influence in analysis. Roberts's kind of analysis is a typical example of the second concern with modern musical analysis that surfaces in Chapter One – the tendency to analyze works as if they existed outside any diachronic artistic development, as autonomous entities, entirely unaffected by what has come before them. I suggest that influence study could be a fruitful approach to be followed in this thesis, because it necessarily avoids this synchronic isolation of a work, and opens up many different approaches to the work.

Having discussed the controversial place that influence study has within current critical theory in Chapter One, and given a demonstration of the potential of influence study in a brief analysis of Davies's earlier work *St. Michael* (1957), the following chapters attempt

to put flesh on the bare bones of the work, uncovered in the first chapter, by exploring the different compositional techniques and non-musical factors apparent in *Revelation and Fall* through the models that informed Davies's musical and dramatic language. The analyses of the works that have an influential role in this piece are therefore often quite extensive. Chapter Two investigates how Davies superimposes different formal schemes to create interacting strata of structure; Chapter Three examines how Davies contrapuntally organizes the material he derives from the serial processes outlined in Chapter One; Chapter Four concentrates upon the surface effect of the music, particularly its colouristic ingenuity and experiments with warping the perception of time, and Chapter Five considers the non-musical factors, such as the generic and aesthetic concerns, that also shape the identity of the work. It is my conscious aim that the focus of the thesis should move from the most deeply-buried layers of construction to those that are more apparent to a listener; thus the musical examples throughout the thesis gradually accumulate more 'musical' details, with the bare transformational tables referred to in Chapter One, dispossessed of register, instrumentation and expression, becoming fully written-out scores in the later chapters. The Conclusion returns to the theoretical basis of the thesis and addresses the questions posed in Chapter One about the validity of influence study as an analytical tool. It also poses the question of how a holistic picture of an artistic language can be most fully uncovered, and whether the generalizations and critic-centric nature of much critical theory, and the theories of influence discussed in Chapter One, have any part to play in this process. I seldom mention the theories of influence raised in Chapter One in Chapters Two to Five because I wish to apply influence study as freely as possible, without the limitations of its attendant theories that I highlight in the Conclusion.

The analytical terminology that I employ is explained in the body of the thesis and all musical examples and figures are to be found in the second volume of the thesis.



## CHAPTER ONE: SERIAL ANALYSIS AND INFLUENCE STUDY

### 1.1 Serial Analysis of Revelation and Fall

David Roberts's dissertation, *Techniques of Composition in the Works of Peter Maxwell Davies*, is undoubtedly a remarkable piece of work, in which he unpicks the most complex systems of serial organization from which Davies's music is constructed – not only twelve-tone schemes but also transformational grids and magic squares. The limitation of the dissertation is that it leads one to believe that the kind of extensive analyses that Roberts performs can entirely explain Davies's music, since the majority of the pitch classes and some of the durational values of an entire work can be justified by reference to the system he deduces, and throughout the dissertation he remains extremely doubtful of the relevance of the influence of other music on Davies's, as I shall explore below. As I hope to show in this thesis, Roberts's analyses are an excellent starting point for further investigation, not an end in themselves. It is important, therefore, to begin with a thorough application of Roberts's techniques. Roberts devotes part of his eighth chapter to *Revelation and Fall*, focussing on the transformational processes by which themes are mutated into other themes, or to different forms, usually inversions, of themselves. In this work it is these gradual permutations from which Davies derives most of his musical material, rather than the numerous hierarchical sets of sets formulated by combinatorial algorithms and transposition squares that generate the material in Davies's earlier works such as the Sonata for Trumpet and Piano (1955), the Five Pieces for Piano (1955-56), and, as will be discussed later in this chapter, *St. Michael* (1957). In his 1968 article in *The Listener* Davies describes the use of the transformational processes that seem to define many of his works of the 1960s:

I have for a few years been working with series or 'sets' (not necessarily 12-tone) which are in a perpetual state of transformation, so that given musical identities, such as 'straight' or 'inverted' set forms, are only gradually established and disintegrated [...] Sets are thus, in the simplest instances,

transformed by a given interval throughout, but more often by a series of intervals, sometimes in elaborate permutation, giving complex curves, and with the rhythmic cells subject to a parallel consistent modification, as well as the larger isorhythmic units. (Davies 1968c, 250)

Obviously a great deal of my analysis is indebted to Roberts (Roberts 1985, Vol. I, 290-307); however, many of Roberts's observations need updating since he was clearly working from the original score rather than the 1980 revision. Not only are his bar numbers inconsistent with the revised score, but there are several points where I find myself at odds with his calculations, which could be due to this revision. There are also sections that deserve more detailed attention than Roberts could give in merely one section of one chapter of his dissertation and I have also revised his terminology to make it congruent to the system I shall use throughout my thesis.

It is important at this stage to make my use of terminology very clear. I shall state a transformation as a function; thus  $[B_0 \rightarrow AI_0]$  is the transformation of theme B into the inversion of theme A. Where this process is reversed I shall reverse the function –  $[AI_0 \rightarrow B_0]$  – rather than use Roberts's ambiguous R, which he uses to refer to both the reversal of the whole transformation as well as the retrograde of the component stages. Roberts describes these stages as subunits, with the first and last (the strict representations of the original sets) as terminal subunits or termini, and the others as intermediates, which are not strict forms of either set, but incremental changes in the conversion of one set into another. Numbers after the colon refer to the subunits of the transformation, and an R indicates that that subunit, not the whole process is retrograded –  $[B_0 \rightarrow AI_0]:1,R2,3$  indicates the first three subunits of that transformation with the second subunit retrograded.  $[B_0 \rightarrow AI_0]:1-6$  indicates all the first six subunits of that transformation. In the musical examples in Appendix 1 the numbers running down the side indicate the subunit number, both of the original and reverse form of the process, and the numbers on top of each pitch indicate its degree of upward transposition



from its appearance in the previous subunit (I have adopted Roberts's system of notating 10 and 11 with T and E).

What follows is a section-by-section analysis of *Revelation and Fall*, developing and expanding upon Roberts's analysis and techniques. This analysis also highlights the sectional nature of the work, a feature that is central to the different perspectives of the work offered throughout this thesis.

### **Bars 1-26 – Trumpet**

The trumpet establishes the prime compositional device of the work in the very first section and gradually transforms theme A into its inversion in 14 clear subunits  $[A_0 \rightarrow AI_0]:1-15$  (2 omitted) (Ex. 1.1), subunits that Davies numbers very clearly in his compositional sketches. These transformation tables are derived from Roberts 1985, Vol. II, 70-80, checked against compositional sketches whenever they are given, but all other musical examples are my own. Davies often sieves out repeated pitches; thus subunit 9 is reduced to just the first three elements, which reorder the last three of subunit 8. In bars 6-9 Davies also presents a truncated form of  $[D_0 \rightarrow DI_0]$  (Ex. 1.12) in the double bass part, a small hint at a theme that does not reappear until bar 178. The other parts highlight features of these transformations, echoing figures or doubling certain pitches. The harp works alongside the transformation of theme D in the bass, clustering pitches into chords.

### **Bars 21-48 – Voice**

The voice then takes up the trumpet's lead and performs exactly the same transformation but transposed to the sixth degree –  $[A_6 \rightarrow AI_6]:1-15$  (Ex. 1.2), with subunits 6-10 substantially truncated. The harp emphasizes some leaps with glissandi made with a key on one string whilst most other instruments create a drone-like substratum of sound as the second subunit is

sung by doubling a pitch and holding it until sliding down to lower held pitches once the voice has reached subunit 12.

### **Bars 49-71 – Voice and Violin 1**

The voice part consists of a simple version of  $[B_0 \rightarrow A I_0]$  (Ex. 1.3), plainly set out with each subunit neatly occupying one or two bars, apart from the first subunit, which being the exposition of theme B spans four bars. Roberts discusses this process in some depth in an attempt to find strict patterns in the transformational processes, noting such details as: ‘If either of the termini is taken as an unordered pitch-class set, it forms an ungapped chromatic segment, whereas all the intermediates are gapped’, and the fact that whilst the termini contain no repeated pitches all intermediates except subunit 10 contain repeated pitches (Roberts 1985, Vol. I, 292). However, I feel that these details are outcomes of a relatively loose procedure, rather than proof of a rigorous system. Certain patterns in the degrees of transposition of the elements of the sets can certainly be spotted; for example the first element is mostly transposed by one degree and one can follow the path of the sixth element of the first terminal as it is continually transposed by degrees of eleven until it forms the fourth element of the second terminal, but there is sufficient deviation from such rules in other pitches that one can see Davies allowing himself compositional freedom to create interesting patterns and cells in each subunit, which are then available for development by the other instruments not involved in the complete transformation.

Another way of testing whether there are any more logical processes at work in these transformational grids is to apply Allen Forte’s pitch-class (pc) set analysis, as explored in his 1973 book, *The Structure of Atonal Music*. Fig 1.1 shows pc set labels given to the subunits of the transformation  $[A_0 \rightarrow A I_0]$ . This demonstrates clearly how the number of different pitches in each subunit, represented by the cardinal number of the pc set (the number to the



left of the hyphen) reduces towards the middle and then increases again towards the bottom, but also that this is not clearly systematic. The intervals between these pitches also decrease towards the middle of the transformation (subunits 8 and 9 having only intervals of one and two semitones and those around them avoiding large intervals of 5 and 6 semitones – as indicated by the numbers in the square brackets), but the pc set analysis does not display any specific underlying pattern here. Some intermediates that appear more closely related in the musical examples – subunits 2 and 14 look almost exact inversions – are shown to be constituted very differently as pitch-class sets. The pc set analysis of  $[B_0 \rightarrow AI_0]$ , also given in Fig. 1.1, shows even less logical ordering of the subunits. This suggests that there is no precise logical ordering of either the number of elements in the set or the distribution of intervals, despite Roberts's attempts to find stricter methods, indicating that the process is more intuitive than rigorously serial.

Against the voice the violin 1 part contains the only appearance of the transformation of theme B into an inversion of itself  $[B_0 \rightarrow BI_0]$  (Ex. 1.4). In fact, only the final six subunits of this process appear in *Revelation and Fall*; Roberts deduces the upper seven subunits from a similar process in Davies's *Second Taverner Fantasia*. The first violin plays  $[BI_0 \rightarrow B_0]:1-6-1$ , with all subunits placed contiguously with those in the voice part. Since there are only eleven subunits of the violin's transformation the voice's final subunit occurs after the violin's, meaning that the inversion of theme B is followed immediately by the inversion of theme A. In a short interlude, bars 67-71, the voice neatly concludes the first formal block of the work, leading to the first appearance of the chorale theme C, by singing  $A_6$  followed by  $A_0R$ , recapitulating the two forms of the first theme from which previous transformations have been derived. The 'chorale' sections in bars 72-78 and 272-277 are ignored in Roberts's analysis because they do not conform to the transformational processes that control the rest of the work. They will, however, be of great importance in later chapters of this thesis.

## Bars 96-177

The instrumental interlude in bars 96-177 is a good example of how all pitch-class material can be derived from these transformational grids. The principal voice of this section, as Roberts defines it (Roberts 1985, Vol. I, 297) is the continuous line that passes between trumpet and clarinet, each subsection of which (marked by double lines in the score) contains a single successive subunit of the transformation  $[AI_0 \rightarrow B_0]$ . The instrumentation also points out the division of the subunits with the first eight subsections alternating between the trumpet and clarinet as the carrier of the principal voice. The ninth subsection is shared between both instruments and the last three belong to the clarinet (see Ex. 1.5). Throughout this interlude the piccolo, oboe, violin 2 and viola expand the pitches of the principal voice with harmonics that echo the first chorale section and recall the sound of the chamber organ with its parallel fourths and fifths that Davies exploited in *Seven In Nomine* (1963-65) (see Chapter Three). From the third subsection of the principal voice the 'cello introduces a secondary voice. This is a single statement of the transformation  $[BI_0 \rightarrow A_6]$  (Ex. 1.6) with the elements of each subunit in retrograde. This process is formed by inverting each subunit of  $[B_0 \rightarrow AI_0]$ , the transformation carried by the principal voice, (with one discrepancy at the end of the 10<sup>th</sup> subunit – an F that should be an E). The durational scheme of these transformation processes in this interlude is interesting. Ex. 1.7 shows the durational modification applied to both  $[AI_0 \rightarrow B_0]$  (in the principal voice) and  $[BI_0 \rightarrow A_6]$  (in the secondary). Comparing this with Ex. 1.3 and Ex. 1.6 shows that while the durational changes do not match the transpositional changes exactly, there are significant patterns – wherever one element is left untransposed from one subunit to the next its duration also stays constant and wherever two elements are fused their durations are added, plus another small increment. Whilst the principal voice begins with the longer note values from the bottom of the chart and gradually diminishes the note values, the secondary voice works from the smaller note values from the



top of the chart and augments its note values. To complicate matters further the secondary voice diminishes all its durational values by a factor of  $\frac{2}{3}$  in relation to the principal voice (Roberts 1985, Vol. I, 298), with the ‘cello beginning at the correct point for both voices to conclude at exactly the same moment. This is a complex form of canon: the same material is presented on different levels but in inversion and retrograde, both within each subset and the order of subsets, the different tempo-layers creates a sort of mensural canon but with temporal identities switching as the durational properties of the principal voice are gradually diminished and those of the secondary voice are augmented (this will be examined in more detail in Chapter Three).

There is another level of activity in the horn and trombone, which have *sforzando* offbeats. Their material is taken from the same two transformations. Generally in each subsection the trombone carries a subunit of the transformation  $[B_0 \rightarrow AI_0]$ , working from first subunit to the last in the final subsection of the interlude, while the horn carries successive statements of  $[A_6 \rightarrow BI_0]$  with all subunits retrograded. There are some adaptations along the way: for example, in the first subsection the horn carries the first note of the trombone’s subunit and vice versa (see Ex. 1.8), and in some the subunit is incomplete – the last three pitches of  $[B_0 \rightarrow AI_0]:1$  in the trombone are omitted as are the first pitches in both  $[BI_0 \rightarrow A_6]:R11$  and  $R10$  in the horn. Notice that this pairing reverses the direction of the two transformations found in the principal and secondary voice; the durational scheme does not apply to these parts.

Another layer of material is found in the melismas that decorate the principal voice. When the trumpet carries the principal voice the clarinet provides melismas and vice versa. In the last four subsections, from the point at which the clarinet and trumpet share the principal voice, the melismas are played by violin 1 (Roberts 1985, Vol. I, 299). All these melismas are full or partial subunits of the transformation  $[B_0 \rightarrow AI_0]$  both in prime and retrograde – for

example in the first subsection the clarinet plays  $[B_0 \rightarrow A_{I_0}]:R10$  followed by  $[B_0 \rightarrow A_{I_0}]:2$  (see Ex. 1.9); in the second the trumpet has  $[B_0 \rightarrow A_{I_0}]:8$  and  $[B_0 \rightarrow A_{I_0}]:R9$ ; and in the third the clarinet has  $[B_0 \rightarrow A_{I_0}]:R6$  and  $[B_0 \rightarrow A_{I_0}]:R3$ . These subunits do not seem to be ordered in any way –  $[B_0 \rightarrow A_{I_0}]:R10$  appears four times, each with different durational proportions.

From the tenth (not eleventh as Roberts writes) subunit of the ‘cello’s transformation, the double bass begins to ornament this secondary voice with melismas. Unlike the first set of melismas that only tend to decorate the pitches A, D and Eb where they occur in the principal voice, there is no such pattern in the ‘cello’s pitches that are decorated, and the melismas are considerably more frequent than those that decorate the primary voice. Each melisma is a subunit of the same transformation carried by the ‘cello, either in retrograde or prime; therefore, each voice is ornamented by subunits of the transformation that voice carries. The double bass melismas, unlike the clarinet and trumpet melismas, do not begin on the note which is being decorated; they take the decorated note as the first of the subunit used in the melisma, with each melisma beginning on the second note of that subunit.

The final layer of material lies with the percussion. From the beginning of the interlude, percussion 2 on suspended cymbals has a repeated three-beat motive (of different durations) that helps to articulate the durations of the primary voice – in Davies’s barring system the motive usually, but not exclusively, falls on the last three quaver beats of the bar. The woodblock rhythm in percussion 1 is similarly attached to the secondary voice, beginning at the ‘cello’s seventh subunit. This part is generated by taking the first six subsections of the cymbals’ material, reversing them and diminishing them to  $\frac{2}{3}$  so that the durational ratio between the primary and secondary voices is also emphasized in these rhythm parts. Although all the subsections are taken in reverse order (just as the secondary voice reversed the durational transformation of the primary voice), only some of them are retrograded internally (Roberts 1985, Vol. I, 301).



### **Bars 178-215 – Voice, Viola, Double Bass, ‘cello and Harp**

Between bars 179 and 214 the viola has a slow cantus firmus constructed from  $[A_6 \rightarrow BI_0]:1, R2, 3$ . Wherever there is rest in the viola part the voice has relatively long notes, which put together create the subunits  $[B_0 \rightarrow AI_0]:R1, 2, R3$ . Ex. 1.10 shows how these subunits are superimposed – the arrangement of one prime against one retrograded subunit and the successive alternation of prime and retrograded subunits are common features throughout the work. When the viola is playing, the voice has rapid melismas based on various subunits of both  $[B_0 \rightarrow AI_0]$  and  $[A_6 \rightarrow BI_0]$ , both in prime and retrograde.

Throughout this section the double bass and then the ‘cello have unmeasured melismas. These are constructed by merging subunits of both transformations; for example, one can see the pitches of  $[AI_0 \rightarrow B_0]:1$  embedded within  $[BI_0 \rightarrow A_6]:1$  in the first double bass melisma in bar 180 (see Ex. 1.11).

The harp part does not contain material from these two transformations but continues the gradual unveiling of the fourth theme of the work – theme D – which made a brief appearance in the first section of the work. If we take the true version of theme D as that presented by the piccolo cantus firmus in bars 216-222, then this section works between an embryonic version of this theme (with a C# as its final pitch rather than a B) through to a similarly imprecise inversion of the theme in the 10<sup>th</sup> subunit before reversing the process towards another slightly changed form of the theme; i.e.  $[D_0 \rightarrow DI_0]:1-10-1$  (see Ex. 1.12).

### **Bars 216-222 – Piccolo, Oboe, Clarinet and Trumpet**

This is the first clear statement of theme D – in that sustained piccolo line – whilst the clarinet and trumpet together constitute the inversion of that theme. In the middle of these parts the oboe plays the sixth subunit of the transformation  $[D_0 \rightarrow DI_0]$  – the transformational midpoint between  $[D_0 \rightarrow DI_0]:1$  in piccolo and  $[D_0 \rightarrow DI_0]:11$  in clarinet and trumpet.



### **Bar 230-243 – Double Bass and Harp/'cello**

The only exception to the saturation of the work with transformation processes is the interesting passage in bars 230-243, which is built on the second order groupings of transpositions of themes upon which many of Davies's earlier works are based (see the discussion of *St. Michael* below). The double bass and harp play  $A_3$  (theme A transposed up three degrees), the 'cello plays a sequence of  $AI_9-AI_5-AI_0-AI_7$ , and the transpositions  $D_0, D_7, D_9, D_8, D_4, D_3, D_5$  are shared between different combinations of the bassoon, trombone, horn and trumpet (see Ex. 1.13). This gives the section its very particular nature – rather than the constantly changing intervals of transformational processes, one hears the same repeated figures from the two themes which are not being transformed but transposed.

### **Bar 244 – Violin 1, Violin 2 and Viola**

In this single extended bar the higher strings share all the subunits of the transformation  $[D_0 \rightarrow DI_0]$ : violin 1 having almost full renditions of subunits 1, 4, 8 and the terminal 11. Violin 2 has 3, R5, a shortened 7 and a full 10 and the viola reduces subunits 6 and 9 to a bare outline.

### **Bars 245-261 – Voice**

In this section the voice works through a new transformation  $[A_0 \rightarrow DI_0]$  (Ex. 1.14) with every even-numbered subunit, including the terminal 12 in retrograde. There are some adaptations and omissions and sometimes the last element of one subunit is used as the first of the next – a feature facilitated by the alternation of prime and retrograde.

### **Bars 247-250 – Clarinet and Trumpet/Piccolo and Oboe**

Covering a section in which the voice breaks off from the above transformation and repeatedly screams the words '*ein rotter Schatten!*' (a red shadow), each pair of instruments alternates clear subunits of a transformation in rapid demisemiquavers, with no adaptations or omissions. The clarinet and trumpet parts contain a new process  $[D_0 \rightarrow BI_0]$  (Ex. 1.15), and the piccolo and oboe have  $[DI_0 \rightarrow A_0]$ , the reverse of the transformation found in the vocal part (see Ex. 1.16).

### **Bars 254-261 – Harp**

The transformation  $[D_0 \rightarrow BI_0]$  is presented in a greatly truncated form with elements of most subunits (it seems that subunits 4,6,8,9 are unrepresented) appearing fleetingly between fuller representations of the termini.

### **Bars 263-271 – Double Bass and Voice**

In this section the double bass part comprises  $[D_0 \rightarrow BI_0]:R13,12,11,10,9,R8,7,R6$ , but the form of each subunit is adapted with unusual freedom. Most of the subunits overlap by one or two notes; shared features are employed to blur the beginning of one with the end of the previous, and there is a great deal of omission in almost every subunit. This process is shown in Ex. 1.17a – comparison with Ex. 1.15 will show the extent of the freedom that Davies allows himself with the use of each subunit, freely selecting certain pitches, occasionally swapping the order of elements and almost submerging the identity of the transformation. The voice part contains the other 5 subunits of the transformation:  $[D_0 \rightarrow BI_0]:1,R2,3,4,5$ , similarly truncated and overlapped (see Ex. 17b). Note that the two parts begin at opposite ends of the process and work towards the middle.

### **Bars 278-297 – Double Bass, Harp, Bassoon, Trombone, Trumpet and ‘cello**

Throughout this section the thirteen subunits of another new transformation  $[D_9 \rightarrow BI_0]$  (Ex. 1.18) are played in order, with few alterations but with very overlapping, sometimes almost simultaneous, entries, by Db-Hp-Bsn-Tbn-Db-Hp-Bsn-Tbn-Db-Hp-Tpt-Vlc-Tbn.

### **Bars 297-329 – Voice, Clarinet 1, Violin 1 and Violin 2**

Here the voice part alternates between the even intermediate subunits of  $[A_6 \rightarrow BI_0]$  (beginning with subunit 2) and the odd intermediates of  $[AI_0 \rightarrow B_0]$ , right through to the eleventh subunit of the latter. Davies allows himself some licence with these subunits – all even subunits are retrograded, apart from subunit 6, and pairs of pitches within many units swap places; two subunits also have their final notes omitted.

Between bars 299 and 317 the clarinet and two violins reverse the process that the voice is carrying out, playing alternate intermediate subunits of  $[BI_0 \rightarrow A_6]$  (even, beginning with 2) and  $[B_0 \rightarrow AI_0]$  (odd, ending with 11), but the elements of the subunits are scattered throughout the three instruments and dislocated from their original position to a much greater degree (Roberts 1985, Vol. I, 302).

### **Bars 318-323 – Bass Clarinet, Harp, Horn, Trombone, Viola and ‘cello**

In a development of the voice part in bars 245-261 the bass clarinet plays  $[A_0 \rightarrow DI_0]:2-12$ , again with every even numbered subunit in retrograde. This variant has many of the same elisions and omissions as that previous passage, with some variation – there is also an interpolated upward scale in bar 322 that does not contribute to the transformation.

Here the harp also has a variation of its own part in bars 254-261. The version of  $[D_0 \rightarrow BI_0]$  is here even more truncated with all subunits extensively sieved; although not by



such logical devices as the first-only sieve, which removes all repeated pitches. Again subunits 4, 6, 8 and 9 are omitted.

Generally, intermediate subunits only appear as part of the greater transformation process, but in this section the two subunits  $[AI_0 \rightarrow B_0]:7$  and  $[A_6 \rightarrow BI_0]:R6$  seem to be given autonomy and are coupled together in the constantly altering doublings of horn, trombone, viola and 'cello (see Ex. 1.19). The placement is logical, however, coming immediately after the voice has  $[A_6 \rightarrow BI_0]:6$ , which was the only non-retrograded intermediate of the even subunits derived from that transformation. The subsequent appearance of the retrograded subunit in the horn (plus the doubling on viola and 'cello) corrects this anomaly, and the trombone part is merely shadowing the same subunit that the voice part begins the bar earlier. This is a development of the accompanying layer, found in the horn and trombone in the first instrumental interlude. The subsection in bars 135-142 has the same subunits as are found here.

### **Bars 324-329 – Flute and Oboe/Violin 1, Violin 2 and Viola**

The oboe plays through  $[AI_0 \rightarrow B_0]:1,R2,3$  and the flute decorates all the held oboe notes with the subunits  $[AI_0 \rightarrow B_0]:R3,11,R4,5,R7,R10,R3$ , giving continuous semiquaver movement. Against this, violin 1 and viola exchange figures that make up the following subunits –  $[AI_0 \rightarrow B_0]:R12,10,R9,8,R7,6,R5,4$  (see Ex. 1.20). The second violin emphasizes the pitches A, D and Eb (the same that were ornamented by melismas in the principal voice of the first interlude) by sustaining them, a quarter-tone sharp, with the exaggerated vibrato that is a common source of irony in this piece and later works, such as *Antechrist* (1967).

### **Bars 332-370**

This is a simple variant of bars 178-215 – with the original vocal melismas being passed between flute, oboe and trumpet. The harp repeats its transformation of theme D and the double bass has its previous unmeasured melismas (the ‘cello does not take over from the bass in this later section). The trombone plays the incipit of the *Gloria Tibi Trinitas* plainchant in a cantus firmus from bar 348.

### **Bars 371-374 – Voice and Percussion**

In the final lines for voice subunits of  $[B_0 \rightarrow AI_0]:1-5$  and  $[A_6 \rightarrow BI_0]:1-5$  are coupled and interlocked, combining the two most ubiquitous transformation processes for the final time. The even-numbered subunits of the former process are retrograded, whilst the odd-numbered subunits of the latter are retrograded. There are a number of paired dislocations and omissions in all subunits, as well as certain pitches that cannot be accounted for by either set of subunits, showing a certain compositional freedom here (see Ex. 1.21). As the voice dies out figures derived from  $AI_0$ ,  $A_6R$ ,  $B_0$  and  $BI_0R$  repeat and fade on two sets of glockenspiels and a set of handbells.

This itemizes all the main transformations that generate the material of the piece. Other parts not involved in these transformations tend to be echoes or imitations of the main transformation that is taking place, emphasizing important pitches, or doubling a pitch from the transformation and sustaining it to create a wash of colour. In his compositional sketches Davies often draws lines between accompanying pitches and the same pitches as they appear in the principal voices carrying the main transformations, in order to demonstrate how closely all his material is derived from these processes, and perhaps to remind himself which pitches he has doubled so that they are not doubled twice. Roberts would argue that this analysis



satisfactorily explains the working of the piece, an idea that seems tempting because of the entirely provable, objective nature of all the observations – the analysis above is, I hope, incontrovertibly correct. However, as I stated in the Introduction I believe that so much more can be revealed about this work by reference to the many influences that were acting upon Davies at the time of its composition.

### 1.2 Roberts and Influence

Roberts believes that the relevance of such influence study is very limited. He states that although Davies's music 'is of such a type as to suggest readily analogies with a wide variety of musical techniques and forms from various historical periods' (Roberts 1985, Vol. I, 35), the over-reliance on historical models in the study of his works is full of pitfalls. Writing about Davies's Sonata for Trumpet and Piano, he comments on the frequent references to isorhythmic techniques and Kyrie mass movements as models for the work's structure in commentaries on the work (he allows the authors to remain anonymous), dismissing their significance and claiming primacy to serial analysis:

Explanations of this kind are extravagant and inefficient: they are like hastily chosen off-the-peg clothes that fit where they touch. Medieval composers did indeed exploit discrepancies between the lengths of *talea* and *color*, but that they should have conceived of employing a proportion such as the 12:13 found in the Sonata [combination of a 13 unit pitch set with a 12 unit duration set] seems most improbable; nor does it seem likely that they should have conceived of transposing the *color* from statement to statement; above all, the musical and conceptual context within which isorhythm gained its significance was quite different. To interpret this music in terms of its relatively straightforward serial practices provides an altogether more adequate explanation of what is going on. Furthermore, if it is possible to explain facts in serial terms, it seems a falsification of intellectual history to posit a historically remote and inadequate model rather than a historically immediate and highly efficient one. Davies is, after all, a composer of the second half of the 20<sup>th</sup> century and not of the 14<sup>th</sup>. (Roberts 1985, Vol. I, 36-37)

In his section on *Alma Redemptoris Mater* (1957), Roberts also refutes the claims of several commentators, most notably Paul Griffiths, Roger Smalley and Bayan Northcott, that Davies employed the whole of a Dunstable motet as source material for this work. Roberts systematically disproves this theory and, in fact, in the programme note Davies does only claim a connection to a Sarum plainchant, not to any motet, or indeed Dunstable himself (Roberts 1985, Vol. I, 197). Roberts concludes that such repeated invalid attribution and historical reference contributes to what he calls 'a mythology that has grown up around Davies's music', and he delivers a heavy blow against influence study where the influence is not explicitly stated by the composer:

In any event there is a world of difference between the composer saying 'This work is based on a Dunstable motet' and the same pronouncement on the lips of a critic or analyst. The composer is in the uniquely privileged position of being sure of his meaning; for a commentator to relay such an item of information as a fact – except as a fact about what the composer has said [...] without verifying it for him- or herself can only promote mystification and charlatanry. (Roberts 1985, Vol. I, 197)

Roberts does not address the question of how many features of the works he analyzes cannot be explained by the compositional processes that he explores. For example, in the analysis above I have seldom mentioned how the music sounds, the effect of the music or its connection to Trakl's poem; expression marks are routinely omitted in all musical examples, most of which are reduced to a string of pitch classes – denuded of register, instrumentation, expression, timbre – in fact, instrumentation is important only in the distributions of transformational subunits, and there is no reference to structure beyond the definition of compositional units according to transformation procedures. It is clear that Roberts is working in the realm of provable fact – possibly as a reaction against the analytical shorthand of the easy attribution of historical models by the writers mentioned above. His use of the phrase 'based on' relies on exact reappearance of features of the source work in the new work. Therefore the absence of the precise pitch classes of Dunstable's motet in Davies's



*Alma Redemptoris Mater* categorically means that the latter work cannot be based upon, and by extension affected by, the former. He also denies that a composer could be subconsciously influenced by an accumulated study of historical models, that, for example the sound of the classical Indian *ālāp* could be so ingrained into Davies's technique from his studies of the Indian *rāg* tradition in his undergraduate dissertation, that features of an *ālāp* can be found in expositional passages without the composer intentionally trying to write an *ālāp* (this specific example will be studied in Chapter Four). Provability is always the major pitfall of influence study, but one that was neatly sidestepped by Harold Bloom in *The Anxiety of Influence* by his suggestion that influences work at the deepest psychological level, in the agonistic conflict at the heart of the act of artistic creation. Therefore such conscious recognition of an influence, in the way Roberts would demand that one work be 'based on' another, utterly denies the power of the influence. I feel that influence must be shown to work somewhere between these two extremes. Slavish adherence to a model is not the prerequisite of a strong influence: neither does conscious exploitation of a model deny its strength.

### 1.3 Theories of Influence

It would be useful at this point to give some background to influence study as a branch of literary and artistic theory. I shall not explain the systems devised by the writers who deal with these theories at any length because my interest here is absolutely not to apply any particular theoretical criteria to Davies's work, nor to devise a system of my own – I believe that assimilation of influence is far too personal a process to be crystallized in this way – but this brief survey will give a theoretical background to the influence study that I shall apply in the rest of this thesis.

If one is to write about the importance of influence in any critical study one cannot avoid Harold Bloom's theories of poetic influence. These theories, which first appeared in a

series of three books, *The Anxiety of Influence* (written in 1973), *The Map of Misreading* and *Kabbalah and Criticism* (both 1975), created quite a stir upon their appearance and since then have been variously derided and admired, and have been adapted to a wide variety of subjects including musicology, despite being originally applied specifically to Romantic poetry (below I shall freely substitute Bloom's 'poet' with the more general term 'artist' in order to generalize his theories). Bloom's ideas are so potent that other theories of influence are forced to qualify themselves against his, rather as I am qualifying my own research against that of Roberts.

Fundamentally, Bloom sees in the creation of art 'the contest for aesthetic supremacy' (Bloom 1997, xxiv), or *agon*, between an artist and his strong precursors. In Bloom's view no artist can escape the influence of these precursors or the crushing sense of 'belatedness' – the fear that he is too late to create work that can compete with the greatest works of the past – because it is only through an awareness of these precursors that the later artist begins to know himself. Bloom writes: 'For the poet is condemned to learn his profoundest yearnings through an awareness of *other selves*. The poem is *within* him, yet he experiences the shame and splendour of *being found by* poems – great poems – *outside* him. To lose freedom in this centre is never to forgive, and to learn the dread of threatened autonomy forever' (Bloom 1997, 26, original emphases). This tension between dependence on strong precursors and desire to establish an autonomous artistic identity is the source of what Bloom calls 'the anxiety of influence' and for Bloom it is this anxiety that is being written out in every poem, or by extension composed in every piece of music. To work out this agonistic relationship with influential precursors an artist employs a series of psychological mechanisms designed initially to defend himself against the precursor and finally to defeat him. In order to apply these various mechanisms the later poet must 'misread' the work of those who influence him: 'Poetic history, in this book's argument, is held to be indistinguishable from poetic influence,



since strong poets make that history by misreading one another, so as to clear imaginative space for themselves' (Bloom 1997, 5). This creation of a personal 'imaginative space', which one can reinterpret as a personal artistic language, is one of the most intriguing parts of Bloom's theories, and is, I believe, at the heart of all influence study.

Commenting on Bloom, J. Hillis Miller identifies the writer against whom, in agonistic conflict, Bloom created his theories: 'The real precursor for Bloom [...] is the man he calls "the abominable Eliot"' (quoted in Taruskin 1993, 137). In his essay 'Tradition and the Individual Talent' (1919) T. S. Eliot anticipates the importance Bloom places upon the work of dead precursors: 'No poet, no artist of any art, has his complete meaning alone. His significance, his appreciation is the appreciation of his relation to the dead poets and artists' (Eliot 1999, 15). However, the area of Eliot's conception of influence to which Bloom takes such an antithetical stance is the submission that Eliot advises towards these strong precursors, suggesting that 'the most individual parts of [the new poet's] work may be those in which the dead poets, his ancestors, assert their immortality most vigorously' (Eliot 1999, 14). Indeed Eliot seems to prescribe that the new artist should simply yield to these precursors: 'What happens is a continual surrender of himself as he is at the moment to something which is more valuable. The progress of an artist is a continual self-sacrifice, a continual extinction of personality' (Eliot 1999, 17). The end, for Eliot, is that there should be a distance between the person and artist: 'the more perfect the artist, the more completely separate in him will be the man who suffers and the mind which creates; the more perfectly will the mind digest and transmute the passions which are its material' (Eliot 1999, 18). In his opposition to Eliot, Bloom is guilty of misreading this idea, since Eliot is advocating neither conformity to tradition, since if the only merit in a work were conformity, 'it would not be new, and would therefore not be a work of art' (Eliot 1999, 15), nor an unthinking capitulation, but a re-evaluation of the past with a perspective only granted to the present:

‘the difference between the present and the past is that the conscious present is an awareness of the past in a way and to an extent which the past’s awareness of itself cannot show’ (Eliot 1999, 16). Despite the difference in approach to the process of assimilation of influence both Bloom and Eliot believe that an artist finds his identity in the works of others, and the only way to understand a poem or work of art is through its relationship to other works, which Bloom states in his famous phrase: ‘The meaning of a poem can only be another poem’ (Bloom 1997, 94).

Many writers have objected to the assumptions Bloom makes about the artistic temperament in his theories; Richard Taruskin writes: ‘At its core is bleakness – a view of human relations founded on jealousy, territoriality, resentment, and of human relations founded on corrosive rivalry, contention, strife’ (Taruskin 1993, 114). Quite against the ethos of the times Bloom has stubbornly based his theories on the works of white Western males, to the absolute exclusion of any issues relating to gender, colour, sexuality or cultural difference. As Jay Clayton and Eric Rothstein write: ‘Bloom unashamedly employs influence to construct a severely limited canon, in which strong poets compete only with similarly strong figures’ (Clayton and Rothstein 1991, 9). More problematic for the wider application of Bloom’s theories is his ‘nonreferentiality’ (Clayton and Rothstein 1991, 9) – that he sees the events to which the poem refers, the linguistic style of the poem and even any historical, biographical evidence to back up claims of influence as merely ‘the backdrop against which the central drama of poetic influence is acted out’ (Clayton and Rothstein 1991, 9). This attempts to rescue influence study from superficial source-hunting by placing it on a more spiritual, even mystical plane, but such is the removal from the actual experience of reading a poem that it becomes quite impossible for anyone but the arch-mystic Bloom himself to apply this ‘Map of Misreading’, leading to what Taruskin describes as ‘connoisseurship’ (Taruskin 1993, 119). Bloom insists that real influence lies well beneath surface style, in the deepest



identity of the artist: 'Ideas and images belong to discursiveness and to history [...] Yet a poet's stance, his Word, his imaginative identity, his whole being, *must* be unique to him, and remain unique, or he will perish, as a poet' (Bloom 1997, 71, original emphasis). In applying Bloomian theories of influence one is therefore forbidden to compare surface similarities. Indeed, one should not even expect to find them:

Poets need not *look* like their fathers, and the anxiety of influence more frequently than not is quite distinct from the anxiety of style. Since poetic influence is necessarily misprision, a taking or doing amiss of one's burden, it is to be expected that such a process of malformation and misinterpretation will, at the very least, produce deviations in style between strong poets. (Bloom 2003, 20, original emphasis)

Through this critical sleight-of-hand Bloom avoids the usual requirement of influence study; the proof that an artist had read, heard or seen the work that one is claiming to have influenced him. To Bloom, this is simply irrelevant.

For all these objections, the strongest opposition to Bloom's theories and the study of influence in general have come from proponents of intertextuality, with which one might have assumed there to be some kinship, especially in the claim that the true meaning of a work is to be found in other works. Clayton and Rothstein make the controversial claim: 'One may see intertextuality either as the enlargement of a familiar idea or as an entirely new concept to replace the outmoded notion of influence' (Clayton and Rothstein 1991, 3). The discomfort that proponents of intertextuality have with influence study seems to be caused by the centrality of the author or artist in influence theories such as Bloom's and Eliot's: 'intertextuality might be used to oust and replace the kinds of issues that influence addresses, and in particular its central concern with the author and more or less conscious authorial intentions and skills' (Clayton and Rothstein 1991, 3). This move away from author-centred criticism began in the mid-twentieth century with the New Criticism movement (named after John Crowe Ransom's 1941 book *The New Criticism*), which was bent on evaluating works

of art in complete isolation from the process of their creation, and many writers who allied themselves to intertextuality incorporated this procedure into their work, culminating in Roland Barthes's famous declaration about 'the death of the author'. Bloom's refocusing on the role of the poet and his struggle with his inheritance was seen as a strong counteraction to this and separates him from critics like Julia Kristeva, Barthes and Jacques Derrida: 'the poststructuralists, who deny the very existence of [the author's] intention as anything more than a kink in the signifying chain' (Clayton and Rothstein 1991, 9). Clayton and Rothstein suggest that intertextuality took over from influence study because of four factors:

(1) behind an idea of influence lie dubious normative judgments about originality; (2) the biographical issues crucial to influence are at best merely ancillary to texts; (3) a stress on the author's being influenced or influencing tends to make the author authoritative, thus to brush aside the activity of readers, let alone their freedom of interpretation and response; and (4) a concern about influence promotes an outworn humanism. (Clayton and Rothstein 1991, 12)

These four concerns will be addressed in the Conclusion of this thesis, having examined what can be gained from a thorough application of influence study.

#### 1.4 Musicology and Influence

Of course, the question of influence is anything but new to musicology, but in the light of developments in intertextuality influence needs to justify itself as a critical enterprise, since it can too easily be dismissed as the kind of simplistic source-hunting that Bloom so derides by proponents of systems that tend to study a work in isolation from a historical context, such as Schenkerian analysis, set theory, or semiotics. In his article 'Influence, Plagiarism and Inspiration' (1980) Charles Rosen neatly maps out the different levels of influence that can be found between art works: 'The influence of one artist upon another can take a wide variety of forms, from plagiarism, borrowing, and quotation all the way to imitation and eventually the profound but almost invisible form' (Rosen 1980, 88). Rosen thus connects Bloom's mystical



‘invisible’ influence with the most fundamental form of source study, which he suggests can, when handled properly, reveal a great deal about the process of composition: ‘This goes to show that when the study of sources is at its most interesting, it becomes indistinguishable from pure musical analysis’ (Rosen 1980, 100).

Kevin Korsyn has written extensively on the need to connect areas of influence study with analysis in order to bridge a split in musicology that divides ‘the synchronic analysis of internal structure from the diachronic narratives of history’ (Korsyn 1999, 55). He suggests that traditional analysis treats works as autonomous entities, ‘as if the piece were created outside time and then parachuted into history’ (Korsyn 1999, 55). The extension of this is that any study that takes historical context into account is precluded from looking inside a piece in an analytical way:

You are either “inside” the piece, securing its boundaries through “internal” analysis, or you are “outside”, mapping its position with respect to other closed units. You can alternate between internal and external perspectives, tilting like a see-saw, but you can’t occupy both positions at once [...] This is the impasse, the crisis of musical research. (Korsyn 1999, 55-56)

This kind of analysis is therefore prevented from taking into account aspects of the music derived from its context; as Peter McCallum writes in reference to recent Beethoven analyses: ‘one of the failures of analysis to date [is] its inability to deal with “third-order articulations”, such as musical gesture, stylistic reference, and parody, with any sophistication’ (McCallum 1990, 206). Intertextuality and influence study are both means of connecting several texts, thus creating a sense of diachronic or at least dialogic context, whilst maintaining the ability to delve synchronically into a work, thus breaking that impasse. The difference of approach between those two strategies, as we have seen, is the placement of the author as agent in that dialogic process. Korsyn makes a concerted effort to ‘capture Bloom for music’ in his 1991 article ‘Towards a New Poetics of Musical Influence’, in order to create ‘an intertextual theory in which music becomes its own subject matter’ (Korsyn



1991, 12), just like Bloom's anxiety of influence turns poetry into its own subject matter. His aim is to obviate the need to couch explanations of musical meaning in purely linguistic terms:

If musical expression is mediated through the compositions of one's precursors, we can find a way to locate musical meaning as arising from relationships among compositions, in a stance towards a precursor's piece. We can avoid the reductiveness of translating music into words by finding a new locus for musical meaning: an intertextual space. (Korsyn 1991, 43)

Another recent attempt to appropriate Bloom's theory of influence for musicology is Joseph N. Straus's 1990 book *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition*. Straus takes as his starting point Stravinsky's claim that he and the more overtly progressive composers of the early twentieth century, namely the Second Viennese School, had in common a revisionism of past traditions: 'the true business of the artist is to refit old ships. He can say again, in his way, only what has already been said' (quoted in Straus 1990, 2). Straus suggests that this period in musical history was particularly rife with a concern for musical heritage because public taste for the first time had moved away from contemporary music to that of a newly formed canon, founded upon Mozart, Haydn and Beethoven and extending through the nineteenth century. This meant that these works began to be a burden to new composers; Stravinsky writes: 'The artist feels his "heritage" as the grip of a very strong pincers' (quoted in Straus 1990, 5). Schoenberg seemed to feel this pressure from history as an uncomfortable obligation, writing of his compositional debt to the German tradition: 'I can do it no other way, and it does not work any other way. Only, I did not choose to write like that, I do not go out of my way to write like that, and it would be a relief to feel I might do it differently' (quoted in Straus 1990, 6). In choosing these quotations, Straus firmly sides with Bloom's dark view of the personal struggle with history and strong precursors, of a work of art as a 'psychic battlefield' (quoted in Straus 1990, 12), preferring to believe in Bloom's defeat of the precursor rather than Eliot's benevolent

surrender to his (Straus 1990, 14). Straus blurs the boundaries set out by Bloom between anxiety of influence and anxiety of style so that he can refer theories of influence directly to stylistic, and purely analytical matters: 'In theory the two types of anxiety are reasonably distinct – Bloom claims not to be concerned with anxiety of style – but in practice they are closely related' (Straus 1990, 18).

Straus substitutes Bloom's revisionary ratios, the six defence mechanisms against the power of the strong precursor, with eight techniques whereby composers of the early twentieth century adapted and incorporated earlier forms. The seemingly superficial nature of these eight techniques, such as the 'generalization' of a theme from an earlier work into a unordered pitch-class set in the later work, or the 'compression' of diachronic elements in the old work, such as two triads in a functional relationship to one another, into a single synchronic event in the new one (Straus 1990, 17), has invited scorn from critics such as Taruskin who claims that 'Bloom is simply irrelevant to Straus's methods and purposes' and that 'Straus co-opts the new theory of influence to retell very old tales' (Taruskin 1993, 126).

One other study that is worth mentioning here is Martha M. Hyde's 1996 article 'Neoclassic and Anachronistic Impulses in Twentieth Century Music', which develops four types of imitation through which composers integrate previous works or styles into their own voice, and which may prove useful in clarifying how Davies relates to his own influences.

1. **Reverential Imitation.** This 'follows the classical model with a nearly religious fidelity or fastidiousness' (Hyde 1996, 206).
2. **Eclectic Imitation.** This is to be found in pieces 'in which allusions, echoes, phrases, techniques, structures, and forms from an unspecified group of earlier composers and styles all jostle each other indifferently [...] Rather than a well organised museum, tradition becomes a warehouse whose contents can be rearranged and plundered without damage or responsibility' (Hyde 1996, 211). Hyde argues that this can give a



composer terrific freedom to ‘create a vocabulary of a new and higher power – a power that gains strength from rhetorical skill, rather than from a necessarily unified or integrated vision’ (Hyde 1996, 211).

3. **Heuristic Imitation.** ‘Heuristic imitation accentuates rather than conceals the link it forges with the past. It advertises its dependence on an earlier model, but in a way that forces us to recognise the disparity, the anachronism, of the connection being made. Heuristic imitation dramatizes musical history and relies on the datedness of musical styles for aesthetic effect. It provides composers a means to position themselves within a culture and a tradition. It opens a transitive dialogue with the past by which composers can take, and take responsibility for, their places in musical history’ (Hyde 1996, 214).
4. **Dialectical Imitation.** This is referring to ‘the dialogue of at least two voices or positions and involving their indirect or oblique comparison’. Thus it ‘responds directly to this lack of exchange or contest in heuristic imitation by initiating more aggressive dialogue between a piece and its model. It is often historically and culturally savvy, acknowledging anachronism but exposing in its model a defect or irresolution or naiveté’ (Hyde 1996, 222). This is the most Bloomian perspective, implying a struggle between the new and the old: ‘Dialectical imitation implicitly criticizes or challenges its authenticating model, but in so doing leaves itself open to the possibility of unfavourable comparison. Most importantly, this kind of critical exchange as a rule does not lead to a clear-cut final synthesis, for dialectical imitations create a contest that is neither free of ambiguity nor easily resolved’ (Hyde 1996, 222).

What Hyde achieves is to open out the discussion of integrating influences through Bloomian and non-Bloomian means and she places the composer at the heart of the process,

emphasizing his freedom to select influences and choose how to integrate them into his own artistic language. Again, I shall return to these paradigms in the Conclusion in order to determine how they correspond with the findings of my research into *Revelation and Fall*.

Leonard B. Meyer has also written very eloquently about the importance of this free choice in the selection of influences:

Possible sources of influence abound – in prior compositions, in the other arts, in cultural ideology, in political and social circumstances, and so on. Since any specific source of influence is only one among a large number of possibilities available to a composer, a particular work of art or a cultural belief is never more than a *potential* influence. To be an *actual* influence, it must be chosen by the composer.

(Meyer 1983, 529-530, original emphases)

What Meyer removes from Bloom's system is the idea of direct causality in relations of influence. Bloom claims that there is a gloomy inevitability in an artist's battle with his precursors, writing: 'No poet, I amend that to no strong poet, can choose his precursors, any more than a person can choose his father' (Bloom 2003, 12), but Meyer counters this when he writes: 'Influence allows for choice, causation does not' (Meyer 1983, 531).

Davies is a supreme example of a composer who allowed himself a completely free choice to discover and learn from a wide range of previous musical traditions. Throughout his career he has repeatedly written and spoken about the necessity that his music should be grounded in tradition and in detailed knowledge of the work of his predecessors. He writes of the composer's skill: 'His technique should come from exhaustive analysis of the music of not only the greatest composers, but as many of the others as he can manage' (quoted in Jones 2009, 24). He is also quick to point out that whilst such traditions can help an artist they need not overcome him. He said to Paul Griffiths in a 1985 interview: 'Of course there are all sorts of influences, but I regard them as having helped the growth process rather than been fundamental to it. Without such nutrition it would have died, but the thing itself was already growing' (quoted in Griffiths 1985b, 35). This question of being nourished by



musical tradition was central to his attitude towards the almost complete expunction of tradition in the works of the Darmstadt group of composers; as he explained in a recent interview with Nicholas Jones:

Being interested in William Byrd and John Dunstable, and Mozart, Haydn and Beethoven, gave me a huge advantage over these people [of the Darmstadt School] because they had severed all of their roots, apart from Webern. I thought: yes, wonderful, I can learn a great deal from this, but underneath there is no root going into the ground, and any plant that doesn't have a root, with a bit of fertiliser, can flourish for so many hours or days, but then that's the end of it [...] But I tried to make something constructive out of it – learn what I possibly could, particularly from Stockhausen – and Luigi Nono, and Bruno Maderna, and Luciano Berio became very good close friends. But I still had this attitude of: yes, learn what you can, but beware. (Quoted in Jones 2010, 15-16)

Whilst not dismissing this new music as worthless Davies realized that its importance was going to be short-lived because of its separation from the lessons of tradition. It is possible, however, that this very separation created a new attitude towards influence, even amongst composers who did not wholeheartedly subscribe to its ideology. By proving that music could be made with no reference to the Western canon, a line was drawn under all previous musical developments, enabling them to be viewed from the outside as a totality, rather than from within. This may have helped to free composers from the kind of tyranny of tradition that Brahms complained about to Clara Schumann: 'In everything... I try my hand at, I tread on the heels of my predecessors, whom I feel in my way'; and the terror of a gigantic presence like Beethoven: 'You have no idea how the likes of us feel to hear the tramp of a giant like that behind us' (quoted in Korsyn 1991, 15). After this break every influence became a choice, rather than a necessity.

Davies's statements suggest that in order to fully understand his works one must put them into the context of the historical traditions that nourished them. As a case study, before continuing the analysis of *Revelation and Fall*, I shall now turn to one of Davies's earlier

works, *St. Michael* (1957) and examine it in terms of how influence study can expand the boundaries of the kind of serial analysis to which Roberts submits the work.

### 1.5 St. Michael: Case Study in Influence Study

This work is cited in many commentaries on Davies because of the lengthy, detailed programme note that Davies wrote to accompany the work's first performance on 13 July 1959 in Cheltenham by members of the London Symphony Orchestra. This forms a veritable manifesto for the compositional technique of this young composer and is worth quoting in full.

*St. Michael* was written in Rome in 1957, and takes its name from the day of commencement of work upon it (Feast of the Consecration of the Church of St. Michael – whose figure surmounts the Castell S. Angelo, under the shadow of which it was composed).

The orchestration is inspired directly by Gabrieli, but much of the technique of composition has earlier sources – in isorhythmic techniques, hocket, in the treatment of plainchant, etc. Various sections of the Requiem are used as cantus firmus throughout, although these are so absorbed in the texture and general style that they are seldom audible as such, except the Dies Irae in the second movement, and the Sanctus in the third.

A basic shape (hardly a series) consciously underlies the design in large forms and in detail of the whole work, containing features common to and determined by the various plainchant fragments. This is reducible for the whole piece however to no more than a contour, and the intervals themselves change within this basic contour, so that there is no question of a 'note-row', but a basic contour whose features change slightly from movement to movement. These are nevertheless strictly controlled by a procedure in which the two pitches of each interval are expressed in a certain rhythmic proportion, variable within recognisable limits (this by extension governs the phrase-length also). The series operating in each section is transposed through certain intervals, giving limited cycles of transpositions, this interval being chosen with the desired length of the section in mind. As the series is always basically harmonic, the exact sequence of its notes is not fixed as in twelve-tone practice, but is determined by the rhythmic proportions of intervals in combination with harmonic, and melodic considerations of overall phrase length and contour.



There are five movements, with the briefest pause between them, the first being an introduction (*moderato*), in which the first choir (woodwind plus horn) expresses the basic ideas contrapuntally, with correct rhythmic proportions to each interval, and distinguishing each interval by a particular orchestration, while the second choir (brass) has the purely harmonic complement of the same. As the movement approaches its climax this division of function melts somewhat, but is affirmed again at the end. The second movement (*allegro*) is modelled on various vocal contrapuntal techniques – canon, fugue, madrigal, verse anthem, etc. The opening five-part mensural canon distinguishes its intervals by rhythmic proportion and orchestration as before, but these are later modified as the 'montage' of the choirs becomes more dramatic.

The third movement (*lento molto*) expresses the intervallic proportions in very long note values, and describes an arc form, from a high register (*pp*) to a middle (*mf*), and returning to the original register (*pp*).

The fourth movement (*allegro*) is scored for Choir I only, and is strictly isorhythmic throughout, having three sections, in 3/4, 5/8 and 2/4 respectively, exploiting sonata, rondo and variation forms – the one experiment the composer has made in applying specifically tonal forms to pantonal music in a way which retains vestiges of the originals. This was considered justifiable in view of the often tonal suggestion in material worked from plainchant, although to analyse the music as if it were tonally functional would be unhelpful, and one could go no further than point out certain recurring pivotal chords which set up hierarchies of relationships around themselves, but which are not triads. The speed and tension of the movement increases by stages, reaching maximum intensity only across the pause, at the opening of the fifth movement, when Choir II enters.

This (*adagio*) exploits the harmonic sonorities of the series particularly, with reminiscences of sixteenth century echo-madrigal procedure. As the movement progresses melodic fragments emerge from the texture, including fast trumpet figurations, which bring the music to a climax, after which the series is 'disintegrated' into its component parts (Choir II) before the work ends with a violent canonical *accelerando* from Choir II. (Quoted in Roberts 1985, Vol. I, 235-236)

This programme note proves how significant historical musical techniques were on Davies's creation of a personal compositional technique. Predictably, Roberts is uncomfortable with these historical allusions – despite being made by the composer – and carefully justifies his avoidance of all these suggested influences in his analysis:

In short, what we encounter here is a broad range of references, of which some assert connexions with established cultural values, while others point to areas that lie on the periphery of the cultural system of the prospective audience [...] Thus the programme note reassures by reinforcing the familiar, having at the same time all the allusive power of the distant, the dimly seen, or the exotic. What he writes is like a burr, so covered in tiny hooks that it is all but impossible to brush past it without one or another catching in one's clothing. Unless one is predisposed to resist, it is difficult to read this text without encountering some reference that appeals to the imagination or at least suggests comparisons with other – ostensibly very different – kinds of music, and which therefore bring to bear on the context at hand a network of resonances that enrich the conception – and hence the experience – of the work. (Roberts 1985, Vol. I, 238-239)

Roberts, obviously 'predisposed to resist', clearly does not believe that these references enrich the conception or experience of the music since they are all conspicuously absent from his own analysis. His response to the note does sum up the general objection to influence study – that it contains little more than tempting allusions that seem to illuminate a work whilst actually obscuring the true facts. My thesis is based upon the idea that influence study can actually reveal many facets of a work that analysis of a work as an autonomous entity cannot.

In his chapter on this work Roberts concentrates mainly upon the second and fourth movements because they contain the strictest and most complex serial processes (Roberts has to admit that some of his serial models devised for the first, third and fifth movements are at best 'tolerably adequate' and in some instances fail entirely (Roberts 1985, Vol. I, 225)), and it is on these movements that I shall also concentrate since the programme note attributes the greatest concentration of historical influences upon them. As in the rest of his thesis, Roberts's discussion of these movements focuses entirely upon the generation and organization of musical material through strict serial techniques. I shall attempt to demonstrate how much the consideration of historical influences can add to the understanding of these movements when taken alongside Roberts's serial approach.



## Fourth Movement

Roberts explains that the set material for this movement is probably derived from the Agnus Dei of a plainchant mass in the *Liber usualis* (of which Davies had direct experience in Rome, whilst studying with Goffredo Petrassi in the late 1950s). From this Davies derives a nine-element set (+A) and also a six-element set (-A), which is a first-only sieve of +A (see Ex. 1.22). Davies creates a great deal of material from this set by constructing higher combinatorial serial levels according to the following algorithm:

${}^2A_t = A_t + A_{t+6}$ : i.e. a second-level set is a collection of the following pairs –  ${}^2A_0 = A_0 + A_6$ ,

$${}^2A_1 = A_1 + A_7 \text{ etc.}$$

${}^2AI_t = AI_t + AI_{t+6}$ : the same is applied to all inversions.

${}^3A_t = {}^2A_t + {}^2AI_t$ : a third-level set is a collection of the corresponding pairs belonging to both

second-level sets; i.e.  ${}^3A_0 = [A_0 + A_6] + [AI_0 + AI_6]$  etc. (see Ex. 1.23).

${}^4A_0 = {}^3A_0 + {}^3A_1 + {}^3A_2 + {}^3A_3 + {}^3A_4 + {}^3A_5$ . This transposition cycle with a transpositional constant of

1 is limited to six elements because the second six elements are identical to the first six on account of the t+6 function applied at the second level (Roberts 1985, Vol. I, 200).

These combinatorial higher sets can be formed from either the nine- or six-element versions of set A. All the pitch classes that appear in this movement are found to belong to complete or partial appearances of these combinatorial higher-level sets, with some combinations of sets exploiting the number of shared pitch classes to create dyads and triads.

Roberts does not refer to isorhythm in his explanation of durational values in this movement, but ascribes it to pitch-class-into-duration mapping, whereby Davies allots each pitch class a duration, which is applied whenever that pitch appears. This scheme is employed throughout this movement with only a few small exceptions. Davies's frequent references to isorhythm in this work and others (including *Revelation and Fall*) suggests that this technique

should be examined and may hint at the provenance of this rhythmic technique. Isorhythm is a technical device dating back to the early fourteenth century based upon the repetition of identical rhythmic patterns called *taleae* (cuttings). The main tenor melody of a motet will consist of a number of repetitions of a melodic phrase, a *color*, set to several statements of the *talea*. Variety in isorhythmic structure was often achieved by repeating the *color* in diminution, either varied or exact, giving a sense of acceleration. Philippe de Vitry is often credited with, if not the invention of the technique, which was more a refinement of previous practice than a new discovery, then at least being the first composer to make extensive use of the technique with methods that were unsurpassed by later medieval composers (Hoppin 1978, 366). Generally de Vitry constructs his tenor lines from easily divided repeats of *colors* and *taleae*, so that two *colors* will be sung over eight *taleae* ( $2C=8T$ ) or three *colors* over nine *taleae* ( $3C=9T$ ). There is only one example in his music of there being a single tenor melody that takes several *taleae* to complete and another single example of a technique that became common in later works, such as the motets of Machaut, whereby the end of a *color* does not coincide with the end of a *talea*, giving formulae such as  $2C=3T$  or  $3C=4T$  (Hoppin 1978a, 366), which could achieve striking variations in melodic shape without deviating from strict isorhythm. Vitry also experimented with applying isorhythm to the upper voices in addition to the tenor, a technique developed by later composers, achieving great complexity in the relationships between the tenor and contratenor parts which carried the main melody and the duplum and triplum that decorate it (Hoppin 1978a, 367). Richard H. Hoppin suggests that this kind of composition became extremely prestigious: 'It was the isorhythmic motet, however, that became the most intricate and most highly organized musical form ever created by medieval composers' (Hoppin 1978a, 367).

Davies takes the idea of complete saturation of a work according to a rhythmic scheme and adapts it to his own ends. In this movement Davies applies a strict rhythmic



pattern, or *talea*, not to his set material but to abstract pitches (Ex. 1.24), meaning that different transpositions of the set material will have different rhythms, even though they are all controlled by the same isorhythmic pattern. For Roberts this distinction undermines the relevance of isorhythm as a compositional model and he would dismiss it as he did in his comment on Davies's Trumpet Sonata, quoted above. Admittedly, Roberts's model is compact and accurate, and explanation of isorhythmic techniques in this case adds no further information on an analytical level, but it does indicate how as a young composer Davies enriched his serial language by adapting historical compositional techniques, and it is the idea of isorhythmic control that is carried over to many other works, as in instrumental interlude in *Revelation and Fall* (bars 96-177), rather than an exact manifestation of the technique of pitch-class-into-duration mapping. Davies's consistent use of the term isorhythm in his comments and programme notes on works such as *Seven In Nomine*, the Second Taverner Fantasia and the opera *Taverner*, suggest that it was this medieval technique that formed the basis of his rhythmic thinking, and the means whereby he imposed rhythmic coherence upon his music, rather than the relation of a rhythmic system to the properties of a tone row, with which the proponents of integral serialism, such as Boulez and Nono, were experimenting.

The references to sonata form, rondo and variation form that Davies makes in his programme note are very interesting here, since all three can be seen to play a part in *Revelation and Fall*, yet Roberts makes no mention of them in his analysis. This fourth movement, which makes use of only the first choir of instruments, consists of three sections, defined by tempo changes, each of which treats the combinatorial sets explained above in different ways. The first section (bars 1-40) contains complete statements of  ${}^3A_{0-5,0-2}$ . The instruments are divided into two subchoirs, each containing one flute, oboe, clarinet and bassoon, with the horn belonging to neither. The component four elements of each third order set ( ${}^3A_i$ ) are divided between these two subchoirs with the horn contributing elements to both

(see Ex. 1.25). The notes are scattered around the instruments of each subchoir in a manner reminiscent of the medieval technique of *hocket*, whereby a line is fragmented between different voices with each falling silent whilst another plays or sings. Throughout this first section Davies helpfully indicates the sets with dotted lines between the parts connecting the elements.

The second section continues the sets where the first part left off, completing the statement of  ${}^3A_2$  that was begun in the final bars of the first section, then continuing with full statements of  ${}^3A_3$ ,  ${}^3A_4$ , and  ${}^3A_5$ , before starting the process for the third time with appearances of  ${}^3A_0$ ,  ${}^3A_1$ , and  ${}^3A_2$  but this section treats this set material very differently. There are two layers, which Roberts calls ‘melodic’ and ‘accompanying’ (Roberts 1985, Vol. I, 206). In the first layer the elements of the third-order sets are scattered between different parts as in the first section, but the order of the elements are swapped around according to a strict pattern that Roberts calls the *lozenge permutation* (Roberts 1985, Vol. I, 206-7), whereby the last element of one of the constituent first-order sets is swapped with the first element of the other, then the penultimate element of one swapped with the second element of the other and this continues throughout the set until the order of all the elements is reversed. The accompanying layer mostly consists of a sequence of dyads constructed from pairs of pitches from the first layer, but reordered (Roberts 1985, Vol. I, 208). The first five bars of the section show this process very clearly (see Ex. 1.26). The same pitch-class-into-duration mapping, or *talea*, is also applied to this section only in the melodic layer.

The third section does not continue the sequence of third-order sets from the previous section but contains one complete statement of  ${}^4A_0$  ( ${}^3A_{0-5}$ ). This section continues the double-layered texture, with the accompanying line consisting of a dyad formed from the first elements of the degrees of  ${}^2A_t$  and  ${}^2A_{t+6}$  in each subsequent statement of  ${}^3A_t$  (Roberts 1985, Vol. I, 209) with the melodic layer still controlled by the same isorhythm. It is interesting that



in the statements of  ${}^3A_1$  and  ${}^3A_3$  (bars 100-103 and 110-114) the elements of the melodic layer are arranged into a sequence of dyads, in a similar way to the accompanimental layer in the second section, as if Davies is summing up previous treatments of the material.

Nowhere in his analysis does Roberts attempt to link these sections in an overall structure for the movement, perhaps as a conscious effort to avoid the use of Davies's references to sonata, rondo and variation form in his programme note. We must now consider what these references can add to Roberts's analysis. What is most striking in the first section is the repeat appearance of  ${}^3A_{0-2}$  before the second section begins. Davies could easily have rearranged the four component sets of  ${}^3A_0$  in order to disguise this repeat, but he emphasizes it with a clear reappearance of set  $A_0$ , which began the movement (this time in its six-note form), repeating the characteristic opening motive (Ex. 1.27) down two octaves. The return of this material is also emphasized by Davies dropping the dynamic down to a *subito pianissimo* after the previous *fortissimo*. The appearance of  ${}^3A_0$  within the second section (bars 64-71) does not have the same reminiscent features because, being in the middle of the lozenge permutation, a great deal of elements are rearranged, however the reappearance of  ${}^3A_0$  in the third section (bars 91-99) is again made clear by the appearance of the original form of  $A_0$ , in a lyrical oboe solo, in the same nine-element form that began the movement, and with that opening motive at its original pitch. Another musical change emphasizes this return to previous material – this time a sudden increase in tempo. A clear rondo form can be seen with  $A_0$  as the repeating rondo theme.

The ternary arrangement of the third-order sets in the first section suggests that Davies is treating  ${}^3A_{0-2}$  and  ${}^3A_{3-5}$  as two distinct groups of material. Taking Davies's reference to sonata form, one could call these the first and second subjects. The expositional first section introduces both subjects and repeats the first subject as a transition into the development; indeed, the end of this repeated transitional material introduces the manner of

development (splitting into two layers with the lozenge permutation in the first layer and the formation of accompanimental dyads in the second). This development section deals with the second subject before the first, at which point the recapitulation begins with the clear reappearance of the first subject in its original form in the third section. This recapitulation both returns the developed material to its original state with a concentration of the texture from the first section, as well as fusing elements of the 'harmonic' layer of the development section with the 'melodic' style of the exposition. Davies's reference to variation form is quite self-evident, in that the whole movement can be seen as a sequence of developing variations on the four component parts of the third-order sets that appear in successive transpositions.

I believe that reference to these historical forms does more than entice an audience; it allows the analyst to add different layers to the arrangement of material. As shown in Fig. 1.2 in Appendix 2 Davies superimposes different formal strategies, but his clear identification of these strategies in his programme note suggests that they are intended to be useful not only to him as a composer but to the audience. Few, if any, listeners could identify the serial stratum but allied to the changes in dynamic and tempo the rondo form can be heard, as can the general progress of the sonata form structure through the changes in tempo and texture. These details are of great significance to the experience of the work, particularly with the importance of the return to previously heard music as a structural signpost. Importantly for the rest of the thesis, this is an early example of Davies's tendency to adapt and combine different structural models, something that will be examined at length in the next chapter's investigation into the models that inform the structure of *Revelation and Fall*.



## Second Movement

The source of the pitch-class material for the second movement is a phrase from the ‘Dies irae, dies illa’ section of the Requiem Mass. Again a nine-element set (+D) is created, and another six-element set (-D) created from this through a first-only sieve. An algorithm similar to that used in the fourth movement is used to generate higher level sets:

$${}^2D_t = D_t + D_{t+6}R$$

$${}^3D_0 = {}^2D_0 + {}^2D_1 + {}^2D_2 + {}^2D_3 + {}^2D_4 + {}^2D_5$$

Roberts renames  $+/-D_t = +/-X_t$  and  $+/-D_{t+6}R = +/-Y_t$

Davies uses a different kind of rhythmic structure in order to establish a level of controlled isorhythm throughout the movement. Rather than allotting a durational value to each pitch class, Davies connects the interval between successive pitch classes with a rhythmic proportion, a device that Roberts calls ‘interval-class-into-duration’ mapping, thus sic1=1:1, sic2=1:2, sic3=2:3, sic4=1:3 (sic=scalar interval class, a measurement of the interval between one element and the next, which does not take into account the direction of movement – note there are no scalar intervals greater than 4 in the pitch class material for this movement). In other words, a note a minor third (sic3) above or below the previous note (ignoring their octave registers) will have a duration  $\frac{2}{3}$  or  $1\frac{1}{2}$  of the duration of the previous note – if the first note is a crotchet the subsequent note can either have the value of a dotted crotchet or two triplet quavers. This system can produce extremely complex and varied results: Roberts calculates that ‘for a succession of  $n$  notes, there are  $2^n$  potential realisations’ (Roberts 1985, Vol. I, 212). Davies is very free in his applications of such schemes, and allows himself to ‘modify durations by small amounts or depart from the system temporarily’ (Roberts 1985, Vol. I, 212), meaning that this movement is less completely isorhythmic than the fourth. Roberts’s analysis of the movement consists of a lengthy figure that maps out the distribution of  $D_t$  and  $D_{t+6}R$  sets throughout the movement, demonstrating how two subchoirs

in each choir of instruments and the autonomous horn, which belongs to neither choir, layer up blocks of material (Roberts 1985, Vol. I, 214-220). He makes no mention of the contrapuntal texture of the music or how the different layers interact or are connected with each other. This map is an invaluable tool in identifying the source of most pitch classes in the movement, but one feels that it ignores the true identity of the music. In the programme note Davies suggests that this movement contains the greatest number influences from traditional contrapuntal techniques and forms – canon, fugue, madrigal, verse anthem – and that the opening is in five-part mensural canon. Since it is a technique used frequently in *Revelation and Fall* I shall focus upon the mensural canon, and whether this can reveal more about this musical identity.

Fig. 1.3 shows how the set material is distributed in the opening section (the movement being divided into seven sections indicated by double bars). Incidentally, I find myself quite at odds with Roberts in identifying four sets in this section. The rhythmic ratios that Davies uses in this movement do not mean that every appearance of a prime or inverted set will have the same durational properties, and all retrogrades the reverse of this – reversing the ratios between successive elements gives extremely different properties. However, in the first section Davies does follow this pattern in order to create the mensural canon that his programme note describes. Ex. 1.28 shows a reduction of the five ‘voices’ in this movement to their rhythmic patterns in order to show this mensural canon more clearly. The first subchoir of the first choir (1-1) is paired with the first subchoir of the second choir (2-1), as are 1-2 and 2-2, and with each pair dealing with the same ordering of sets Davies gives each pair near-identical rhythms. A canon is created between subchoirs 1-1 and 2-1, both containing rhythm A, but with subchoir 2-1 beginning  $1\frac{1}{2}$  crotchet beats after 1-1, and through the contraction of some rests ending  $1\frac{1}{2}$  beats earlier. Similarly, subchoir 1-2 begins rhythm B  $3\frac{3}{4}$  beats after 2-2 and completes it  $2\frac{1}{4}$  beats earlier. Both rhythms A and B are



palindromic turning around the point at which the music takes on the second set, apart from in 2-2 where the centre point of the palindrome is after the first note of the second set (the centre points are marked with a tramline dash in Ex. 1.28). This canon not only exists within each pair of subchoirs, but between the pairs. Davies begins (and ends) both rhythms with a very recognizable motive of three notes of equal value – A begins with three crotchets and B with three dotted crotchets, which clearly draw attention to each canonic entry and also sets up the mensural canon between the two pairs with a ratio of 2:3. The canon between subchoirs is by no means as exact as between the principle and secondary voices in the instrumental interlude of *Revelation and Fall* but the contrast of crotchet against dotted crotchet as the base beat gives the effect of mensural canon throughout.

Davies adds a further level of complexity in the horn part, which acts as something of a free radical throughout the work. Its statement of  $-Y_4R$  is also set to a roughly palindromic rhythm, this time with a basic beat of a triplet crotchet, thus setting up a further mensural canon with a ratio of 12:8:9 between (1-1,2-1):(1-2,2-2):(horn). It then introduces another, more complex rhythm (D) and then roughly diminishes it by a third as it deals with the palindromic partial set  $-X_4R$ :elements 1-4,4-1. Another rhythmic unit (E) is introduced by 2-1 as it finishes rhythm A; this then is used to conclude the horn part in diminution of  $\frac{1}{4}$ . Subchoirs 1-1 and 2-1 then deal canonically with material introduced by the horn. Subchoir 1-1 attaches rhythm C to  $-X_4$ , now diminished by  $\frac{1}{2}$ , and 2-1 conflates a diminution of rhythm D by  $\frac{1}{2}$  and a retrograded diminution by  $\frac{1}{2}$  of rhythm E in its treatment of  $-Y_4$ . Thus Davies creates miniature mensural canons of the smaller rhythmic patterns (C, D and E) as they are thrown around the texture in varying diminutions. A comparison of Fig. 1.3 and Ex. 1.28 shows the complexity of the canons that Davies wrings out this material. Roberts's interval-class-into-duration ratios do not begin to explain what Davies is doing here.

The medieval precursors of these techniques are fascinating to explore. Davies's rhythmic ratios are similar to those achieved in medieval notational practice, in which a breve could be split into two or three semibreves (*tempus imperfectum* or *tempus perfectum*), then a semibreve into two or three minims (*prolatio minor/imperfecta* or *prolatio maior/perfecta*). Medieval composers exploited these different long-note values to set up canonic interplay between parts that began at the same time. Ex. 1.29 reproduces the opening of an anonymous instrumental piece, *Passerose de biaulté*, in which a canon is established between the lower two parts by applying the two different divisions of a semibreve in the opening bars (Reese 1954, 20). As was usually the case at this time, shorter note values are unaffected. The use of palindromic and retrograde melodies and rhythms was also common in medieval music and was called '*cancrizans*', or 'crab canon'. An excellent example of this technique is Machaut's *rondeau* '*Ma fin est mon commencement*' (Ex. 1.30). One can clearly see that the top instrumental part is a complete retrograde of the tenor part, whilst the contratenor part is palindromic around the double bar line (Reese 1940, 351). Gustave Reese's description of isorhythm could easily be applied to many of Davies's structural devices: 'It is interesting to observe that we have here a second form which, like *cancrizans* writing, produces a unifying effect without its being possible for the listener to know at a first hearing how that effect results' (Reese 1940, 339). It is very possible that what attracted Davies to these historical devices was the ability to exert control over his musical language at the very deepest level through devices that are sometimes clear to the listener, such as obvious canonic entries, or are deeply buried, such as isorhythmic schemes.

Referring back to Hyde's models one can see that although Davies never engages with 'reverential imitation', the kind of note-for-note reliance on a previous model that Roberts insists on for an influence to be valid, 'eclectic imitation' neatly encapsulates Davies's adoption of a range of historical techniques 'without damage or responsibility' in



order to create that ‘vocabulary of a new and higher power’ that is enriched by and yet independent of the traditions from which it borrows. One must then question how the inclusion of these influences affects the validity of the analysis. To return to Korsyn’s dichotomy, once one opens the analytic boundaries applied to a work like *St. Michael* to include reference to models taken from musical tradition, does it mean that one must necessarily step back from musical analysis at the deepest level? It seems that quite the opposite is true. Just as Davies borrowed techniques from previous musical traditions to enrich his personal musical language in this work, so the references to these models by the analyst unlocks aspects of the work that would remain hidden if the work were to be taken synchronically out of historical context as Roberts does and positively expand the analysis of the work. The following chapters will take different aspects of *Revelation and Fall* and analyze them through filters of the models that influenced and informed them, in order to ascertain how the serial analysis that opened this chapter can be enriched.

## CHAPTER TWO – FORM

### 2.1 Long-Term Structures: Davies's Adaptation of Sonata Form

As shown in Chapter One Roberts's analyses tend to separate works into discrete units that are governed by a single compositional device, be it a transpositional group or transformation process, but do not attempt to relate these units into a long-term structure. This deprives *Revelation and Fall* of one of its most important features. Paul Griffiths states that *Revelation and Fall* is remarkable for its long-term planning, suggesting that it is as 'securely structured as a piece of thoroughly developing chamber music, being in this respect even more traditional than such a work as the String Quartet' (Griffiths 1982, 63). Indeed, this work is an important milestone in the development of Davies's interest in sonata form as an organizing principle, which was in evidence even in the first work given an opus number, the Trumpet Sonata of 1955. The first and third movements of this short work certainly have a sonata-*Allegro*-like shape with presentation of contrasting themes and their transformational development before their restatement, but at around two minutes each, these movements display only a flirtation with the form, rather than an exploration of it. I have already shown in the previous chapter that *St. Michael* displayed features of sonata form although rather hidden by being combined with other schemes. The First Fantasia on an In Nomine of John Taverner (1962) displays a more thorough adaptation, consisting of repeated exposition, development, recapitulation and coda, with these structural units being defined by recitative-like sections based on the *Gloria Tibi Trinitas* plainchant.

It was in his Second Taverner Fantasia of 1964 that the composer adopted the form more thoroughly. Davies wrote in a programme note that one reason for writing the work was the desire to further develop musical ideas from his opera *Taverner*: 'I had felt that many ideas were capable of a more symphonic development than was possible within the confines



of a dramatic context' (quoted in Griffiths 1982, 141). Davies suggests, in the programme note that he wrote for this work, that the first six sections of the work 'make roughly a sonata-form movement, with an introduction and coda' (quoted in Griffiths 1982, 142), although he adds a caveat when suggesting that the third part of the work should be considered the 'development section': 'if one can speak of a "development" as such in a work where the basic premise is that the material is always in a state of transformation' (quoted in Griffiths 1982, 142). Davies clearly marks out the separate elements that make up this form, presenting his first-subject material simply in a slow introduction for string quartet and the ensuing manipulation of this first-subject group ends with a strident brass fanfare. The second-subject group is introduced with clear timpani beats and the end of the exposition is marked by a brief restatement of those timpani beats and the unison violin figure that opens the second section, upon which the second-subject group is based. As Davies warns, the impact of the development section (bars 219-447) is perhaps lessened by the developmental nature of the whole piece; nevertheless, it is in this section that Davies experiments with many of the techniques that were to become defining characteristics of *Revelation and Fall*. Davies writes: 'This section explores particularly techniques of isorhythm and mensural canon, and the superimposition of elaborate musical structures on a cantus firmus' (quoted in Griffiths 1992, 142). Sections 4 to 6 of the work are what Davies calls a 'recapitulation by inversion' (quoted in Griffiths 1982, 143), beginning at bar 447 with a clear restatement of the timpani strokes and unison violin motive that began the second section, before reworking the brass fanfare from the first section (bars 505ff) and finally massively expanding the string quartet introduction. He concludes this first movement of the work in bars 546-558 with three chords that 'crystallize the harmonies of the music so far into three essential chords' (quoted in Griffiths 1982, 143), giving the sonata form a sense of closure. Whereas in this work Davies restricts the sonata form principles to the first movement, to be followed continuously

by a Scherzo and Trio and final slow movement, in *Revelation and Fall* he blurs the boundaries of first-movement sonata form with a sense of multi-movement structure throughout the whole work.

Let us begin an examination of this aspect of *Revelation and Fall* with a simple placement of the sections defined in Chapter One into a similar long-term structural scheme before considering what can be learnt from studying possible influences. Davies defines the first section of the work (bars 1-71) very clearly through the use of two themes. Bars 1-48 introduce theme A and develop it through the transformations  $[A_0 \rightarrow AI_0]$  and  $[A_6 \rightarrow AI_6]$ . At bar 49 the second theme (B) is introduced and immediately made to interact developmentally with the first theme in the transformation  $[B_0 \rightarrow AI_0]$ . Davies takes pains to introduce recapitulatory elements at the end of the section bars 49-71. As indicated in Chapter One the confluence of the previous transformation with  $[BI_0 \rightarrow B_0]:1-6-1$  in the first violin in this section leads to a clear rendition of the sets  $B_0$  and  $AI_0$ , to be followed closely by  $A_6$  and  $A_0R$  in the voice part, thus bringing back all the forms of the two themes that have been central to the transformations so far in close to their original forms. The voice's  $A_0R$  using not only the same pitch classes, but the same precise pitches as the trumpet's introduction of theme A in bar 1 sets up a smart little palindrome that closes the first structural unit of the work very neatly. Such is the closure that this provides that one could easily call the first seventy-one bars of this piece its 'first movement', one that shows certain signs of sonata form itself – the exposition of two themes, the developmental interaction between these themes and a clear recapitulation of the basic forms of the themes. Alternatively this section can be seen as a first-subject group, especially because of the close relation of these two themes. Both themes A and B are derived from aspects of Taverner's *Missa Gloria Tibi Trinitas*: Peter Owens has demonstrated how theme A is derived from a first-only sieving of the *Gloria Tibi Trinitas* plainsong (Owens 1994, 179) as shown in Ex. 2.1, whilst theme B is formed from a first-only



sieved variant of the opening theme of the Second Taverner Fantasia (see Ex. 2.2), which in turn is derived from the treble part of the Benedictus of this mass, the famous In Nomine theme that inspired many later compositions.

The short chorale section that follows introduces a theme (C) (Ex. 2.3) derived from the fifth of Davies's *Seven In Nomine*. The sudden contrast of mood here certainly suggests a typical slow second movement of four-movement form, but this theme, which becomes crucial to the work's structure, acts as a second subject, bearing the lyrical, feminine characteristics of the second subjects of Romantic symphonies (Schoenberg blames Schubert for the misconception that all second subjects should be lyrical in nature (Schoenberg 1967, 184)). A brief transition based on theme A serves to unsettle the tranquillity of the chorale section before the next important section begins at bar 96.

The instrumental interlude in bars 96-177 could be called the Scherzo of a four-movement work; it is a nimble, riotous *Allegro*, the first of two long instrumental passages in the work. The complex processes based upon two transformations that were examined in detail in the first chapter are woven around long cantus firmus lines that recall the atmosphere of theme C without being strictly derived from it. This extended use of cantus firmus and canonic writing recalls the textures of what Davies calls the development section of the Second Taverner Fantasia, indicating that he may have considered this passage to have a similar function. Following this, Davies deploys the rule that 'one new theme is allowed in the development section' (Rosen 1988, 2) and between bars 178-244 he allows his fourth theme (D) to emerge, at first in embryonic form in the harp part in bars 178-214, before taking shape in the strident piccolo cantus firmus beginning at bar 216 (Ex. 2.4).

With all his main themes now established Davies allows himself freer rein to develop them in different ways, firstly with the single example of transpositional groupings of themes in bars 230-243. After that extended single bar (bar 244) that lasts over two minutes in

performance, then begins the most concerted development section in which all the themes interact for the first time. At first the chorale theme C is isolated from the other themes, being developed in a parallel chorale section in bars 272-277, which superimposes upon the original theme its inversion, retrograde and retrograde inversion, but then a sentimental duet for amplified violins based upon this theme is brought into conflict with these other transformations. The pervasive presence of theme D in the section bars 178-331 (the majority of transformations move towards or away from this theme to either theme A or B) unifies this portion of the work, suggesting it to be a fourth movement in a multi-movement scheme with the remaining part of the work comprising the coda, which revisits all previous material.

Of course, the alternative identity of this final section (bars 332-374) after such an inventively developmental passage, is as the recapitulation within single-movement sonata form, and again Davies creates a 'recapitulation by inversion', bringing the themes back in reverse order. In the second long instrumental interlude of the piece (bars 332-370) Davies returns theme D to its embryonic form in a repeat of the harp part from bars 178-215 and he works out the harmonic implications of theme C, with its strong suggestion of A minor, finally reaching an A major triad at bar 370. There is a very interesting inclusion here of the incipit of the *Gloria Tibi Trinitas* plainsong played in a long cantus firmus line by the trombone in bars 348-370. It was noted above that the material for this work is largely derived from this plainsong or the Taverner mass that was based upon it, so Davies is perhaps regressing his themes into an embryonic form as a means of dismissing them in this recapitulation by inversion. Davies does not follow the classical procedure of clearly stating all themes in their original forms in this recapitulation; instead he uses it to diffuse each theme in some way – submerging D back into the swirling harp passage, resolving C into the final *tierce de Picardie* cadence that it seeks, and allowing A and B to drift into the ether on tuned percussion. This subverted ending became a common feature of Davies's music from



this time. In the Second Taverner Fantasia the penultimate section, which is an enormous expansion of the string quartet that opens the work, fades to nothing and a short, quirky woodwind passage, played as quietly as possible, seems to undermine the scale of the work, ironically dismissing the material.

## 2.2 The Sonata-Fantasia and Liszt's Piano Sonata in B Minor as Precursors

Although Liszt's Piano Sonata in B Minor (1853) and Davies's *Revelation and Fall* belong to very different genres, eras and musical styles, they nevertheless have some important features in common. They are of very similar scale, lasting around half an hour, both derive their musical material from the extreme transformations and interactions of a handful of themes, and both are structured according to an over-arching sonata form that binds together several movements played without a break. I shall not attempt to give an exhaustive account of Liszt's formal design, merely to highlight features of Liszt's manipulation of formal units that might lead to a greater understanding of Davies's own adaptation of the forms.

Liszt adapted the combination of the free thematic development of a fantasia with the formal rigour of a sonata, found in works such as Beethoven's two sonatas "*quasi una fantasia*" Op.27/1 and 2 (1801) and Schubert's *Wanderer-Fantasie* (1822). This combination allowed composers to expand the scale of the fantasia form, opening up the potential for much greater experimentation in thematic transformation, whilst preventing the work from descending into indulgent formlessness that would be unsupportable over the larger scale of these Romantic works. Although the main compositional thrust of Liszt's sonata is most certainly the innovative transformations and interactions of its five themes (the first three especially), Liszt expertly shapes these inventions within three or four continuous movements so that they fall into a single-movement sonata form plan.

Almost every analysis of Liszt's work differs in the placement of the formal units: Rey Longyear finds three movements and a coda (Longyear 1973, 163), whilst William S. Newman suggests four movements and a coda (Newman 1972, 375); Longyear begins the development section at bar 179, Derek Watson at bar 205 (Watson 2000, 240) and Newman at bar 331; Longyear has the recapitulation starting at bar 460, Newman at bar 525 and Watson at bar 531. One can easily justify any of the above interpretations from a study of the score; the only unequivocal definitions are the slow movement, which encompasses bars 331-459, introducing the fifth and final theme, and the start of the fugato section at bar 450, although whether this is a Scherzo third movement of four or the Finale of three movements is debatable. The ambiguity of these formal units is, I feel, important. I am sure that other analyses of *Revelation and Fall* would suggest different divisions from those I have given, in contrast to the definitively provable serial analysis in Chapter One, but this lack of consensus neither weakens the importance of the formal elements, nor undermines Liszt's or Davies's skill in using them. These forms are not designed to provide easy reference points or clear distinctions; they are intended to engage the listener's associations of well-known forms in order to orientate them within lengthy and complex musical development as well as being a means by which the composer can control large-scale musical development.

There are other parallels between the two works that deserve noting. As in Davies's exposition section, Liszt's first movement also has a sense of closed sonata form. Two subject groups are clearly stated amid complex thematic development and just like Davies's recapitulatory gestures before the first chorale section, Liszt restates all his themes in almost their original form before moving into a very different stylistic area in the slow movement. The slow movements of both works have strikingly similar functions. Each introduces a new theme (as the second subject in Davies's exposition, or the one permissible new theme in Liszt's development) that plays a very different role from the other themes. In both works this



theme is not involved with the same kind of development or interaction with other themes, remaining relatively intact throughout the piece. Both sections have a sense of quasi-religious tranquillity but whereas Liszt's retains its purity throughout and seems to triumph over the turmoil caused by the other themes in the three mystical chords that conclude the work, Davies corrupts his theme by piling up transformations of it in the second chorale section and in the saccharine duet for amplified violins that follows that section, which subverts the meaning, if not the musical shape of the theme. Liszt's coda, which he substituted for his original *fortissimo* conclusion, dismisses the first three themes in reverse order, diffusing the music in a very similar way to Davies's inverted recapitulations in both *Revelation and Fall* and the Second Taverner Fantasia, but again without irony. All of Liszt's themes are open-ended and unresolved throughout the body of the work, indeed it is this characteristic (so beloved of Wagner) that gives the music its internal momentum and direction, but in this coda he allows each to come to rest and fade into nothingness. Davies also allows his music to drift gradually away, but he maintains the tension beyond the end of the work by implying that the loops of derivatives of themes A and B in the glockenspiels and handbells could rotate forever, always in conflict.

The principal influence of Liszt's structural experiments is suggested by Carl Dahlhaus, who writes that Liszt 'relativized' formal categories such as exposition, development, recapitulation, sonata *Allegro*, slow movement, Scherzo and Finale, challenging the relationships between them and demanding that they be reinterpreted and developed, just like musical themes, according to ever-changing contexts and combinations (Dahlhaus 1989, 239). Davies's first chorale section plays into the expectation of a contrasting second subject and a lyrical second movement and manages to be both at once. The concepts of exposition and development are blurred throughout the work in the continual development that Davies warned analysts about in his Second Taverner Fantasia and perhaps

most noticeably the expected satisfaction of recapitulation is piqued by the return of the chorale theme in bars 272-277 and the almost exact repeat of bars 178-215 (containing the embryonic transformation of theme D in the harp) in bars 332-370, before he subverts it with the tuned percussion figures that never allow themes A and B to resolve. Like Liszt, Davies reinterprets these traditional concepts of form, manipulating and subverting them as he uses them to help him control his material.

### 2.3 Formal Experimentation and Ambiguity in Sibelius's Seventh Symphony

A later work that took Liszt's formal experimentation to new lengths was Sibelius's Seventh Symphony (1924). There is evidence that this masterpiece in formal condensation was an important influence on Davies – particularly at the time of writing *Revelation and Fall*. The composer Philip Grange recalls his time at the 1975 Dartington Summer School of Music, where Davies taught between 1969 and 1984, when, after Davies had asked all composition students to write a short piece employing the kinds of transformation processes that they had studied in his Second Taverner Fantasia, they then examined Sibelius's Seventh Symphony, 'with Davies drawing parallels between his and Sibelius's different approaches to a one-movement structure' (Grange 2009, 218n). Such are the compositional links between the Second Taverner Fantasia and *Revelation and Fall* that this connection with Sibelius's work demands further investigation.

The genesis of the form of Sibelius's final symphony is interesting. Most studies of the work quote a letter from Sibelius to Axel Carpelan stating that his new work was 'In three movements; that last of them is a "Hellenistic rondo"' (quoted in Barnett 2007, 304). Andrew Barnett claims that there is manuscript evidence that the work was originally conceived in four movements, with the majority of the material that found its way into the completed single-movement symphony deriving from the planned second movement, a C major *Adagio*,



with some of the faster material coming from the projected G minor Finale (Barnett 2007, 304). There seems to be no evidence to explain why Sibelius eventually condensed this structure down into the present organic unity. Such was the divergence from Sibelius's original symphonic plan, however, that the composer did not originally include the work in his sequence of symphonies; at its premiere on 24<sup>th</sup> March 1924 the piece was billed as *Fantasia sinfonica* No. 1 rather than Symphony No. 7 (Barnett 2007, 307). Identifying the work as a sort of fantasia suggests that the composer may have had a similar reason for writing the work as Davies did the Second Taverner Fantasia, sidestepping traditional symphonic multi-movement form in order to create a work of unprecedented concentration and synthesis and to allow him to develop material free from traditional formal strictures. The work's classification as the Seventh Symphony was not confirmed until May 1925. Some may agree with Robert Layton that Sibelius's doubt as to the generic identity of the work shows that it was not necessarily intended to be a 'conscious exercise in symphonic integration' (Layton 1978, 56-57). Nevertheless, as the work now stands it presents a more advanced model of formal integration than Liszt's 'relativization' of formal elements.

Many analysts have tried to unlock the structure of this symphony, with very divergent results. Tim Howell and Arnold Whittall both take tempo changes as important structural signposts, and base their analyses upon these contrasts. Howell suggests that the pace of the music is central to its formal identity:

Tempo is a crucially significant structural force in the Seventh Symphony since it is extremes of pace that convey the concept of multi-movement contrast, and the mitigation and integration of such extremes [the use of the same material in different temporal contexts] that ultimately confirm single-movement unity. Form is, therefore, perceived as a temporal process, rather than the composing out of a pre-existent scheme. (Howell 2001, 45)

This concept can usefully be applied to *Revelation and Fall*: the formal units into which the work was divided in the previous chapter are usually defined by changes in tempo. Other

writers have tried to deduce more complex structures at work within these sections by referring to processes of thematic transformation. Fig. 2.1 shows a comparison of five analyses of the symphony and clearly demonstrates the discrepancies in the placements of formal elements. Cecil Gray sees four sections quite clearly delineated in correspondence with the traditional four-movement symphonic pattern and superimposes the single-movement sonata form directly upon this:

In the slow introduction the chief thematic protagonists make their appearance; in the following section they are worked out; in the *Scherzo*-like episode fresh material is introduced, but development is still continued; and the final peroration is clearly in the nature of a recapitulation. The resultant form, therefore, is not merely one of four interlinked movements, but constitutes a single and indissoluble organism at the same time. (Gray 1947, 71)

Gerald Abraham's analysis corresponds closely with Whittall's arch-form, focussing on the two Scherzos flanking the central *Allegro* section. Interestingly, Abraham gives the same caveat in his analysis of the formal units of this symphony as Davies does in reference to the sonata form elements of the Second Taverner Fantasia: 'In a sense, practically the whole symphony is one vast development' (Abraham 1952, 36). Simon Parmet suggests that one should not try to impose the formal restraints of a symphony on this work as it was not conceived as being one. He rejects the attempts by analysts to find over-arching sonata form or even multi-movement divisions (Parmet 1959, 127). Rather than the two Scherzos upon which Whittall and Abraham pin their analyses, Parmet highlights two crucial sections, or 'corner-stones', that frame the entire piece, and within these he places a '*minore*' passage, corresponding to a minor variation in classical variation form, and the central *Allegro* that interrupted Whittall's arch-form, which he finds to be in neat sonata form.

Edward Laufer follows Parmet's view that one should not stick too closely to traditional symphonic values such as sonata form. He begins from the premise that the work conforms to a rondo, stimulated by Sibelius's reference to a 'Hellenic rondo', yet he admits



that this cannot contain the Scherzo (bars 285-319 in his analysis), which must be considered as a separate movement altogether (Laufer 2001, 353). Timothy L. Jackson generally agrees with the placement of Laufer's building blocks, but returns to the idea of sonata form, reinterpreting Laufer's reoccurrence of his 'main sections' in the rondo form as exposition, development and recapitulation. Central to Jackson's analysis is the idea that the symphony crystallizes at the very end with a 'definitive tonic arrival' (Jackson 2001, 177), after that tonic had been avoided for most of the work. He superimposes his idea of crystallization and delayed tonic arrival upon what he calls the super-sonata form conflation of single-movement sonata form and multi-movement diversity. He sees an overall V-I progression throughout the whole symphony, interrupted only by a prefiguring of the tonic arrival at the start of the exposition in bar 60, although this is soon undermined by another strong shift to the dominant by bar 149, which is only resolved in the last four bars of the symphony. For Jackson it is this prolonged 'progression towards a distant goal' (Jackson 2001, 177) that conveys a sense of large-scale unity.

The discrepancies between these analyses outlined in Fig. 2.1 are quite extreme, particularly around that central *Allegro* section in which Parment sees sonata form but Laufer and Jackson see Scherzo passages, whether as important separate movements in Laufer's case or subsumed into the development of a larger sonata form in Jackson's system. It is fascinating, however, that each analysis can be supported by the experience of the music and by reference to the score; even such incongruities as the placement of the coda at bar 504, 509 or 511 in three of the schemes can all be justified by an important new event in the music at those points. The unprecedented formal organicism and unification of the work is proven by the fact that all these schemata seem to coexist simultaneously on different levels. Tim Howell suggests that the key to the work lies in these symbiotic horizontal levels: 'Segmenting this music *horizontally* into layers of activity (rather than dividing it *vertically*

into blocks of material) reveals the true secrets as to the function of these elements. This is not, after all, a succession of symphonic movements welded together; instead, implicit multi-movement contrasts are simultaneously presented, like geological strata' (Howell 2001, 38, original emphases).

In the Second Taverner Fantasia Davies purposely sets out to create a work of symphonic proportions that deals with the blending of structural units through continuous thematic development. In the programme note quoted above Davies clearly describes the work in three movements – a sonata form movement with introduction and coda, a Scherzo and Trio, and a closing slow movement (Griffiths 1982, 141-142) – yet the work feels as little like a multi-movement piece as Sibelius's Seventh Symphony. The continuous development of the material that all the movements have in common blurs these boundaries and gives the same impression of several processes happening on different levels as Howell attributes to Sibelius's piece. A deeper comparison of the structures of these two works would, as Davies suggested in his composition classes, undoubtedly be very fruitful, but I must return to the work that is the main focus of this study, *Revelation and Fall*.

This piece is a wonderful example of Howell's concept of simultaneous structural strata. Fig. 2.3 shows how the work can be analyzed according to several different strategies (Fig. 2.2 provides a key to the bar numbers of the numbered sections used in the analyses of *Revelation and Fall* that follow). The Lisztian reinterpretation of multi-movement structure and single-movement sonata form undoubtedly provides the backbone of the work, giving it a strong recognizable framework, nevertheless one can just as easily see the entire work as a gigantic set of variations. Each transformation grid discussed in Chapter One is in itself a variation on one or two themes, in a way that the transpositional groupings used to create the material for *St. Michael* are not. No sooner is a theme introduced than it is bent out of shape systematically to eventually produce a different form of itself, or even a different theme



entirely, and each new theme as it is introduced (with the exception of the chorale theme C) is swept up in this continual variation. The analysis of the work given in Chapter One supports this idea of the work, since it is forward-directed and almost entirely underplays one of the fundamental prerequisites of long-term musical structure – the return to previously heard music. There are, however, two important repeats of material that offer a different structural perspective on the work. The repeats of both the chorale section in bars 72-78 and the passage containing that embryonic version of the transformation  $[D_0 \rightarrow DI_0]$  in the harp part (bars 178-215) in bars 272-277 and 332-370 respectively are signposted with clear tempo and dynamic shifts. These sections stand out as rondo-like pillars, just like Parmet's corner-stones or Laufer's rondo sections, in the midst of continual variation, yet one can also see these as being parts of another level of variation. The voice part in bars 178-215 is redistributed between the flute, oboe and trumpet in the repeat of the section in bars 332-370, giving a simple variation in instrumentation. Theme C is not involved with the transformational processes built from themes A, B and D, but the second chorale section is a different kind of variation from any other contained in this piece – the simultaneous juxtaposition of the prime form of the theme with its inversion, retrograde and retrograde inversion is the single nod to stricter Schoenbergian serialism throughout this work. This is then followed by another kind of variation that is not to be found anywhere else in this work – a popular music parody of theme C in the amplified violins. As in Sibelius's symphony single-movement sonata form can be shown to unify multi-movement form, but rondo form repeated material offers alternative points of rest, whilst different levels of continual variation create new strands of development within these structural demarcations.

What Sibelius's model offers is ambiguity and the erosion of structural boundaries. Davies makes the most of this ambiguity in *Revelation and Fall* and each structural unit can be reinterpreted in several different ways – expositions are in themselves sets of variations,

rondo-themes can represent recapitulation and variation, and recapitulations can be extremely developmental. For all this ambiguity there is great structural clarity in this work, which can be reaffirmed by looking at the structure of the work through another important model, the first movement of Mahler's Third Symphony.

#### 2.4 Sonata Form Principles and the First Movement of Mahler's Third Symphony

There is a good deal of evidence proving that Mahler has been an important figure to Davies for most of his career. Roger Holmes, Davies's pupil at Cirencester Grammar School, where Davies taught from 1959 to 1962, recalls Davies's excitement at introducing the music of Mahler to his students before that composer's works had achieved the kind of fame they now enjoy (Seabrook 1994, 54-55) and it is telling that in the 1965 summer school at Wardour Castle (at exactly the time that *Revelation and Fall* was being composed), Davies analyzed the first movement of Mahler's Third Symphony (1895-1896) alongside Bach's *Two-Part Inventions* and Schoenberg's *Pierrot Lunaire* (1912) (Seabrook 1994, 93-94). This symphony seems to have been an important structural template for his compositions as well as his teaching: Christopher Ford reports that Davies admitted that the Second Taverner Fantasia owes much to this work (Griffiths 1982, 46) and many years later the composer said that 'a passage in the development of the first movement of Mahler's Third Symphony' left traces on the structure of the Fourth Naxos Quartet (2004) (quoted in Gloag and Jones 2009, 3). Mahler's approach in the first movement of his Third Symphony leads in entirely the opposite direction to Sibelius in his Seventh. Whereas Sibelius seems to be searching for a way to blend different structural strata into an unprecedentedly cohesive unity, Mahler fractures his overall structure. What is so interesting about the overall form of this movement is how it divides itself into many self-contained passages that seem to defy logical progression, purposely undermining any sense of organic development by allowing these



passages to simply die away (the direction '*morendo*' is used prolifically throughout the movement) before the next one begins. Stephen Pruslin compares this system of abutting different sections with the structure of Davies's Second Taverner Fantasia:

neither the first main section of the present work nor the first movements of Mahler symphonies are really heard in terms of sonata form, although on the surface they all exhibit sonata-like features. Sonata discourse is replaced here by a circular motion in which sections replace rather than follow each other. In the 'development section' of the Davies work, the sections suddenly appear, rather than grow out of each other. (Pruslin 1965, 4)

Peter Revers succinctly explains Mahler's development away from the traditional dualism of sonata structures:

from his First Symphony onwards, Mahler developed a unique musical logic, based on evolving development and a parataxis of concise motivic-thematic building blocks, that largely replaced the dialectical principal of sonata form. Mahler himself said to Nathalie Bauer-Lechner that composing was like 'playing with bricks, continually making new buildings from the same old stones'. (Revers 2007, 93)

This idea of building blocks also suited Mahler's collection of different musical 'objects' such as the military and funeral marches, songs, chorales and *Ländler*. This parataxis has made many critics uneasy about the form of the work – a 1930s critical essay by the Viennese composer Joseph Marx dismisses the first movement as 'roughly hewn': he writes, 'The mostly folk-like themes are often abruptly juxtaposed so as to give somewhat intentionally scenic effects. These rise to an impressively strong climax in the closing march but... it doesn't convince' (quoted in Franklin 1999, 183). Even that arch-Mahlerian Deryck Cooke initially called the form of the movement a 'total failure', although this judgment was softened to a 'partial failure' in the final 1980 edition of his monograph (Cooke 1980, 13). Adorno sees an inherent struggle with formlessness in this movement:

In the first movement of the Third Symphony the sonata pattern is really no more than a husk over the intrinsic, unfettered course of the form. In it Mahler takes greater risks than he ever did again, its

complicity with chaos surpassing even that of the Finale of the First. No less monstrous than the disproportions in the movement is its length. (Adorno 1992, 77)

It is intriguing that Mahler foresaw the difficulties that this movement would present to his listeners and critics. Speaking to Bauer-Lechner of Christ on the Mount of Olives being ‘compelled to drain the cup of sorrow to the dregs’, he says of himself: ‘I have the same feeling when I think of this movement, in anticipation of what I shall have to suffer because of it, without even living to see it recognized and appreciated for what it is’ (quoted in Franklin 1991, 78).

David B. Greene’s analysis of the movement in twelve sections is perhaps more convincing than those by Floros and Franklin who attempt to impose a more traditional sonata form schema upon the work, and I shall base the following discussion of the form of the movement on Greene’s subdivisions, although informed by Floros’s and Franklin’s delineation of sonata form. Greene defines his sections according to the complete or partial lacunae in the music, moments when forward motion is either undermined or completely eradicated. See Ex. 2.5 for the reproduction of all the themes mentioned below.

### **First Section (bars 1-26)**

This section opens with a horn fanfare (A) that subverts its own expected climax with an aimless falling scale before introducing a short chordal passage (B) that similarly fades into a *pianissimo* bass drum roll. Immediately Mahler sets up sense of separation of thematic elements with no logical progression between them.

### **Second Section (bars 27-131)**

This passage is composed of fragmentary motives, none of which finds a convincing consequent phrase to its opening gestures. A heavy funeral march (C) occupies bars 27-56, which merges into a searching arioso melody (D) that appears in the horns from bar 57 and



attempts three times to develop a more coherent melodic shape (the second attempt being started by the trumpet before being passed back to the horns), but each time fails and falls away. The overall contour of this melody echoes that of the opening horn fanfare – reaching up in stages before a dying fall undermines its power. The section concludes with what Floros calls a sleep motive (Floros 1993, 94) – a rapid descending chromatic scale on the bassoons followed by open fifths and fourths from the horns (E), a figure that recalls the opening of the very first horn fanfare (A). Again Greene sees little forward movement in this section, even at the level of each harmonic progression, and indeed there is little in terms of traditional voice-leading: ‘The music vacillates between evoking the expectation of a particular change and suppressing the sense of expectation altogether’ (Greene 1984, 152), and like the first section the music dissolves into the same bass drum rumble.

### **Third Section (bars 132-163)**

The chorale played by the flutes and piccolos at the start of this section, next to which Mahler wrote ‘Pan is Sleeping’ (B’), is the first example of thematic development in the movement, being derived from the chordal passage (B) beginning at bar 11. Against this Mahler creates a sprightly melody (F) beginning on the oboe in Db major before being passed to the violins, whose attempt to affirm a tonic of D major is interrupted by powerful Db major chords, which Mahler dubbed ‘The Herald’ (G). Again the section dissipates into the bass drum roll and a long silence. One can see in the turn figure in the second bar of theme F a rhythmic and melodic connection with the third bar of theme A – again theme A seems to be the germ from which other themes spring.

#### **Fourth Section (164-224)**

The fourth section is a developed version of the second section, superimposing the funeral march rhythms from theme C over the arioso melody (D), now given to the trombones. The section concludes with the same sleep motive (E) that ended the second section. This section is the first extended repeat of previous material, but despite reorchestration there is little real thematic development, only the simple merging of themes C and D. The double bass line slows to a near halt before the next section begins, but just maintains some level of movement to provide the first relatively continuous progression into the next section.

#### **Fifth Section (bars 225-246)**

The fifth section is a modified version of the third with the melody F appearing again over Pan's chorale (B'), but it accumulates intensity and momentum by contracting the melody and allowing the reappearance of 'The Herald' (G) to be more harmonically justified, this time in C major. For the first time the movement appears to be gathering momentum and no hiatus defines the end of this section. The music so far constitutes a long, slow introduction to the symphony, which Donald Mitchell suggests held a special attraction for Mahler, 'permitting him to set the stage atmospherically and also, no less important, to set out his building materials' (Mitchell 2005, 207). Franklin analyzes this introduction, which Mahler did originally intend to be a completely separate section, although to be followed by the first movement *attacca*, as a 'giant developmentally repeated exposition' (Franklin 1991, 84) – a sort of miniature sonata form. Section one is a prelude, presenting both the opening horn theme and the *misterioso* chords, the funeral march from bar 27, in section two, constitutes the first-subject group followed by contrasting second-subject material (Pan's chorale – B') in section three. Franklin's 'second subject proper' is the D major violin theme from bar 140 (F). This 'exposition' seems to be reaching a lighter and more hopeful tone – the promise of



fruitfulness and life emerging from the 'chaos' of the funeral march, but after a long pause, which Franklin describes, theatrically, as a 'blackout' (Franklin 1991, 85), the funereal chaos returns. Sections four and five form a development section that first works on the first-subject material from bar 164 (the new combination of themes C and D in section four) then returning to Pan's second subject (B') at bar 225, made lighter than before with pervasive trills and runs.

### **Sixth Section (247-368)**

Comparing analyses of this movement with those of Sibelius's Seventh Symphony, one is struck by the easy consensus that most analysts reach about the placement of the main structural units of this movement. One of the only discrepancies is the placement of the beginning of the true exposition of the movement. Both Floros and Franklin, for example, place this at bar 273, whilst Greene places the exposition of the important march theme at bar 247. There is a much greater sense of arrival in the key of F major at bar 273 and Floros and Franklin claim that this was indeed where the beginning of the movement proper was to be in the original plan of the symphony, which conceived of all the music hitherto as a separate movement, to be followed without a break with the adjoining passage. Most commentators agree that it is the march music in the exposition that binds the previously fragmented material; Franklin dubs it 'the "seed" from which the rest of the work sprang' (Franklin 1977, 444), and although the combination of previous motives into march music is perhaps more blatant from bar 273, Greene is not wrong in claiming that this process is begun in bar 247, claiming that 'The march integrates the music of the first five sections by blending their motifs in such a way that they seem all to be cut from the same cloth' (Greene 1984, 154). One can see connections between the repeated notes that open the march theme H and those of the funeral march (C) and the repeated arpeggios are reminiscent of those in the unfolding

melody, theme F. The trills on the second violin recall the bassoon and horn figure from 'The Herald' theme G and strident minor chords on oboe and trumpets, ornamented with rapid turns, embellish the opening triads of that same theme. From the generally accepted start of the exposition at bar 273 (theme I), the conflation of motives is much more concentrated: the opening horn figure (A) is spliced together with theme F; the strident turn adorning the chords from the previous section become a pervasive and much more benign feature of the music before being restated in their original form at bar 302. This passage gathers momentum with each section, reaching its climax at the section beginning in bar 346 (Ex. 2.6). This reinterprets theme A in the chorale style of B' and also makes use of the trumpet arpeggio from theme C and the turn figure from theme H.

#### **Seventh Section (bars 369-454)**

Now in the development section of the movement, this passage first reprises the arioso melody D from section two, with the horn figure from the sleep motive (E) and the trumpet arpeggio from theme C incorporated as regular melodic features.

#### **Eighth Section (bars 455-491)**

This is a section of very concentrated development with the wind implying Pan's sleeping chorale from the third section from bar 455, followed by a version of the chorale's countermelody (F) in the violin, separated again from the march (I) that subsumed it. One could take this as a reworking of section three, but it is more complex than this. The first main march theme (H) is constantly hinted at, with rapid arpeggios in the high winds and a fanfare in the horns from bar 477, over which the clarinet and bassoon bring back the opening horn figure (A). The strident turn motive from march theme (H) is transformed into rapid appoggiatura runs throughout the string parts of this section. The chords of Pan's chorale end



this section as they began it. Here Mahler demonstrates the common origins of many of the musical ideas by stripping previous themes down to basic components and superimposing them.

### **Ninth Section (492-642)**

From bar 492 Mahler spins a long, lyrical melody that brings back march theme I in the form in which it was first heard in section 6 from bar 351 before a expansive violin solo elaborates upon this theme. There follows a sequence of three programmatic episodes, to which Mahler gives titles in his autograph score: *Das Gesindel* (The Rabble), *Die Schlacht Beginnt* (The Battle Begins) and *Der Süd Sturm* (The South Storm). All these episodes are developments of material taken from the march beginning at bar 247 (H) and the more continuous conflation of previous material in the march beginning at bar 273 (I). Free use is made of the fragmentary motives of march H – the dotted rhythm that opens it, the arpeggio fanfare and the strident turn – superimposed over the melodic units of march I. All this is accompanied by predictably dramatic orchestral effects – loud woodwind trills mimicking the chattering rabble with swirling strings to represent the tempest. This extended section strengthens the thematic importance of the march music.

### **Tenth and Eleventh Sections (bars 643-670 and 671-736)**

There follows an almost literal repeat of sections one and two in what Franklin calls ‘the most unexpected recapitulation there ever was’ (Franklin 1991, 88). This has been a thorny issue for many commentators. Donald Mitchell sees a problem in Mahler’s habit of repeating large sections of the slow introduction in the recapitulation since it both holds up the tempo of the work and also denies a sense of continual thematic development since all the music has been heard before, which ‘interrupts the momentum and dramatic pace of the movement’ (Mitchell

2005, 207). He writes of the Third Symphony's first movement particularly: 'To be hauled back to the very slow tempo of the introduction, and to music *out* of which the great marching-on march has emerged, is in some sense an exasperating experience, but one that is attributable not to arbitrariness on Mahler's part but to a consistency of practice in which, for good or ill, he persisted well-nigh throughout his creative life' (Mitchell 2005, 207, original emphasis). In some ways it is a delaying tactic, reminding the listener of 'the initial point of departure and in some cases of the distance still to be travelled before resolution can be achieved' (Mitchell 2005, 208).

### **Twelfth Section (bars 737-875)**

This section finally gives the recapitulation that was expected some ninety-four bars earlier with a blazing apotheosis of all the previous march music (themes H and I), complete with tub-thumping fanfares and the extended cadences that the scale of the movement demands.

Like some other writers Franklin wonders if this seemingly futile, literal return to the material of the introduction at the start of the recapitulation is merely a nod to tradition. He quotes Mahler's indication to Bauer-Lechner that the basis of this work was that classical tradition:

without my having planned it, this movement – just like the whole work – has the same scaffolding, the same basic ground-plan that you'll find in the works of Mozart and, on a grander scale, of Beethoven. Old Haydn was really its originator. Its laws must indeed be profound and eternal; for Beethoven obeyed them, and they're confirmed once more in my own work. (Quoted in Franklin 1991, 88)

The use of the word 'scaffolding' is very illuminating here; this is how one must look at this movement, as a mighty edifice built on foundations that are strong not because of their definite character but because the information they contain, like strands of DNA, combines to produce a powerful and cohesive whole, somehow greater than the sum of its parts.



One can see this idea of scaffolding very clearly in Fig 2.4. This table shows how the movement is constructed in three blocks, each reaching higher towards the ultimate integration of the thematic fragments that begin the piece. The first structure, consisting of the introduction and exposition takes its time to establish the building blocks that are the foundations of all further construction in the first three sections before restating and recombining most of that material in the developmental sections four and five. This first wave finds its twin peaks in the first lyrical expressions of all previous material in the marches H and I, but following this the music drops down one developmental stratum with the further development of fragmentary themes in sections seven and eight. This second wave reaches higher than the first, lyrically embellishing the march theme I in the first part of section nine with further development of the lyrical composites H and I in the three programmatic episodes in bars 530-642. Franklin is perhaps justified in calling what follows ‘the most unexpected recapitulation there ever was’; in that troublesome move discussed above Mahler drops right down to the most basic level of the structure – a literal repeat of the basic exposition of fragments in sections one and two. Though this may seem a backward move that halts the progress of the music, Fig. 2.4 shows that in terms of the construction of ever increasing musical peaks it is actually all-embracing. When section twelve finally arrives it appears to be not just working on the music from the previous peaks in sections six and nine, but throughout the entire system, reaching back to the very start of the movement and by implication drawing every level of development into that final expression of the material. Mahler demonstrates in this movement that it is possible to create coherent form from the paratactic procession of building blocks, whose architectural organization suggests a sense of development that replaces the traditional sense of thematic or tonal conflict at the heart of most sonata-form structures.

## 2.5 Übergreifende Form

This architectural perspective on musical form has already been applied to the works of Peter Maxwell Davies. As Nicholas Jones writes in his article on architectural principles in Davies's Third Symphony, Davies's interest in architecture dates back to his student days in Manchester; he told Jones: 'I was with Birtwistle – we were terribly young, still undergraduate students – and we went walking near Worsley [...] where I suddenly realised that the interlocking forms of the tracery of the [church] windows was very significant: it was some kind of archetypal form making a statement about the nature of existence' (quoted in Jones 2000, 402). Speaking to Jones about his Third Symphony Davies pointed out the importance of Hans Sedlmayr's idea of *Übergreifende Form*: 'form which reaches over and affects the next structure. At its most obvious in those "windows" [in the third movement of Davies's symphony], where that form reaches over and becomes the total form and every individual form. But the actual shape, its mathematics, changes; it's not the same, because [of] the nature of the curve' (quoted in Jones 2000, 422). In his article Jones includes James Garratt's translation of Sedlmayr's explanation of this form, the gist of which is as follows:

The wall surfaces of the individual sides [of the Gothic cathedral] and their 'lattice work' [...] point to a type of formal structure which cannot be compared to other kinds of architecture familiar to us, such as the architecture of antiquity, or the early Christian period, and since the Renaissance.

The simplest paradigm of this sort of construction is given by the arcades in the middle storey of the high wall at Amiens Cathedral. There, larger pointed arches supported by clusters of pillars each subsume an arcade of three smaller arches, which are set in similarly high impost and have the same radius of curvature as the larger. The arcade backs against the larger arches around a shallow wall terrace (which also is behind it), revealing itself clearly as the centre. The popularity of the structure is a reduction of the wall into components of the first and second order, in all-embracing and all-encompassing [*übergreifene*] forms.

To these types of structures [...] I have given a simple name that covers all its essential components: 'all-embracing form' [*Übergreifende Form*]. This name has generally been accepted.



[...] The thoroughly medieval phenomenon of Gothic 'tracery' stands in closest connection with the particularly Gothic development of this principle [...]

Without an adequate understanding of it the wall of the cathedral cannot be correctly perceived. In the classic cathedral, the whole upper part of the wall above the first storey (and sometimes including the first level) is a single, extremely brilliant and finely organized all-embracing form. (Quoted in Jones 2000, 423-424)

The nave walls of Amiens Cathedral do indeed illustrate Sedelmayr's concept very precisely, as Fig. 2.5 demonstrates. One can clearly see from these figures that if one takes the lower external window as the basic unit of the design, this unit is developed through the entire structure of the bay design, most obviously in the upper clearstorey window, which superimposes that unit within each smaller arch creating a kaleidoscopic effect similar to Davies's mensural canons seen in *St. Michael* in Chapter One, or the 3:2 ratio between the two principal transformations in the first instrumental interlude of *Revelation and Fall*, which presents the same information simultaneously existing within smaller and larger spaces. The clover design is subtly developed from the single eight-leaf clover in the main arcade window, to diminutions in three- and four-leaf variations in addition to the original eight-leaf at the top. The triforium gallery design on the internal wall, upon which Sedelmayr concentrates, is also derived from this basic unit but here with different subdivision. From the internal view the triforium divides the main arch into two, but then subdivides into three smaller arches, each topped by a three-leaf clover design. Within each bay one can see not only the extension and development of that basic structural unit but also a symbolic manipulation of the fundamental ratios of harmony as set out by Pythagoras and reinterpreted for sacred architecture by St. Augustine: the unison at 1:1; octave at 1:2, perfect fifth at 2:3; and perfect fourth at 3:4 (Simson 1988, 21).

Mahler's construction of the first movement of his Third Symphony could be said to be analogous to the kind of structures that Sedelmayr describes above. If one superimposes

the three waves of construction demonstrated in Fig. 2.4 one sees more clearly the relationships between these sections of the movement (see Fig. 2.6). Just as in the Amiens window design there is a single large form – the progression from sections one/ten and two/eleven to section twelve as the summit of the work – within which are smaller structures that reflect the design of each other and of the larger, all-encompassing design. The first interior arch is built upon the expositional sections two and three, elaborated upon in the developmental sections four and five, before reaching the composite march themes in section six. The second arch builds on the development in sections four and five with its own developmental sections seven and eight, before its own culmination in the many different forms of the march music in section nine. Section twelve acts as the culmination of the whole work both by reaching back to the very beginning of the movement through that controversial repetition of sections one and two, and by building itself upon the previous peaks of development, sections six and nine. Mahler does not achieve the kind of organic unity found by Sibelius in his superimposition of formal schemata but rather finds an architectural unity in the superimposition of developmental units of different scale throughout the work, just as the single overall unit of design can be found superimposed upon all the other units in the Amiens window. If Mahler's movement did influence Davies in his construction of *Revelation and Fall* one must be able to approach it from a similarly architectural angle.

Fig. 2.7 linearly rearranges the units found in Fig. 2.3 by separating the developmental strands as they relate to thematic identity throughout the work, and just like in Fig. 2.4 it is clear that there are three distinct processes happening, but rather than appearing successively like Mahler's, all three span the majority of the work. The two clearest processes, kept utterly discrete throughout the piece are the exposition, development and final dismissal of themes A and B and the exposition, development and resolution of theme C. In this table, these two processes – both related to theme D – appear to be the pillars that support



the rest of the composition. This schema reveals an interesting role for theme D that had not been as apparent in previous analyses: this theme emerges gradually in section eight and disappears just as subtly in section fifteen, claiming no grand exposition or resolution; its importance is as a catalyst for further development of all other material. It initiates fascinating interactions with themes A and B in sections ten, twelve and fourteen and even manages some sort of connection with the elusive theme C in section fourteen. The connection between these three processes can be seen more clearly in Fig. 2.8, which like Fig. 2.6 superimposes the structures. It is not too fanciful to see correlations between this diagram and the design of the Amiens Cathedral window. All three layers of the arch follow the same pattern of exposition, development, combination and separation, with the basic form being found in the lower layer associated with theme C and also found more elaborately in the highest layer associated with themes A and B, just as the upper window is an elaboration of the basic design unit of the lower window. Like the pattern of the middle storey arcade that so fascinated Sedelmayr on account of its total connection to and development of the features that surround it (for example introducing the new ratio of 3:2), Davies's central arch draws details from the layers above and below it and finds new forms and relationships for them. It would be a step too far to propose that Davies attempted to copy this design in the composition of *Revelation and Fall*; however, it is clear that his interest in the architectural principles that Sedelmayr described and Mahler's architectural revision of sonata form affected the overall shape of the work and can do much to explain the processes from which the work is constructed. What Mahler's movement, Sedelmayr's theory and Davies's construction of *Revelation and Fall* have in common is the feature that Otto von Simson describes as typical of the style of Gothic cathedrals: 'that logical integration of the entire tectonic system' (Simson 1988, 142).

How does the 'Mahlerian' analysis of *Revelation and Fall* fit with the 'Sibelian'? Sibelius's model encourages one to look at the work as an ever-changing development of musical ideas, working along separate, simultaneous structural strands that combine into a single organic entity. The analysis in Chapter One seems to support this conclusion of the work, since Roberts's techniques identify all the new transformations that appear in each section, or the novel ways in which established transformations are reworked. This kind of analysis rarely looks backwards, or places each compositional unit within a wider framework. What Mahler's model offers is the ability to step back from the forward movement of the work and view the whole from outside, since this is the only way the one can find coherence in the first movement of Mahler's Third Symphony. Stepping back from *Revelation and Fall* in this way allows one to see that the structural stability of the work depends not upon the continual forward-directed development but on the static architecture within which this development takes place. The two analyses do not undermine or contradict one another, but greatly enrich the understanding of the different scales of form by which Davies controls his expression. I contend that this is the real power of influence study; pre-existing models applied to more recent works can provide templates, which, if sensitively handled, allow features of the new work to reveal themselves, features that may have remained hidden if the work were taken in complete historical isolation, according to techniques typified by Roberts's approach.

Having examined how the sections into which *Revelation and Fall* can be divided are connected in possibly ambiguous, but rigorous, structure, we must now look within the sections in greater detail at the method of thematic transformation to ascertain whether the techniques that Roberts discloses in his analysis can be enriched by placing them within a historical context of influence. Another crucial feature of the work that Roberts avoids, that the next chapter will examine, is how Davies weaves his lines of thematic transformation



together by complex counterpoint that shows clear indebtedness to the medieval techniques of Vitry and Machaut that were discussed in Chapter One, and particularly the techniques found in the work of John Taverner as well as the twentieth-century methods of Sibelius, Stravinsky, Schoenberg and Petrassi.

## CHAPTER THREE – THEMATIC TRANSFORMATION AND CONTRAPUNTAL DEVICES

As shown in Chapter One the majority of the musical material of *Revelation and Fall* is generated by the transformational tables discussed in the first analysis of the work. Roberts avoids any mention of how Davies might have devised this system, or how it fits into the development of serial and post-serial composition in the twentieth century. This is a good example of Korsyn's complaint that analysis often assumes that a work or a technique has been parachuted into history with neither precedent nor consequence. It is such a clear and compact scheme that one might think it needs no further examination; however, the flexibility with which Davies uses it suggests that there are other factors at work than simply the logical expression of a closed system. Whilst one can find many precursors to the stricter serial techniques found in works such as *St. Michael*, particularly Milton Babbitt in the use of different levels of combinatorial sets, and Luigi Nono – his *Il Canto Sospeso* (1956) has several examples of similar applications of juxtapositions of different tempos and *cancrizans* writing to integral serial practice – it is not easy to find direct models for this particular transformational technique. *Revelation and Fall* certainly makes use of many of the trappings of serialism; particularly the generation of material through precompositional processes that are as extensive as those of Pierre Boulez and Bruno Maderna, widespread use of inverted and retrograde sets, rhythms predetermined by ratios derived from the sets and one example of a second-level transpositional set. However, the work cannot really be called serial in any rigorous sense since the majority of its material consists of intermediate transformations that are not accurate representations of any of the original sets, and Davies allows himself such freedom with these intermediate sets that they are often reduced to nothing more than short motivic cells, which seem to mutate in a more organic way than prescriptive reliance on serial



procedure would allow. Before discussing possible influences from the music of other composers, it is important to examine how Davies developed similar techniques in the works that immediately preceded *Revelation and Fall*, in order to place the development of this technique into a wider context.

### 3.1 Davies's Development of Transformational Processes in the Second Taverner Fantasia and Taverner

Davies clearly considered *Revelation and Fall* to be a breakthrough piece after a period of 'apprenticeship'; he said in an interview with Paul Griffiths:

All those early works, up to about 1964, I think of as apprentice pieces. I knew what I was doing: I was building up a solid foundation of compositional technique, and the last two things I did like that were *Taverner* and the Second Taverner Fantasia. Even as early as 1962 I could feel that there was something about to happen which was going to burst out of the style in which I was then writing, and you can already feel that in the Second Fantasia and in the opera. I wasn't aware what the musical consequences of the upheaval were going to be, but I knew that I had to have enough technique to be able to withstand the shock of it. (Quoted in Griffiths 1982, 109-110)

He confirmed the links between *Revelation and Fall* and *Taverner* and the Second Taverner Fantasia in an interview with Stephen Walsh: 'In the opera, Taverner's music undergoes transformation processes the like of which I had been experimenting with for years. There are processes like those in the big Second Fantasia. But there are also some of the techniques which I later used in things like *Revelation and Fall* or *L'Homme Armé*' (Walsh and Davies 1972, 653). The links between *Revelation and Fall* and these two previous works are very strong – the last chapter showed the links between Davies's experimentation with sonata form in the Fantasia and its use in *Revelation and Fall* and as we shall see Davies reuses all the main themes and even the same transformational processes in all three pieces. Although

he does not often contextualize his analyses within a developmental continuum of techniques Roberts warns that ignoring the pieces that surround any of Davies's works can be dangerous:

Davies sometimes generated material in one work and continued to transform it in another. An attempt to produce a coherent model of the process of compositions of a piece which, in this sense, is a sequel to another one, is likely to be frustrating and doomed to failure if that attempt is carried out in ignorance of the fact that the piece is in fact a sequel. (Roberts 1985, Vol. I, 288)

The dates of composition of the opera are a little confusing in relation to the works that feed off it; Davies worked on it between 1962 and 1968, although the first act of the opera was completed by the time that the Second Taverner Fantasia was written in 1964, so we can definitely take Act 1 of *Taverner* to be a 'prequel' to *Revelation and Fall*, even if some of Act 2 (largely an ironic reworking of Act 1) was not completed before the composition of the *Revelation and Fall* in 1965-66.

Roberts shows the Second Taverner Fantasia to be at a pivotal position in the development of Davies's techniques; some sections employ techniques that were central to earlier works, particularly the transpositional sets that formed the basis of works around *St. Michael*, as well as the techniques that were to become important to *Revelation and Fall*, particularly thematic transformations. The section in bars 21-116 is built on transpositional sets of a nineteen-element set found in the strings, the first-only sieved variant of which is *Revelation and Fall*'s theme B, and a nine-element set in the clarinets and bassoons, which is identical to *Revelation and Fall*'s theme A. Another set is formed from what was to become *Revelation and Fall*'s theme D in the oboe 1 and cor anglais (Roberts 1985, Vol. I, 275-281).

The development and recapitulation sections of the 'first movement' of the Second Fantasia show many more devices that informed the composition of *Revelation and Fall*. In his programme note to the work Davies states that 'My main compositional concern was to explore the possibilities of continuous thematic transformation, so that material is in a constant state of flux' (quoted in Griffiths 1982, 141), suggesting that this was perhaps the





successive pitch of the theme (see Exx. 3.1a and b). There are more examples of this kind of self-transposing transformation in the opera *Taverner*.

The main repository of transformational processes in *Taverner* is Act 1, Scene 4. There is a new type of transformation process in this scene not found in either the Second Fantasia or *Revelation and Fall*. By extending the process of elimination of certain elements that allowed him to convert a longer theme into a shorter theme, as in  $[B_0 \rightarrow A I_0]$  (Ex. 1.3) Davies combines and eliminates elements from one subunit to the next so that a theme is transformed into a single pitch. One such process in this scene of the opera is  $[B_0 \rightarrow *]$  (Roberts uses the asterisk to represent the single pitch and the form of theme B he uses here is a 16-element version with some pitch duplications removed) (see Ex. 3.2). He also subjects the process to the transposition of successive subunits according to the successive pitches of the theme, but not applied to the initial element of each subunit. Here he uses the pitch class A, the seventh element of the original theme, as a pivot for the whole process and he transposes each subunit according to the relationship between this pitch and the initial pitch of the theme by which the subunit is being transposed. For example between the fourth and fifth subunits the degree of transposition is an augmented second, but Davies applies this not to the initial elements, which rise by a major third, but by the elements that correspond to that A pivot in the untransposed transformation, the fourth element of subunit 4 to the fourth element of subunit 5 – C to D#. The viola part in bars 298-354 contains this process in reverse  $[* \rightarrow B_0]$  (Roberts 1985, Vol. I, 316).

In the subsequent passage, bars 355-466, Davies appears to continue the expansion of  $B_0$  that had just occurred in the viola part towards a terminal subunit of thirty-four elements. In fact this final subunit is not an expanded theme B but a combination of  $A_2$ ,  $D_7$  and a version of the first section of the *Gloria Tibi Trinitas* incipit (see Ex. 3.37) (for convenience let us call this theme T) transposed up five semitones ( $T_5$ ) (Ex. 3.3). Therefore this



transformation is really a conflation of  $[*\rightarrow A_2]$ ,  $[*\rightarrow D_7]$  and  $[*\rightarrow T_5]$  with each expanding transformation taking an element of the sixteen-element  $B_0$  as a starting point. Davies makes these separate, simultaneous processes relatively clear by confining them to particular instruments with  $[*\rightarrow A_2]$  mostly lying in the clarinet and flute,  $[*\rightarrow D_7]$  being shared by horn and trumpet and  $[*\rightarrow T_5]$  being given mainly to the trumpet (Roberts 1985, Vol. I, 316-317). Roberts also notices some other types of transformations that are based on transpositional squares, such as were used in earlier works and were refined into the magic squares that formed the basis of so much of Davies's work in the 1970s, but these are fundamentally different from those used in *Revelation and Fall* and need not be explored here.

What this information from these previous works shows is that Davies chose to use a very limited range of compositional techniques in *Revelation and Fall*. Both these 'prequel' works contain a much broader range of strategies, including transpositional groupings of the complexity seen in *St. Michael*, as well as much more complex transformational processes, including self-transposing, contracting and expanding combinatorial sets, and grouped processes that are unified by one over-arching process. *Revelation and Fall*, has only the one, very simple, example of a transpositional group and uses only the basic forms of transformational processes, borrowed directly from those previous works. It is wrong, however, to suggest that *Revelation and Fall* should be deemed more simplistic in style than these earlier works; rather it is an elegant crystallization of earlier techniques, which suited Davies's apparent desire to write this work with urgency. Chapter Five will develop the idea that this was a work that seemed to burst out of Davies's pen almost fully formed. He may have felt that there was still potential in the processes and material of these earlier works and he still managed some very complex reworkings of these processes, such as the multi-layered instrumental interlude, but certainly the recycling of material allowed him to unleash the

expressionistic vision that will be examined in Chapter Five without being detained by the laborious process of devising new material.

### 3.2 Precursors to Davies's Transformational Processes in the Works of Other Composers

The self-transposing sets found in the Second Taverner Fantasia and *Taverner* suggest that a possible precursor for Davies's mutating themes can be found in the serial compositions of Stravinsky. In his later serial works Stravinsky devised the system of rotational arrays as a means of generating material. Through a simple process of rotating a hexachord systematically he created a matrix of six rows beginning on each successive pitch then transposed these six rows so that they all begin on the same note (Cross 2003, 165-166). Ex. 3.4 shows the rotational arrays of the hexachord that provides the basis of the compositional material of the third movement of *A Sermon, a Narrative and a Prayer* (1960-61). This shows how Stravinsky forms a grid of themes that although they are serially derived avoid the repeated patterns of intervals that transpositions of a row produce. The movement begins with an alto solo accompanied by string chords formed from consecutive rotations, omitting the original hexachord (Ex. 3.5). The solo tenor then begins a canon shown in Ex. 3.6, in which all the parts work systematically through the rotational array, exploiting the pivot of each row beginning on the same pitch by frequently alternating a prime row with the subsequent retrograde – a device common to Davies's sequences (see Ex. 1.17a). Another technique common to both composers is the reversal of the sequence of prime and retrograde sets in simultaneous voices – so whilst the solo alto has 1,2R,3,4R,5, the solo tenor has 2,3R,4,5R,6 so that the two voices do not repeat exactly the same form of the row, giving the greatest degree of variety (see Exx. 1.10 and 1.21). Stravinsky also charts a similar course through the grid in the solo alto line to that noted in many places in *Revelation and Fall*, particularly the first appearance of the transformation  $[D_0 \rightarrow DI_0]$ , where the composer turns



back to the first row before reaching the final row – thus Stravinsky uses 1,2R,3,4R,5,5,4R,3R,2,1R – which apart from the repetition of the retrograde of the fourth row and the prime of the fifth is palindromic in pitch classes, if not register or duration – another favourite technique of Davies. Notice also the elements of mensural canon introduced by the instrumental bass line played by double bass, harp and piano. The first phrase doubles the durational values as it repeats the first row just after it has been heard in the solo alto and the second phrase has the row 2R at the same time as the chorus bass part, but also with double durational values. Although Stravinsky's tables are not transformational in the same way as Davies's, the usage of the successive units of the array is strikingly similar to Davies's.

Despite these parallels the Stravinskian model does not explain how and why Davies incorporated the idea of thematic transformation as a means of loosening the strictures of serial technique. In Chapter One I showed that there rarely seems to be a rigorously algorithmic basis behind all the transformation processes. There are certainly patterns of movement for each pitch class between each successive subunit, some combinatorial tendencies when a longer theme is compressed into a shorter theme in terms of the degree of transposition, and some common features between many of the processes, such as the propensity to flatten the contour of the pitch classes often with many same pitches and smaller intervals between ones that change, towards the middle of the transformation, but the pitch-class set analysis shows that there is no deeper system at work here. Davies's move to more organic transformational systems after the earlier strict employment of combinatorial systems or traditional Schoenbergian serialism in works such as *Stedman Doubles* (1955-56), suggests that he wished to reach beyond the limits of these closed systems. Reference to music that lay outside these systems could have provided models for that compositional freedom.

Nicholas Jones, in his 2005 article on sonata form in Davies's first *Naxos* Quartet (2001-02), suggested that Davies's transformation techniques could be linked to Sibelius. The last chapter explained that Sibelius was clearly an important figure to Davies in both his teaching and his composition. Referring to sonata form principles in Davies's *Sinfonia* (1962) and the two Taverner Fantasias Jones writes:

Clearly, Davies is not necessarily interested in Beethovenian thematic (motivic) development. Rather, the development of Davies's material is more akin to Sibelius's technique of continuous thematic transformation, in that themes – lines of musical argument – are constantly changing; their contours being continually reshaped: it is a feature common to all his work. (Jones 2005, 73)

In his notes Jones mentions Gerald Abraham's description of Sibelius's 'reshaping a theme motive by motive', which reminds Abraham of 'the child's game of altering a word letter by letter, so that 'cat' becomes 'dog' through the intermediate stages of 'cot' and 'cog'' (Abraham 1952, 32-33) a description that is remarkably applicable to Davies's transformational tables. Rodney Lister also suggests that the kind of transformations Davies experimented with in *Seven In Nomine*, in combination with medieval isorythmic and contrapuntal techniques, were shaped by strong influence of Sibelius, and particularly his Fourth Symphony (1911) (Lister 2009, 177). This connection may prove fruitful in understanding how Davies breaks away from serial constraints to create a more organic process in these transformational systems.

There has been considerable wrangling over whether Sibelius's Fourth Symphony can be called monothematic. Whilst Abraham identifies first-subject and second-subject groups in the first movement, David Hurwitz claims that all these thematic ideas are actually related to the small motivic cell that opens the work on the lower strings and bassoons (Ex. 3.7 – hereafter called x). Although this appears to be a simple four-note motive it has important features that Sibelius exploits in order to create a complex web of connected themes throughout the symphony, namely the tritone that is created between the bottom and top note



of the motive (C-F#), and the pair of major thirds – C-E between first and last notes and D-F# between the two inner notes – that when superimposed fill in this tritone with a whole-tone scale. Abraham identifies the ‘cello solo theme (Ex. 3.8) that enters in the sixth bar of the work as the first subject. This can be seen as the first transformation of motive x, contracting the intervals between the opening three notes from tone and major third to semitone and minor third, followed by a rearrangement of the two implicit intervals of a third. Abraham’s second subject, heard in the violins from two bars after letter B is clearly an extension of x (see Ex. 3.9) with a striking octave displacement at the start (a gesture commonly used by Davies) giving the motive a newly strident nature. One further motivic idea, which becomes important to the Finale of the symphony, is introduced in this exposition; a simple horn fanfare (Ex. 3.10), which rearranges the four notes of x whilst lifting the top note by a semitone, thus producing a consonant fifth rather than the tritone. Nevertheless this prepares for the whole-tone scales that will appear as a pervasive sonority in the development section of this movement.

The development section begins with a remarkable passage of improvisatory character rising through the strings (see Ex. 3.11), which uses common features of both first and second-subject material, and their common root of motive x, to weave a sinuous line combining both subjects (labelled A and B in Ex. 3.11) with a modified retrograde inversion of the first subject, and even a retrograde transformation of x. As Ex. 3.11 shows, virtually every note of this passage is attributable to one of these transformations of motive x, giving a tremendous concentration of material. As Edward Laufer writes, in Sibelius’s textures ‘Not a note is empty filler: every aspect is organic’ (Laufer 1999, 153). After *tremolando* whole-tone scales within which motive x can be found embedded, strident appearances of x in the wind ushers in the recapitulation. This is a fine example of Davies’s ‘recapitulation by inversion’ idea, which is a common feature of Sibelius’s symphonies, in which the principal

themes reappear in reverse order and there is a sense of dissipation, dissolving the musical material into silence, subverting the expected resolution of previous musical tension. The movement ends, as it began, with the unaccompanied motive x fading away into nothing as it is passed from the 'cellos to violas and second violins, and finally to the first violins.

The second movement is less reliant on this kind of concentrated thematic transformation and there is only the occasional passing reference to the complete motive x; despite this, the whole-tone scale and interval of the tritone that it outlines are both crucial features. In a symphony often regarded as Sibelius's most inaccessible, largely due to its experimentation with the limits of tonality, this Scherzo provides a welcome respite in the form of a cheery, diatonic melody, but the sinister sonority of the tritone creeps in constantly to disturb the mood. The tritone and whole-tone scale take over completely in the Trio section beginning at letter K, almost entirely removing any sense of a definite tonality. The diatonic Scherzo theme eventually reappears, but in the wrong key and immediately disperses itself as the movement ends. Thus, although motive x rarely appears in full, those crucial features that define it still demonstrate their power over the movement.

Sibelius builds his third movement from two new transformations of motive x, the first a simple extension of the theme with contracted intervals (Ex. 3.12) and the second a horn chorale whose principal features are two consecutive perfect fifths (perhaps derived from expanding the consecutive thirds of the first-subject theme in the first movement) and the conjunct motion of its last four notes which is harmonically reminiscent of the horn fanfare in the first movement – ascending motion finishing on the third of the chord beneath it (Ex. 3.13). Throughout this movement Sibelius sets these two themes against each other, stripping them back to their fundamental elements and again saturating the texture of the music with various transformations of these elements. At letter C, for example, the clarinet and violins invert the fifths of the second theme over a complex transformation of the first



theme in the bassoons (see Ex. 3.14). This last transformation deserves more attention. As it stands in that example it seems nothing more than an extension of the descending fifths begun by the clarinet, yet it retains an aural connection to both the original form of motive x as heard at the start of the symphony and the transformation of it that opens this movement. The clear tritone between the F natural and B natural suggests a link, but a closer examination demonstrates how Sibelius creates this from permutations of those original motives. One can see this transformation as consisting of two parts, the G-F movement tone movement and the Bb-B-C semitone movement. By dropping the final C from the second part and retrograding each pair one finds F-G-B-Bb, an almost exact transposition of the original motive x, but for the sharpened final note, and putting the second part first produces Bb-B-C-G-F, a clear variation of the first theme of this movement (see Ex. 3.15). This rearrangement of the notes in this context also incorporates the falling fifth produced by inverting the second theme of the movement, thus connecting all the material that Sibelius has introduced into this *Largo*. At the end of the movement Sibelius again follows his pattern of recapitulation by inversion, allowing the second theme of this movement to open out into a soaring string melody, the sort of long-breathed melody for which Sibelius is famous, but which is conspicuously absent from most of this work, before the music once more dissolves as repetitions of the opening theme of this movement fall from the top to the bottom strings, in a mirror image of the end of the first movement.

In the opening of the fourth movement Sibelius collects together a cluster of motives, largely derived from previous transformations before setting them against each other in various ways. An apparently new violin theme begins the movement (Ex. 3.16). In fact, this melody was heard at the end of the previous movement just before those descending repetitions of the opening theme as a curious hint, or spoiler of the content of the Finale (rather like Davies's 'sneak preview' of the theme D of *Revelation and Fall* in bars 6-9). This

melody is strongly connected to previous transformations of x; the opening arpeggio simply extends the motion of the figure shown in Ex. 3.8, now in the major key, and Sibelius immediately reveals the roots of the turn motive (labelled z in the musical examples) that concludes the theme by echoing its shape in a clear transformation of the first movement's horn fanfare now in the clarinets (Ex. 3.17, hereafter labelled y). The A-D# tritone present in this theme is another connection to the original motive x. Another important transformation in what could be called the first-subject group of this movement is shown in Ex. 3.18 (labelled w); first heard in the violas, this completes the whole-tone scale within the tritone contained in the violin melody, with the addition of the ascending fifth of the horn theme from the third movement (Ex. 3.13). The final motivic cell announced in this introduction is the violin figure consisting of a rushing ascending scale followed by a slow descent (Ex. 3.19, labelled u). The first section of the Finale then takes the shape of a rondo with episodes of fragmented thematic transformation defined by three appearances of a longer melody, or rondo-theme (Ex. 3.20), constructed from the motives heard in the introduction together with an inversion of motive x (xI) that appears consistently throughout this movement and is reminiscent of the bassoon transformation of x shown in Ex. 3.15. The transformations within these episodes either consist of antiphonal juxtapositions of motives, as heard at letter B (Ex. 3.21), or improvisatory passages into which are embedded features of these motives, such as in the 'cello solo sixteen bars before letter B (Ex. 3.22).

The second-subject group introduces a new level of harmonic insecurity with a short wind chorale that modulates unexpectedly to the flattened submediant and a chromatic figure that fills in xI (Ex. 3.23). The recapitulation, again 'by inversion' to use Davies's phrase, revisits all the transformations and combinations highlighted above before a remarkable final passage that almost entirely dismisses any reference to thematic material but for some repeated intervals of a third in the solo flute referring to the thirds implied by motive x, a



single augmented eleventh between the oboe and flute that makes a disguised reference to the tritone that has affected so much of this symphony, and a final appearance of the chromatic form of XI. This final passage is devoted to restoring tonal order and establishing the key of A minor that the rest of the symphony has seemed at pains to avoid. This crystallization into static harmony into which Sibelius reduces his themes is also an important feature of both the Second Taverner Fantasia and *Seven In Nomine* and will be discussed in Chapter Four.

This debate about monothematicism is a thorny one. I believe one can show that the vast majority of the thematic material of the symphony can be derived from transformations of the opening motive, but the fact is that once these themes have been thus created they claim an independent life for themselves, not as subsets of a single idea. The Finale of the symphony demonstrates this amply; once those short motives that make up the first-subject group have been heard, they are clearly recognisable throughout the movement as clear thematic ideas regardless of their common origins, proceeding transformations or combinations, and what is more, like the rondo-theme, these longer composites then take on their own independent identity. Santeri Levas recounts that when he discussed with Sibelius the fact that writers such as Cecil Gray had suggested that he constructs his main themes from initial fragmented motives, the composer categorically stated: 'That's not true at all. I do not build my themes out of small fragments' (quoted in Laufer 1999, 141). Laufer suggests that, 'Rather, themes may be associated by their having fragments in common; that is, certain components recur in various themes. This does not mean that all the themes are somehow the same. Like brothers and sisters in the same family, they have certain features in common – yet each theme is different and individual' (Laufer 1999, 141). In a later article he developed this idea: 'The basic figures constitute a kind of source repertory of components; all of the various themes draw upon these source components, reassemble and *transform* them, often in a quite concealed manner. This way of composing is not at all the same as somehow putting

together small fragments to make longer themes' (Laufer 2001, 360, original emphasis). The Fourth Symphony represents a different tactic in the effort to unify the four movements of the symphony, which found its ultimate expression in the Seventh Symphony, by scattering features of the opening motive of the work, particularly the tritone and the two superimposed thirds that create it, throughout the entire work, either as new themes or sonorities that pervade the music's texture, as in the Trio of the Scherzo. This concentration of motivic unity relates to Sibelius's words to Mahler concerning 'the profound logic that creates an inner connection between all of the motives' in his own music (quoted in Jackson 2001, 176).

As Jones suggests, Sibelius's techniques of thematic transformation are fundamentally different from Classical development, in which melodies are reinterpreted according to different contexts or settings. Sibelius strips his themes down to their bare bones and manipulates each aspect of the theme, particularly intervals and contours, in order to create endless expansions, contractions and combinations of these aspects. Carl Dahlhaus describes this process at work in the Fourth Symphony:

Different aspects of a single musical idea – the tritone and the melodic contour – are abstracted from the motive and developed separately. The same holds true of the relation between pitch and rhythm [...] Rhythmic pattern, melodic contour, pitch content: in the traditional notion of theme or motive these three factors "coalesce." Sibelius, however, "abstracts" them from one another, isolating them from their context. (Dahlhaus 1989, 368)

As Tim Howell writes, this process also grants Sibelius the 'ability to generate large-scale musical structures, through the logical and systematic exploration of the inherent compositional potential of small motivic cells' (Howell 2001, 39). This is effected in the short term by passages that concentrate on a particular style of development such as the short developmental episodes between the appearances of the rondo-theme in the exposition of the final movement, but also in the long term, over a movement, or indeed the symphony, by the



gradual expansion of the thematic potential of small motives, the uncovering of material and accretion of transformations, which leads to a final synthesis and distillation of material.

In Sibelius's Fourth Symphony one can see many examples of this gradual mutation of motivic material through a similar process of progressively expanding and contracting intervals whilst common features are maintained. The transformation of motive x into the first movement's first subject (Ex. 3.8) prepares the way for the open fifths of the third movement's horn theme (Ex. 3.13) and the rising arpeggio of the fourth movement's opening theme (Ex. 3.16); the original horn fanfare derived from x that seems to play little part in the first movement (Ex. 3.10) contributes to the end of the horn chorale in the third movement and becomes the extremely important turn figure (Ex. 3.17) which appears countless times in the Finale; and the bassoon rearrangement of x heard in the third movement (Ex. 3.15) is a mid-point in the gradual conversion of x into its inversion, one of the most common contours in the final movement.

Many of Sibelius's techniques displayed in this symphony seem to influence *Revelation and Fall* very strongly. Howell's point about the generation of structure through the logical transformational processes is fundamental to the structure of Davies's piece, as was shown in Chapter One; the exploitation of common features of different themes to blur their identities and combine them into new material is also central to the processes in both works; Sibelius's recapitulation by inversion and the dissipation of material is remarkably similar to Davies's; Davies also employs the same concentration of transformational units that was shown in Ex. 3.11. The idea that a theme can be interpreted as a contour to be manipulated into different shapes, with the intermediate stages of this manipulation to be given their own importance, is fundamentally different to the classical sense of development and is absolutely at the heart of both Sibelius's and Davies's processes.

Roberts's tables of transformation, which reduce themes to their pitch-class disregarding actual register, are excellent reference tools but often they miss the Sibelian motivic development that Davies employs in the application of these transformations. Roberts's tables show that most of the transformations throughout *Revelation and Fall* are produced by the same techniques of gradual transposition of the different elements of the theme and by splitting one element into two adjacent pitches if more elements are needed in the final terminal subunit, or combining two elements into one if transforming a longer theme into a shorter one. Looking in more detail at how Davies realizes these processes in actual pitches one can see how Davies sometimes makes this process very apparent to the listener, in just the way that Sibelius achieves unity throughout a work by extrapolating a great deal of material from a simple cell, and at other times hides it. The first process in the work, the trumpet's transformation of theme A into its inversion in bars 1-26, is almost totally obscured in extremely rapid, fragmentary bursts, trill figures, such as those that carry subunits 8 and 10 or single stabs, to which subunit 9 is reduced (Ex. 3.24). The ear is not supposed to follow this thematic development; Davies uses this material to establish a disjointed, irregular sound world before the work seems to settle down with the introduction of the voice in the next section. In contrast to this Davies organizes the transformation  $[AI_0 \rightarrow B_0]$  in the principal voice of the interlude in bars 96-177 in such a way that a listener can follow very clearly delineated motivic manipulation. Ex. 3.25 shows how Davies arranges the initial form of  $AI_0$  into two descending motives, the first of three notes and the second of four, and develops each motive in different ways. Looking down the subunits of the first motive one can see how Davies gradually lowers the pitch of the first element by semitones and raises the pitch of the last element, thus reversing the shape of the motive. He transposes the new elements he creates by splitting one element as described above in a similar way, downwards in the first part of the motive and upwards in the second half. Through most of this process Davies keeps



a stable pivot on one or two notes that begins with the A in the centre of the motive and splits into two notes in the fifth subunit, and this only expands to the Db and Gb needed to form theme B in the last subunits. The second motive maintains its descending pattern with all elements being gradually transposed upwards, again generally by semitones or sometimes by tones – the final element is transposed mainly by tones. He adds the extra element he needs only in the tenth subunit by the same process of splitting one note into two adjacent ones. The long note values of this voice that passes between the trumpet and clarinet (see Ex. 1.5) and the dynamic emphasis on this voice brings this process clearly out of the texture and consequently the listener can perceive the manipulation of thematic contours in the same way that one can hear the expansion of Sibelius's thematic cells in his Fourth Symphony. Roberts's dissertation presumes that the adoption of this particular form of thematic transformation is an extension of the more rigorous serialism that earlier works display, to the extent that Roberts tries to find rather specious underlying patterns in the transformations, whereas this reference to pre-serial techniques suggests that it was quite a radical break from the composer's earlier style that was nourished and liberated by the influences upon which Davies drew.

The work of Goffredo Petrassi, with whom Davies studied in Rome having won a scholarship from the Italian government in late 1957, seems to be another important influence in Davies's new desire to gain a more flexible approach to ostensibly twelve-tone writing that gives primacy to cellular, motivic and thematic development, rather than total adherence to a row or serial regulations. In an article paying tribute to his teacher upon his death in 2003 Davies recalls that Petrassi would make him apply musical considerations to all serial manipulations:

Never have I had to explain and defend myself so exhaustively. Petrassi would suggest, for instance, that using *that* transposition of a set would inevitably give rise to harmonic problems in relation to another transposition, and would I explain their nature. That *that* particular doubling of a note in two

instruments would be out of tune – why? That I had not prepared the ear for a reprise – please explain why this was so. That the pacing of two phrases was not ‘natural’ and would I point out why and where. (Carter and Davies 2003, 8, original emphases)

Petrassi’s sequence of Concertos for Orchestra written in the 1950s, the Third through to the Sixth, demonstrates his very personal adoption of serial techniques. Calum MacDonald writes: ‘With him the series became less a generator of musical meaning, the nub and kernel of the argument, than the thread along which the music would be spun, the means to release the untrammelled play of tones and affect, which is the music’s real meaning, from the need for symmetry or recapitulation’ (MacDonald 2003, 9). It seems unlikely, given Davies’s inquiring mind and voracious appetite for examining scores, that he would not have made himself aware of the recent music of one of his most influential teachers. An examination of the Fourth Concerto (1954) reveals a very interesting adoption of the series as a generating factor that may have helped Davies to form his own personal adaptation of serial procedure.

The Fourth Concerto opens with a passage of increasing contrapuntal density based upon what MacDonald calls a ‘berceuse-like’ theme (MacDonald 2003, 14) (Ex. 3.26), which seems to take its character from that tonally ambiguous arched theme that opens Bartók’s *Music for String Instruments, Percussion and Celesta* (1936) (Ex. 3.27), a work that Petrassi models this concerto on quite closely (particularly in the contrapuntal textures, timbral experimentation – with violin harmonics imitating the glassy sound of the celesta – rhythmic syncopation and floating tonality). A twelve-note row is first heard in the first violins beginning in bar 16 (Ex. 3.28). The two hexachords that make up the row are nearly identical in intervallic pattern, suggesting that the row is really two transformations of the same 6-note theme, and both begin with a 3-note cell of a minor third followed by a perfect or augmented fifth (later in the work the perfect fourth presented in the first hexachord is always inverted to make a perfect fifth), which will be of great importance throughout the work. The counterpoint that follows returns to the initial berceuse theme but begins to transform it into



the 'row theme' by introducing those intervals of a third and fifth in the second violin part from bar 43 (Ex. 3.29), which gradually infect all the other parts so that by bar 51 the berceuse theme has become a variant of the row theme in all parts (Ex. 3.30). A transposed form of the row, in its original rhythmic pattern, appears very conspicuously in bars 62-66, played by violins and 'cellos, the first hexachord accompanied by a blazing C# major chord and the second by a mysterious diminished seventh chord, asserting the tonal rather than dodecaphonic basis of these themes. The second section of the work, marked *Allegro inquieto*, is based upon the 3-note motive that begins the row theme, here given a new rhythmic identity (Ex. 3.31) and treated with dense imitation (Ex. 3.32). In this section Petrassi also introduces rapidly repeating notes, a feature which he then weaves into the next important theme, again derived from the 3-note motive, in the *Sereno* section that acts as a contrasting Trio section within this *Allegro inquieto*, which is first heard in the first violin in bars 161-163 and then inverted in the 'cello part in bars 186-189 (Exx. 3.33 and 3.34). This repeated note figure is then given autonomy as a theme in its own right, emphasized by strident appoggiaturas. The final section begins with a fugue based on a further development of the *Sereno* theme (Ex. 3.35). This fugue restates the row theme in different guises and uses the repeated note figure to create pulsing accompaniments, full of Bartókian syncopation. The berceuse theme reappears in its original form in a *Calmo* section from bar 513, bringing a recapitulatory feel to this final section. The piece concludes with ironic stretto that strips the texture right back to the thirds, fifths and repeated notes that spawned so much of the work's musical material (Ex. 3.36).

John Weissmann writes of Petrassi's style in these middle concertos:

Petrassi's methods consist of joining together mosaic-like, a number of short, well-defined motifs or thematic fragments without imposing any conventional restraint upon their organization. The constant movement, interplay, and change of these motifs constitute the life-force of the music: their treatment displays a wholly new conception of the *concertante* principle, one which seems to be much more

essentially *musical* than the traditional schemes because it involves the contest of ‘the stuff of which music is made’, the contest of the themes themselves. (Weissmann 1980, 61)

Petrassi’s work provides Davies with an example of how a composer, whilst writing in a modernist idiom and employing certain serialist procedures, can incorporate the kind of constant motivic development seen in Sibelius’s work, which provides a great amount of material generated by the transitional states between the arrivals at new forms of themes and motives and also frees the composer from the strictures of serialism, putting the emphasis on the purely ‘musical’ considerations of which Petrassi demanded that Davies should be aware. One can see from Davies’s motivic working on the transformation in Ex. 3.25 that he is employing the same idea of splitting a theme into component motives and developing them independently just as Petrassi treats his twelve-tone row. The transformation of the berceuse theme into the row by the gradual adjustment of intervals is a clear precursor of Davies’s transformational processes, when these are examined from the motivic rather than serial perspective. It is interesting that in his works composed after his time studying with Petrassi Davies starts to loosen the formalism of his earlier works and achieve more organicism in the development of his material. Petrassi’s application of traditional musical values to modernist techniques could have created this possibility for Davies and connected him with a different set of influences.

### 3.3 Contrapuntal Arrangement of Linear Strands

Roberts’s serial analysis concentrates on identifying the placement of each stage of the transformation processes in linear strands of development, but tends to ignore the techniques whereby these subunits are woven together with each other and the ‘accompanying’ music around them. Davies has written and said much about the importance of medieval models to the musical integrity of *Revelation and Fall*, claiming that it was the dependence on



techniques of isorhythm and canon that prevented the piece from collapsing into formlessness: he told Paul Griffiths:

Had I not been quite thorough about very boring things like being able to work canons in lots of different ways, I wouldn't have been able to mould the expressionist material of a work like *Revelation and Fall* so that it made coherent and formal sense. Isorhythmic workings and canon on a modular system of transformations made that piece possible, which otherwise would have been very incoherent.

(Quoted in Griffiths 1982, 109-110)

He also writes in a programme note that *Revelation and Fall* 'represents a marked extension, in comparison with my earlier works in the use of late medieval/renaissance compositional techniques [...] in the complexity of rhythmic relationships between simultaneous "voices", in the use of cantus firmus with long melismas branching out, and in the use of mensural canon' (quoted in Griffiths 1982, 63). Chapter One demonstrated how much information can be gained by analyzing the counterpoint of *St. Michael* through the medieval models that influenced it. Before applying these models to *Revelation and Fall*, we can expand the range of medieval techniques by examining the work of a composer who became central to the group of works to which *Revelation and Fall* belongs – John Taverner.

Taverner became a central concern for Davies in many of his works of the 1960s – Davies had been considering writing an opera about the life of this Tudor composer since the late 1950s. The first explicit engagement with the Taverner's music came in the First Fantasia on an In Nomine of John Taverner, written for the 1962 Proms, in which Davies experimented with some of the techniques he was later to use in the opera *Taverner*. From Taverner's time until Purcell's there was a curious craze for writing works called In Nomine that were based on a melody (that carries the words 'in nomine Domini') from the Benedictus of Taverner's *Missa Gloria Tibi Trinitas*, a fad that Davies resurrected in *Seven In Nomine* (1964-65), which presents Taverner's original setting, rescored for string quartet, with two renaissance versions by John Blitheman and John Bull and four of Davies's own.

Peter Phillips suggests that some of Taverner's techniques were quite unsurpassed at the time: 'his exceptional ability to control long spans of polyphony, by the (in English music) pioneering use of sequence and other motivic devices' (Phillips 1995, 640). One of the most important devices in this control of long-term structure was the inventive and pervasive use of imitation and thematic manipulation, which seems to be the principal point of connection with Davies, in conjunction with the use of a cantus firmus line as underpinning for complex imitative counterpoint. Taverner used the plainsong melody that appears in the cantus firmus of each of his festal masses as both a unifying device, binding the entire work into a coherent whole because of the pervasive sonorities and implied harmonies of the plainsong each time it appears, and also to generate material by breaking the plainsong into separate musical phrases (Hand 1978, 41).

Another influential element of Taverner's writing was his inventive vocal orchestration. He maintained interest through long passages of polyphony by altering the vocal groupings. Josephson comments: 'His vocal combinations and juxtapositions are perhaps the most sensitive, varied and imaginative in the repertory of Tudor church music' (Josephson 1975, 125). Many writers such as Colin Hand and Hugh Benham have suggested that the common structural device of alternating between simpler six-part polyphony and more complex textures for fewer parts implies that these latter sections were designed to be sung by soloists rather than the choir, thus varying the texture between a solo group and *ripieno* (Hand 1978, 43). These passages are emphasized by beginning a different section of the plainsong in the cantus firmus. Even within these solo sections Taverner alternates combinations: for example, in the 'Pleni sunt coeli' section of the Sanctus of the *Missa Gloria Tibi Trinitas* the first twenty-one bars are taken by solo meane, countertenor and tenor, and the following nineteen bars taken by treble, bass 1 and bass 2, before the six-part texture returns at 'Osanna in excelsis'. In this mass there are twenty-one such scaled-down



passages for solo voices with sixteen different vocal combinations (Josephson 1975, 133). Each movement of *Missa Gloria Tibi Trinitas* has a clear tripartite structure, emphasized by the alternating vocal groups and changing time signatures with the cantus firmus 'appearing in triple measure in the first section, in duple in the second, and in diminution of the duple in the final one' (Hand 1978, 46). This creates a sense of progression and acceleration towards its final cadence, strengthened by a gradual shortening of note values throughout the movement, especially in the last few bars.

The *Missa Gloria Tibi Trinitas* is generally considered to be one of the finest examples of Taverner's craft. The plainsong appears three times in each movement, according to the tripartite structure described above, apart from in the Agnus Dei, where it appears twice, and it is usually split into four sections (marked by double bar lines in Ex. 3.37). All four movements start in the same way in the upper three voices with two important subsidiary themes, derived from the plainsong, which themselves are transformed into important motives later – for example, the downward scale that is treated canonically in the Benedictus is related to the downward scale through a sixth in the treble and countertenor parts of this opening phrase (Ex. 3.38).

There is a more pervasive use of imitation in this mass than in Taverner's other festal masses. The most orthodox form of imitation is found at the beginning of a freely-composed polyphonic passage to emphasise the entry of each part. Taverner often achieves this by bringing each part in with a very florid passage that subsides into plainer writing whilst another part imitates the florid passage. Through this, in Hand's words, Taverner 'enables the listener to disentangle the six-part web of sound, and follow the individual strands more easily' (Hand 1978, 49). Another technique that Davies expanded was what Hand calls 'imitation in advance' (Hand 1978, 48), in which the cantus firmus is predicted or prepared for by a sequence of entries that highlight some of its features. The countertenor subsidiary

theme that opens each movement does this by predicting the rising D-F minor third, with which the cantus firmus in the meane opens, but there is a more complex example of the technique in the Gloria at the words 'Domine Deus Rex coelestis'. Here, whilst the cantus firmus in the meane is concluding the last part of the second section of the plainsong, the other parts enter imitatively with transpositions of the first six notes of the third part before it appears in the correct pitch in the cantus firmus meane part at bar 50, on the words 'Rex coelestis'; thus the theme seems to emerge gradually from the texture (Ex. 3.39). Hand defines another form of imitation as 'internal imitation' (Hand 1978, 48), in which there are sequences of imitative entries, based on short thematic fragments that are thrown rapidly around the voices. The Credo provides an excellent example of this, as each short phrase is attached to a clear triadic motive that is imitated by two or three parts before the next is introduced. Coming in the middle of freely-composed polyphony, this has the effect of varying the texture and surging the pace forwards (Ex. 3.40). More than most of his English contemporaries Taverner used sequence as an important melody-building device (Hand 1978, 101). Many lines are constructed from simple sequences rising and falling, arch-like, through the texture; a good example of which is found at the first 'miserere nobis' in the Agnus Dei in which the male voices (see Ex. 3.41) contain compact imitations of this simple sequence.

Taverner also experimented with the techniques of mensural canon highlighted in Chapter One. Although Taverner rarely creates strict canons, preferring to shift into free polyphony after canonic entries, he frequently creates a texture composed of several levels moving at different speeds. One example can be found at the words 'Qui sedes ad dexteram Patris' in the Gloria of this mass. Most parts imitate the downward scale of the sixth in the bass part at the start of the passage (some in inversion, as shown by dotted brackets in Ex.3.42) but at different rates: the meane echoes the bass's original minims, while the other parts imitatively alternate between crotchet and quaver, even semi-quaver movement.



Hand also notices a Janus-like quality about Taverner's mature works 'which, through his environment, look back to the generation of Fayrfax and Cornyshe, and, through his own inclinations, anticipate the High Renaissance' (Hand 1978, 99). It is this very Janus quality that I see in Davies's work – the purposeful use of centuries of musical tradition with a new sensibility that combines to produce a radically new musical language. Taverner was clearly building upon the English Gothic tradition, particularly in the independence of line in his part-writing, but his interest and skill in imitation, increasing musical and textual clarity and an increasing use of major and minor modes ally him to emerging renaissance thought and practice (Hand 1978, 112).

#### 3.4 Seven In Nomine and the Integration of Taverner's Techniques

The miniatures that make up Davies's *Seven In Nomine* are useful study pieces from which to glean some of the technical adaptations that Davies was to put to use in longer works such as the Second Taverner Fantasia and *Revelation and Fall*. Despite the stark tonal contrasts between the Renaissance In Nomine and Davies's four settings, and the transformations that render the plainsong often unrecognisable (especially in the first two), Davies reproduces very interesting textural equivalents to Taverner's, particularly through the use of imitation and canon. The first two of Davies's own settings concentrate mainly on the transformation of the plainsong through transposition and intervallic modification and also the use of pervasive imitations, through which each entry echoes and extends a noticeable motive from another part. They both develop Davies's technique of mensural canon, in which transformations of the plainsong with different durational values are superimposed. This is used to create both the multi-layered texture of Ex.3.42 and also a stretto-like effect, similar to Taverner's increase of tempo towards the end of his movements through the alteration of

time signatures, so that these two In Nomine gather pace before a final slow section diffuses this momentum.

In Davies's third original In Nomine (the fifth of the set), which he subtitles 'Canon in six parts', many of his contrapuntal techniques are laid bare. Davies writes that the instrumentation here was designed to imitate an eighteenth-century chamber organ that was in his possession, 'which has only four stops, the most remarkable of which is a strident twelfth' (quoted in Griffiths 1982, 140). This sonority of doubling a tune at the fifth (or often the fourth – an inverted fifth) became characteristic of his treatment of plainsong in *Revelation and Fall* (particularly the treatment of theme C), *Antechrist*, and *Missa Super L'Homme Armé* (1968). It is worth taking time to enumerate the different techniques in each of the six canons Davies creates here.

1. After a clear statement of the plainsong theme in the clarinet part the first canon consists of retrogrades of the theme in parallel fifths in the violin and oboe over an inversion in the clarinet, which enters canonically after two minim beats. This is a good example of Davies's adaptation of the *cancrizans* idea.
2. In the second, Davies augments the theme by a factor of two so that it forms a slow cantus firmus in the 'cello part against the original theme in parallel fifths in the violin, clarinet and piccolo.
3. After this simple example of mensural canon Davies begins to pile up increasing numbers of transformations, combined with *cancrizans*. In the third canon the 'cello cantus firmus continues and two instrumental pairings are created above it; the oboe with the clarinet and the two violins together. Both pairings contain a retrograde of the theme in the higher instrument and an inversion of the theme in the lower part, which begins two beats later so as to form imitative entries. The pairs are set a fifth apart, creating those strident false relations of Davies's chamber organ.



4. In the fourth canon the cantus firmus drops out. The harp and horn play the theme in fifths, whilst the piccolo and oboe play a retrograde of the theme in fifths, the viola has a retrograde inversion, the first violin plays an inversion of the theme and the bassoon plays an augmented inversion (see Ex. 3.43). Although the lines are not strictly canonic – all instruments except the bassoon enter simultaneously – the rhythmic values are slightly altered so that the rhythm of a minim followed by two crotchets is imitated throughout the texture in almost every bar. This is an excellent example of Davies's adoption of Taverner's internal imitation, where passages are unified by a common melodic or rhythmic feature that recurs throughout the texture.
5. The fifth canon is begun by the oboe with an inversion of the plainsong and seven beats later the first violin enters with the original theme, a sort of imitation in advance, in which the arrival of the main theme is prepared by an earlier version. This is overlaid by a very interesting piccolo line, which presents a transformed version of the theme in diminution played twice, first retrograde then forwards (see Ex. 3.44).
6. The final canon again piles up retrogrades and inversions of the theme whilst the viola and 'cello play augmented versions of a retrograde and inversion of the theme respectively forming a double cantus firmus. Building on the previous canon, here half the instruments enter after seven beats.

Throughout the piece the alternation between different groups of instruments is very reminiscent of Taverner's constantly changing vocal orchestration. The trio of piccolo, oboe and violin in the fifth canon particularly stands out between two very full sections like Taverner's pared down soloistic sections that often occur in the middle of a movement. The development of the cantus firmus in three of the canons also adds to the medieval sonority and highlights the mensural transformations by giving a slow basis against which the faster

moving main theme and especially the diminution in the fifth canon can be set. One can also see use of prolation technique (in his writings Davies uses the term ‘prolation’ to refer to any splitting of a single beat into different subdivisions, rather than the strictest meaning of the word) in the above examples with the bassoon part in Ex.3.43 and the violin part in Ex. 3.44 set in triple time at the same time as the duple time of the other parts. In terms of the serial functions applied to the different layers of the canons it would be impossible to ignore Schoenberg’s contrapuntal experimentation in *Pierrot Lunaire*. The fifth canon is reminiscent of the eighteenth part of Schoenberg’s *Pierrot Lunaire* in which the strings and woodwind turn back on themselves half way through the tenth bar and play a strict retrograde of the first half of the piece as the piano and voice continue their development forwards. Perhaps both Davies and Schoenberg were influenced by the palindromic *cancrizans* writing of composers like Machaut. The conflation of different serial transformations of thematic material, found throughout this part also looks back to the seventeenth part of *Pierrot Lunaire*. At the start of this piece the viola and voice are in canon, and the voice beginning four beats after the viola, with the clarinet inserting itself between those parts in an inverted canon at the ninth (Ex. 3.45), and between bars 16 and 21 when the voice and piccolo are in canon at the octave, the viola and clarinet play different material in an inverted canon with the clarinet beginning at a minor tenth below the viola (Ex. 3.46). There is barely a note in the whole piece that is not in some way involved in this multi-layered canonic writing. Davies’s ability to connect Schoenberg’s modernist techniques to medieval techniques of canon, imitation and *cancrizans* supports the suggestion made in Chapter One that Davies felt a great freedom in the choice and manifestation of his influences, not bound faithfully to any, but able to learn from all. Let us now turn to *Revelation and Fall* and examine the uses of these techniques throughout the piece.



### 3.5 Adaptation of Medieval/Renaissance Compositional Techniques in Revelation and Fall

The most concentrated deployment of medieval/renaissance techniques comes in the first instrumental interlude in bars 96-177 of *Revelation and Fall*. This is, in fact, a huge mensural canon combined with *cancrizans* technique with the presentation of the principal voice in trumpet and clarinet against the secondary voice in the 'cello that contains a retrograde inversion of the transformation and reduces all the rhythmic durations by two-thirds. Davies's scheme of gradually reducing the note values of the principal voice, and having those of the secondary voice gradually increasing (see Ex. 1.5) emphasizes the palindromic nature of this canon. This also maintains the sonority of a cantus firmus since the 'cello part takes over the longer note values as those in the trumpet and clarinet are shortening. Upon this basic structure, Davies builds more medieval devices. Superficially, the doubling of the principal voice with piccolo, oboe, violin 2 and viola notes, mainly in open fourth and fifths, maintains the sound world of the chorale section that precedes this interlude, which in turn recalls the chamber organ whose parallel twelfths became a central sonic property of much of *Seven In Nomine*. Davies echoes Taverner's technique of breaking down the cantus firmus upon which the mass movement is based into shorter motives by deriving the other layers of the texture – the melismas in clarinet, trumpet, violin 1 and double bass that decorate both voices of the canon and the horn and trombone offbeats that punctuate them – from that central transformation. Davies's use of the percussion in this interlude is another layer of palindromic mensural canon again appearing at a 2:3 ratio. As we saw in the study of *St. Michael* in Chapter One Davies adapts the principal of isorhythm to his own ends rather than slavishly adhering to the idea of set rhythmic *taleae* being applied to motivic phrases or *colors*. The manipulation of the rhythmic schemes, really extended *taleae*, applied to the transformation and the percussion layer imply an isorhythmic planning throughout the interlude.

Another application of the idea of a cantus firmus carrying the thematic idea from which other figures take material can be found in the section bars 178-215. The main transformation process featured in the section is carried in a slow cantus firmus constructed from  $[A_6 \rightarrow B I_0]:1,R2,3$  in the viola. As explained in Chapter One when the viola is not playing the voice has slow notes which make up the first three subunits of  $[B_0 \rightarrow A I_0]$ , a process which is derived by inverting the transformation found in the viola, and when the viola is playing the voice has melismas based on various subunits of both transformations. The melismas found in the 'cello and double bass are also based on subunits of these two transformations. Therefore every note of the section, apart from the harp part, which contains that embryonic form of theme D, is derived from the basic process that is presented in the cantus firmus. One can see this gradual introduction of theme D as an extended imitation in advance. The theme makes a very brief appearance in the double bass in bars 6-9, then in the rough version of its transformation into its inversion in the harp part of this section before it finds its true form in, predictably, a cantus firmus in the piccolo in bars 216-222. Yet again, important thematic material is associated with the cantus firmus – a very medieval concept.

Even where there is no strict canonic writing Davies uses the idea of mensural canon to create different rates of movement, which recall the texture that was shown in Ex.3.42. In the section bars 49-66, the second violin, viola, 'cello and double bass play a very slow-moving line, with notes tied across several bars, forming a cantus firmus. The voice and violin 1 carry the two main transformations in very rapid figures whilst the piccolo, clarinet and oboe play a line based on fragments of the transformations moving at a moderate pace. This multi-layered kind of texture can be found throughout *Revelation and Fall* and its effect on the experience of the work will be discussed in the next chapter.

A more precise application of the prolation technique of splitting a basic beat into different numbers of components can be found most clearly in bars 324-329. Against mainly



regular crotchet movement in the voice part, the flute and oboe share continuous semiquaver movement whilst the first violin and viola share nearly continuous triplet semiquaver movement, giving a durational ratio of 1:4:6 between these parts (see Ex.3.47). The string coupling is written in major prolation, with the quaver beat divided into three, whilst the woodwind pair is written in minor prolation, the quaver beat being divided into two. As explained in Chapter One each instrument here is working through subunits of the transformation  $[AI_0 \rightarrow B_0]$  in different combinations whilst the voice has  $[A_6 \rightarrow BI_0]:R10$  and  $[AI_0 \rightarrow B_0]:11$ , but Davies arranges the pitches of these subunits so that there is internal imitation of a kind similar to Taverner's (Ex. 3.40). Each pairing of instruments is written so that one plays only in the gaps created by the other, in hocket-like answering phrases, but as the violin roughly shadows the oboe and the viola the flute one can perceive answering figures across the pairs as well as within the pairing. The descending minor third (C-A) at the start of the oboe line is echoed by the major third (E-C) in the flute part three quavers later, and the oboe's descending fifth (Bb-Eb) is replayed as a diminished fifth three quavers later by the flute (Db-G); the viola's second figure in bar 324 is an almost exact retrograde inversion of the violin's second figure and the start of the second viola figure in bar 326 is an echo of the last three notes the violin played down a perfect fifth. This imitation also works across the pairings: the oboe's minor third opening is immediately passed down to the violin (D-B) and then to the viola (A-F#). This pervasive internal imitation is used in exactly the same way as Taverner – to give the music a strong momentum and propel the listener through the texture.

The passage that contains the single example of transpositional groupings in the work, bars 230-243 (see Ex. 1.13), also uses Taverner's technique of internal imitation. Davies arranges the transpositions of theme D in a such a way that certain contours, particularly descending and, less frequently, rising thirds and fourths sing out of the texture as they are

thrown between the lower wind instruments, giving this passage an unusually euphonious, melodic character.

The most obvious link with his previous adaptation of Taverner's techniques in *Seven in Nomine* is to be found in the chorale sections based on theme C. The second chorale (bars 272-277) is remarkably similar to the fourth canon (compare Exx. 3.43 and 3.48). The orchestration is almost identical, with the substitution of a trumpet for the horn and the loss of the harp in the later work. Similar transformations of the same plainsong are superimposed as well as the parallel fifths and fourths above and below the theme. To strengthen the medieval texture of the section Davies also expands the internal imitation present in the fourth canon by emphasizing the two rhythmic motives highlighted by solid and dotted brackets in Ex. 3.48 and the diminution of note values in the final bar creates a Taverneresque acceleration towards the end. There is a sense of the manipulation of prolation ratios also in the 6/4 feel of the fifth bar in all parts but trumpet and clarinet, which maintain the 3/2 pattern. The final bar compounds these rhythmic ratios, as the beats of the 4/2 bar seem to be arranged in three groups of 6/8, 3/4 and 2/4 consecutively. Throughout the work Davies also adapts Taverner's constantly shifting vocal orchestration by varying the combination of his sixteen instruments between every section of the work.

Touching now on a topic that will be expanded later in this thesis, Davies uses these medieval techniques in different ways in relation to the experience that a listener would have of the work. At one level these techniques can be deeply hidden in the fabric of the music – many of the mensural canons and passages of pervasive imitation are swallowed up in the texture – in which case the techniques are designed to help the composer control his materials and structure his musical language. In other places, particularly the chorale sections, one is very aware that Davies is invoking a medieval style, and this directly conditions how the music is perceived. In between the two extremes one is occasionally aware of these



techniques briefly surfacing, particularly in the moments when internal imitation is most obvious, and the use of a clear cantus firmus, and at these points, rather than insisting that the listener contemplates a link with past music, these familiar techniques seem to give the listener entry points into a language that might otherwise be totally alienating, just as Davies's manipulation of sonata form and the four-movement pattern gives a sense of the geography of the piece, within which one can orientate oneself. The next chapter will consider more features of the compositional style that contribute more to the experience of the work, rather than its underlying forms.

## CHAPTER FOUR – TIMBRE, COLOUR AND TEMPORAL MANIPULATION

The previous chapter touched briefly on how the music of *Revelation and Fall* is experienced; this chapter concentrates upon how the compositional devices analyzed in the first three chapters contribute to the effect of the music for a listener. Serial analysis such as Roberts's does not consider features such as instrumentation and texture, yet perhaps the most important factor of *Revelation and Fall* in terms of its musical effect is Davies's experiments with colour and temporal manipulation – that is the destabilization, even eradication, of a sense of regular musical flow and pulse. I shall examine how metrical ambiguity leads one to focus on static musical moments, and the novel modes of listening that this requires, as well as discussing perhaps the most surprising influence on the work, the classical Indian *rāg*. I shall begin by extending one of the features of last chapter – the effect that the use of cantus firmus lines and different layers of movement in mensural canons has on the experience of the music.

### 4.1 Different Layers of Movement

In his article on the Second Taverner Fantasia Stephen Pruslin makes a fascinating observation about how a cantus firmus line can be used to affect the temporal experience of the music: 'The thematic process has effects beyond itself, for it is the means by which temporal illusions are created. Davies's use of cantus firmus not only juxtaposes a basic "gestalt" against its transformations, but also allows multiple images of time' (Pruslin 1965, 4). Citing passages where a slow cantus firmus is decorated by faster transformations of itself, as shown in sections from *Revelation and Fall*, such as the multi-layered first interlude that juxtaposes the principal voice with the secondary voice in a 2:3 durational ratio with much faster melismas and decorations built from the same transformation, Pruslin writes:



In human experience, the analogy is that of a moment that is so saturated with psychological content that it gives the illusion of lasting for hours, perhaps for days. The cantus represents the moment in objective or chronological reality, and the material below it comprises the vivid detail that stretches the moment in the mind. This double image of time looked at simultaneously from outside and inside also involves the spatial or visual juxtaposition of a panorama and a “close-up”. (Pruslin 1965, 5)

This idea can be extended to any passages containing mensural canons, as Pruslin suggests: ‘Davies’s penchant for writing mensural canons relates entirely to the creation of co-existent time-layers. A mensural canon, after all, is nothing more nor less than the same event occurring at different rates of speed’ (Pruslin 1965, 6).

It seems that in addition to the importance of his formal experiments and thematic transformations, Sibelius could also have been an important influence on Davies’s adoption of mensural canon, previously attributed to medieval models, particularly in terms of how Sibelius uses these simultaneous levels of different rates of movement to manipulate the perception of musical time. In a 1986 interview with conductor Richard Dufallo Davies discussed the importance of Sibelius’s method of layering different rates of movement:

the way he can articulate time, with almost nothing happening. A very sparse texture, with perhaps a few pulsations going, but you feel that it’s multilayered and that it’s not just a simple rhythm expressed through the surface note values on the page. There are pulsations going on inside that. Bigger articulations which, I’m fairly sure, have to do with his perceptions of the way that landscape was working, and the seasons working on that landscape. (Quoted in Dufallo 1989, 153)

Sibelius’s final tone poem *Tapiola* (1925) provides many examples of the kind of articulation of time by which Davies was impressed. Howell points out Sibelius’s tendency to create music that seems to be ‘both static and dynamic, slow- and fast-moving, repetitive yet varied: in short, music that involves contradictory perceptions of time’ (Howell 2001, 40) and suggests that the structure of *Tapiola* is defined not by traditional key-centre conflicts but by contrasts in the ‘control of musical time’ (Howell 2001, 47). He explains:

If the piece is to be viewed as a series of variations, then these are primarily temporal and involve aspects of speed, meter, rhythm, repetition patterns, texture, and articulation – rather than pitch relationships and intervals [...] Much of the local continuity of the piece is generated through repetition patterns, exploring perpetual variation of a limited number of shapes, which are used to create a sense of musical progress – of movement through time – to compensate for the stasis of pitch-class organization. (Howell 2001, 47)

Howell adapts Jonathan Kramer's definition of linear and non-linear time (Kramer's development of Stockhausen's idea of moment form will be examined below), making them more applicable to Sibelius's music:

Linear time is perceived as progressive and developmental, and circular time as repetitive and static. Sibelius's music contains a subtle mix of these categories, be they separated, juxtaposed, or superimposed: a kind of counterpoint of time segments. The remaining principle to keep in mind is the issue of subjective time – musical time as experienced by the listener – as distinct from absolute time – a rationalization into abstract duration(s) as “clock” time. (Howell 2001, 41)

In the Fourth Symphony the pedal chord that Sibelius builds up from bar 30 of the third movement of the dominant ninth chord of G major, plays a small temporal trick on the listener by converting a circular moment into one that demands linear resolution. The held notes that appear in the viola, second violin, double bass and then first violin initially appear to be a static, stabilizing element in the music, but once all the lines have built up the precarious dominant chord that they create demands resolution onto its tonic, thus what is at first perceived as unmoving and circular suddenly becomes dynamic and forward-looking. Another intriguing passage in the Fourth Symphony, at letter H (bar 217) in the Finale, undermines any sense of tempo by conflating very fast and very slow music. All strings apart from the double bass play rapid semiquaver scales whilst most of the wind instruments hold a single chord, the trumpet plays a sustained cantus firmus transformation of the viola motive w from the start of the movement and the tubular bells have a theme derived from the clarinet



theme y in minims. This is an excellent example of the kind of ‘co-existent time-layers’ that Pruslin describes in connection with the Second Taverner Fantasia.

Howell suggests that in Sibelius’s last works this had become a major structural factor: ‘By the time of the Seventh Symphony and *Tapiola*, the same principle of juxtaposing differing temporal layers – essentially involving slow and fast music – had developed into multi-level structures open to a range of interpretations; duality becomes plurality in mature Sibelius’ (Howell 2001, 41). There is a paradox here; fast music, because it contains much more information and many more musical events, can appear to take longer than slow music because of one’s perception that a lot has taken place, whereas very slow music can lead to a sense of ‘timelessness’, because one’s sense of regular units of time is undermined. Thus subjective time is manipulated. Within this distinction there is also a relevance to the importance of the events that one perceives. If one gets the sense that many fast events are nothing but surface decoration (like the semiquaver string scale from the Fourth Symphony) then one can perceive the music as static in that it is not moving towards a structural goal (Howell 2001, 42). Barnett comments on this manipulation of passing time in *Tapiola*: ‘Sibelius’s handling of tempo and pulse is impressive: without a score, a listener would almost certainly assume that the underlying tempo was a slow one, but in fact, with the exception of the first twenty bars (*Largamente*), the work alternates between a basic *Allegro moderato* tempo and a fully fledged *Allegro*’ (Barnett 2007, 322). This effect is achieved by the constant presence of a very slow-moving cantus firmus or collection of pedals that seems to convert the faster motives into surface decoration.

This effect is achieved many times during *Tapiola*. Daniel M. Grimley describes its use at the opening of the work: ‘The first cycle consists of three independent layers of music moving simultaneously but at markedly different rates: the virtually static bass ostinato, a slow wave-like accompaniment in the ‘cellos and bassoons, and the moderately paced

melodic statements in the divided violas' (Grimley 2004, 114). He goes on to describe how these layers shift in placement and emphasis, some coming to the fore as others fade, just as the phrase rhythm shifts 'from a spacious four-bar pattern to a more urgent three-bar metre. The overall effect of the transition is cinematic: a gradual shift in screen or focus from one texture to another' (Grimley 2004, 114). There is a particularly fascinating occurrence at letter N (bar 417). The main thematic material appears as a spritely melody for flute, piccolo and oboe with dotted rhythms and quaver movement, but beneath this Sibelius creates three simultaneous levels of movement as shown in Ex. 4.1 – a crotchet-beat ostinato in the strings, whose attempts to convey a motor propulsion is undermined by the minim rate of movement in the bass clarinet and the very long horn chords. As Barnett suggests it is quite impossible to perceive which rate of movement is dominant here. The high wind figures, supported by the ostinato figure reinforce the *Allegro* marking of this section, but the slower movement in the bass clarinets and horns undermine this, reducing these faster statements into little more than surface ornamentation upon solid and stately movement. Just like Grimley's cinematic shifts, one's perception of the same passage can drift between these two extremes of musical time.

Much of the development section of the first movement of Davies's Second Taverner Fantasia makes extensive use of this technique. As shown in the previous chapter the introduction to the development section contains four simultaneous transformations that convert themes  $A_0$ ,  $B_0$ ,  $D_0$  and  $A_6$  into their own inversions. The low strings invert  $A_6$  in a very slow line, with the feeling of a cantus firmus, against which the bassoon inverts theme  $A_0$  in moderate movement, with the oboe inverting theme  $D_0$  in faster movement and the flute inverting theme  $B_0$  in even faster movement. There is a complex adaptation of prolation here, with the basic prolation ratio of 2:3 between duplet minims in the lower strings and the triplet minims in the bassoon complicated by straight quavers or triplet crotchets in the oboe and



quintuplet quavers in the flute. This gives a multi-layered effect of a stable base setting off regular figurations in the middle of the texture, spinning off into hurried movement at the top. The wind parts have several internal imitative points throughout, recalling Taverner techniques of imitation discussed in Chapter Three, which also creates a sense of propulsion (Ex. 4.2). The development proper expands this principle of varying rates of movement into a more definite use of a cantus firmus. At almost every point in this section the ear perceives at least one very slow moving part, which creates stability for the disjointed imitations or more extended canons that surround it, the very purpose for which Taverner also used the cantus firmus. Whereas Taverner's cantus firmus was generally assigned to one part, Davies often distributes this line around the orchestra. In bars 290-330, for example, this slow-moving part is passed between violin and viola, third and fourth trumpet, first trumpet, second violin, first violin and finally to viola. Despite this changing instrumentation, the ear follows the line of stability, which leads the listener through the texture. Later in the movement Davies uses the cantus firmus as a more structural element. From bar 386 he gives the trombone a very elongated version of the original *Gloria Tibi Trinitas* theme (just as in *Revelation and Fall*, bars 348-370), distorted through octave displacement, before at bar 415 the oboe has a much clearer rendition of the theme (in a first-only sieved variant), which carries the music through to the end of the development. Thus the principal theme seems to emerge slowly from the cantus firmus movement over the course of the development section, a reverse of Taverner's technique of revealing a cantus firmus theme after fragments of it in other parts have prepared it by 'imitation in advance'. As in Sibelius's passages, the ear shifts between hearing the fast and slow music as being the dominant temporal articulation.

That much-discussed interlude in *Revelation and Fall* shows many examples of this technique. In the passage shown in Ex. 4.3 one can see the principal voice being passed from clarinet to trumpet between the second and third bars, higher strings and oboe double this

with a high sustained line, the 'cello has the secondary voice in shorter note values, the horn and trombone have their accented offbeat notes and the trumpet and clarinet engage in rapid melismas when not carrying the principal voice. The fact that the sustained line is given to the highest instruments destabilizes the music. Just as Sibelius undermined the sense of pulse by conflating fast and slow music, Davies here makes one feel that the music is simultaneously fast and slow. This, along with the irregular bar lengths and rhythmic patterns, completely eradicates any sense of pulse and forward movement. Although the thematic transformations, of the kind we examined in the first part of this project, are often linear, in that they are directed towards the terminal subunit of the process, one perceives passages such as this as being circular, due to the removal of a regular beat and the coexistence of so many simultaneous rates of movement. The different cases of mensural canon that were examined in the previous chapter all contribute to this same negation of local pulse.

#### 4.2 Metrical Ambiguity

The use of irregular bar lengths and rhythmic patterns that the last example demonstrates is another device with which Davies undermines a temporal flow. An important model for this kind of temporal manipulation seems to be the final song in Mahler's *Das Lied von der Erde*, 'Der Abschied'. Philip Grange recollects the importance of this work to Davies's teaching:

Interestingly, very few works analysed during the Dartington course did not in some way relate directly to Davies's own; these included 'Der Abschied' from Mahler's *Das Lied von der Erde* and the Impromptu, Op. 90 No. 1, by Schubert. The former was discussed at length in 1979 in terms of Mahler's expansion of musical expression (and as such could be said to relate to a whole host of Davies's works from the later part of the 1960s) and the manner in which a pulse is only gradually established at the start of the movement [...] the main technical issue in the Mahler was metrical and rhythmic ambiguity. (Grange 2009, 227)



Structurally there are certainly parallels between 'Der Abschied' and *Revelation and Fall* – both works contain a long instrumental interlude at central points and the works finish very similarly with endlessly circling music that drifts away into the ether as the solo female voice contemplates oblivion in one form or another. Mahler's strange ending to this massive work, leaving the voice hanging on a D over a shimmering suggestion of the tonic C major in the orchestra, suggesting that the singer's repetitions of 'ewig' could, quite literally, go on eternally, seems to have been very influential: Britten wrote: 'it goes on for ever, even if it is never performed again – that final chord is printed on the atmosphere' (quoted in Hefling 1999a, 465). One can also see this moment informing the similarly timeless quality of the end of Holst's *The Planets* (1921), with the alternation of rootless chords fading as the doors are gradually closed on the off-stage choir. This effect of timelessness is the most important influence that Davies seems to have taken from this work. The final song of *Das Lied von der Erde* comes as a shock after the others because of its unprecedented formal and textural freedom after five songs that have been controlled by strict strophic forms. Bruno Walter recalls Mahler discussing the complexity of this last movement with him: 'Then he pointed out the rhythmic difficulties and asked jestingly: "Have you any idea of how this is to be conducted? I haven't."' (quoted in Mitchell 2002, 342). Some of the techniques that Mahler employs to disrupt the perception of passing time are irrelevant here. Stephen Hefling points out Mahler's blurring of tonal direction as a means of subverting forward-directed expectations: 'Dominant preparation and overt cadence are rare; and in Schenkerian terms, goal-oriented middleground linear motion is often avoided or interrupted, without subsequent closure' (Hefling 1999a, 460), and as we also found in the literal repeat of earlier sections in the recapitulation of the Third Symphony, Mahler here uses large-scale repetitions to undermine a sense of continuous development, as if turning the clock back. These features do not play a part in Davies's temporal manipulation: any real sense of tonality is so absent from

*Revelation and Fall* that it would be impossible to employ the subversion of the expectation of tonal resolution or goal-oriented motion as a meaningful device and Davies's transformational processes are so thorough and continuous that there are no large-scale repetitions to subvert forward progression. The two near-repeats of previous material – the two chorale sections and the reworking of bars 178-215 in bars 332-370 – can be perceived to give a subtle sense of recapitulation but not repetitiousness. Indeed, the reappearance of theme C in the second chorale section so alters the texture of the music with the superimposition of an increasing number of transformations that one hears this repeat as part of the progressive corruption of the theme. However, there are other techniques that do appear to have informed Davies's work.

The opening of Mahler's song displays several of the techniques of temporal manipulation that became important to Davies. Examining Ex. 4.4 one can see two strands of thematic development, beginning with the development of the opening turn motive in the oboe through gradual augmentation into the more lyrical violin theme beginning in bar 10, which the oboe takes up two bars later. However, just as this theme seems to coalesce it is disturbed by the chromatic flurry doubled by the flute in bar 15, which, marked to be played *veloce* by both instruments, destroys both the melodic and rhythmic identity of the theme and it is left to dissolve back into the turn figure from which it developed. Underneath this, the thirds in the horns that fill in the C minor harmony in the first few bars are slowly turned into the continuous falling thirds and sixths that accompany the oboe and violin melody, swapping antiphonally between horns and clarinets, but as the higher theme begins to dissolve this accompaniment figure also dissipates in the bassoon. This pattern of developing themes from fragments only to dissolve them is a common feature throughout the work. Adorno uses the word 'atomized' (Adorno 1992, 159) to describe this dissolution and the primacy that is given to colour through the fragmentation of themes and rhythmic ambiguity. As was seen in



the Third Symphony Mahler constructs this work as a parataxis of different sections, most of which rhythmically wind down, literally like a clock, with that prolific *morendo* marking, so that time is regularly stopped throughout the work. A good example of this sense of time coming to a halt is found in bars 385-393 (see Ex. 4.5). Here the initially rich texture is pared down and both the accompanying motives in the clarinets and bassoons and the oboe melody fragment and dissipate before the voice enters. There really is a sense of time slowing down as the fragments separate and time values are augmented – the bassoon and oboe figures in the last three bars of the example being a slowed down version of the oboe motive in the fourth bar of the example – before everything comes to a standstill on the fermata.

The opening section (Ex. 4.4) demonstrates another important device, which Hefling describes as the blurring of the local pulse. Despite the regular notes in the bass parts the oboe turn figure manages to displace the sense of a regular beat; in its third appearance the developing turn is played before the first beat of the bar rather than on it and the augmentation and expansion of the turn figure gives a sense of time being pulled out, especially when an extra beat is inserted in the ninth bar. Inversely, the *veloce* oboe and flute melisma contracts time just when a lyrical melody and a regular accompaniment pattern seems to be developing. The conflict between this rhythmic freedom and the regularity that the harp and lower strings attempt to establish makes for a queasy superimposition of temporal strata; rather like Sibelius's conflation of different rates of movement. This idea is developed in the very next section (Ex. 4.6), a recitative in which the voice has a rhythmically simple melody over a single held bass note from the 'cello. Over this is a very free, improvisatory flute obbligato, whose interruptions stretch the bar lengths (Mahler deletes all time signatures here but counting in crotchets the bar lengths of the first seven bars are 4-4-6-4-7-5-5) and then completely does away with bar lines (the last bar would have to be counted as 37/8) before dying away to nothing. Thus one is forced to assimilate complete

stillness in the bass-line with regular movement in the voice and utter rhythmic freedom in the flute, with the effect that one's ear simply abandons the attempt to find a regular temporal pattern in music that is at once fast, slow and entirely unmoving. As well as the speed of the music this technique manipulates the concept of the amount of musical content per bar. As Stephen Pruslin suggests, another way in which one perceives the passing of time in music is the amount of content that one must assimilate within certain units of time (Pruslin 1965, 5). Both the opening section and this recitative play with this: in the opening one must wait patiently for the thematic content to develop itself out of fragments, but at the very moment that the music settles into a pattern one is overloaded with too much content in the *veloce* melisma, whilst in the recitative there are three levels of content per bar that demand to be assimilated simultaneously.

Another fascinating technique is the novel use of ostinato, which in Mahler's hands is a far cry from the driving motor rhythms that were to be a central part of many of Stravinsky's works. Just like his 'atomization' of themes, Mahler often creates ostinato figures only to break them down, thus undermining any temporal regularity they might have helped to convey. In the first 'aria' section from bar 27 Mahler develops the ostinato that had tentatively suggested itself in the harp part in the last five bars of Ex. 4.4, but as soon as it comes to fruition it pulls itself apart through the superimposition of different temporal groupings and fragmentation (see Ex. 4.7). Elsewhere Mahler creates ostinatos that, whilst being relatively continuous, contain subtle irregularities that create a stilted and hesitant motion. The ostinato in Ex. 4.8 uses triplets alternating with duplets and tied triplets to give a limping effect as if the pulse of the music is constantly shifting, undermining the lyricism of the oboe melody above it. This device, intended to stop the ear from recognizing a regular rate of movement, is extended in the section beginning at bar 138 (see Ex. 4.9), in which many different beat subdivisions (dividing the minim beat into two, three, five, six and eight



beats), all thematically based on the fragments of the opening turn motive and the alternating notes of the previous ostinato, are superimposed, again counteracting the regularity of the vocal line.

The final section of the work is a concentrated expression of these devices: the complete atomization of the ostinato figure featured in Exx. 4.7 and 4.8 against the stillness of long, held notes along with the voice hanging on the supertonic and the flute and oboe on the submediant, questioning the finality of the last chord. Donald Mitchell neatly sums up Mahler's techniques of rhythmic ambiguity or 'beatlessness':

By beatlessness I mean Mahler's methodical variation and reorganization of the beats within the individual bar, within the metrical unit. This, coupled with his frequent erasure of the bar line, through ties and cross-rhythm, creates the effect of a pulse suspended, of a metre that is in a continuous state of change, even though (in principle and on paper) a regular beat contains the flux. (Mitchell 2002, 342)

The clearest parallels between 'Der Abschied' and *Revelation and Fall* are the opening and closing sections of the works. I have found no clearer model for the remarkable conclusion of *Revelation and Fall*, with its endlessly rotating pitched percussion figures, than the ending of Mahler's symphonic song cycle. It is satisfying, therefore, that the beginning of *Revelation and Fall* should also display a debt to Mahler's piece. Davies clearly had the intention of preventing any sense of regular pulse developing in this section; the first thing that strikes one from an examination of the passage (see Ex. 4.10) is the wide variety of bar lengths – almost every bar is given a different time signature – and through these expanding and contracting bars are scattered fragments of motives (based upon the trumpet's exposition of the transformation  $[A_0 \rightarrow AI_0]$ ), which often avoid the first beat of the bar, thus eradicating the downbeat. Like Mahler, Davies also superimposes several different beat subdivisions to further distort the placement of the beat; in the final bar of the example crotchet beats are divided into two and three quavers and four and six semiquavers and the third beat of bar 8 is simultaneously split into four, five and six semiquavers. Following the example of Mahler's

opening this passage finds its most regular pattern in its centre with the regular beats from the cymbal in the 9/4 bar that almost establish a regular pulse before the content of the bars increases in density and complexity, like Mahler's *veloce* melisma, and then abruptly stops at the end of bar 9.

The blurring of the local pulse, to use Hefling's term, is central to Davies's temporal manipulation and, in fact, is absolutely central to the experience of *Revelation and Fall*. Bar 244, that two-and-a-half minute rotation of extremely slow, non-synchronized units, is an excellent example of local pulse being entirely eradicated, but elsewhere in the work Davies builds on the superimposition of different subdivisions of the beat that was found in Mahler's work. The percussion parts of the interlude in bars 96-177 demonstrate this technique very clearly. Throughout the work Davies often uses percussion to undermine metrical regularity, perhaps playing on a listener's traditional reliance on this section of the orchestra to bolster the musical pulse. Taking each line separately the rhythms they contain are very simple, clearly defining the rhythmic stress of the primary and secondary voice to which they are attached (see Chapter One), yet their combination in a durational ration of 2:3, produces something unusual. Taking bars 131-135 as typical of this combination one can see the simplicity of each line – Ex. 4.11a is the cymbal rhythm attached to the primary voice and Ex. 4.11b is the woodblock figure attached to the secondary voice. Ex. 4.11c shows that if one takes one of the rhythms as fundamental the other becomes nonsensical, scattering this simple motive across the music and stripping away any sense of pulse. There is rarely enough regularity in Davies's music for him to experiment with uneven ostinatos, but from bar 10, interrupting the opening passage quoted in Ex.4.10, the trumpet has a sequence that has a very similar effect to Mahler's ostinatos (see Ex. 4.12). After the disjointed beginning to the piece one's ear does attach itself to the relative calm and regularity as the trumpet begins its



slow trill, but this reliance is soon thwarted when the ostinato figure accelerates and then fragments as it is parodied by exaggerated vibrato on the violins.

In bars 49-59 (see Ex. 4.13) Davies creates a texture that is extremely similar to Mahler's recitatives in 'Der Abschied', similarly conflating still, or very slowly-moving music in accompanying string chords, with which the woodwind join later, with moderate movement in the voice (though more elaborate than Mahler's vocal line, one still perceives this temporally as a middle ground) and a very fast improvisatory obbligato solo line, here in the violin. Just like Mahler's recitatives Davies demands that the listener assimilate different rates of movement and different amounts of musical content, with the result that it is quite impossible to decide what the basic unit of time, or temporal perception, should be. Davies also employs this technique in his use of the very fast melismas that were frequently mentioned in Chapter One, as decorating the principal transformation of a whole section with subunits of that process played as quickly as possible. As in Mahler's example the obbligato line accumulates content to the extent that it bursts out of its mensural boundaries with a hemi-demi-semiquaver figure in bar 65 that Davies instructs should be repeated as fast as possible as it dies away leaving only the voice and long *pianississimo* notes on the oboe and trumpet.

There are many examples throughout the piece of Davies finishing the sections of the work into which the analysis in Chapter One divided it with a Mahlerian sense of time slowing down or the atomization of material. Just before the first long instrumental interlude Davies has the voice and percussion fading to nothing. The slow downward glissando in the voice seems to represent total resignation, whilst the gradually augmenting percussion beats gives the effect of the clock winding down, of which Mahler was so fond, with the decrescendo to almost inaudible dynamic levels emphasizing this enervating sense of time grinding to a halt (Ex. 4.14). The passage that makes use of transpositional sets, bars 230-

243, employs an atomization of thematic material similar to that noted in 'Der Abschied'. After quite a full texture, shown in Ex. 1.13, the instrumental parts begin to thin out texturally and fade out dynamically leaving the voice to sing an unaccompanied *pppp* sustained high Ab (Ex. 4.15). There is exactly the same sense of thematic material fragmenting and dissipating as was seen Mahler's passage in Ex. 4.5. Even when the thematic content remains consistent at the end of a section, Davies can give a feeling of the music breaking down by dissipating the texture. The section that follows the second chorale, in which the singer shouts most of the text through a megaphone, finishes in this way. Ex. 4.16 shows that as the voice descends throughout its range, in a similar gesture to the vocal glissando in Ex. 4.14, despite the pitches and rhythms being dictated in this instance, the violins reach up to the top of their register, thus the connection between the vocal and instrumental lines, which had been imitatively related throughout the previous sixteen bars, is broken as the lines diverge and disappear. Davies often uses this technique for dramatic effect, such moments of thematic or textural dissipation often precede loud gestures that are all the more dramatic for this extreme contrast, but it also fractures a sense of forward propulsion being built from continual development. The instrumental interludes in the work provide the only passages of continual movement and a gathering of musical momentum but, as we have seen, Davies uses different techniques to undermine a strong rhythmic drive within those sections.

Whenever Davies does not adopt either the atomization of his themes or textures or Mahler's *morendo* winding down of the clock to move from one section to the next, he tends to adopt Messiaen's technique of changing abruptly between these passages so as to emphasize their discrepancy, in accordance with Stockhausen's idea of Moment Form, as will be discussed in the next section.



### 4.3 Colour and the Musical Moment

With the weakening of motion or forward propulsion in the music by means of the techniques discussed above, along with the abrupt abutting of the work's many different sections, one is tempted to experience *Revelation and Fall* as a sequence of isolated moments that have little to do with those around them, especially when thematic interplay is so buried in complex transformations. This approach emphasizes the consideration of colour and texture. Schoenberg had already established a new importance for colour in the works of his so-called atonal period. His Five Orchestral Pieces, Op. 16, are remarkable for the varied orchestral colours created throughout – as Charles Rosen writes:

Each phrase can be given an entirely new instrumental colour, and is consequently characterized less by its harmonic content than by the instrumental combination that embodies it. The emancipation of tone colour was as significant and as characteristic of the first decades of the twentieth century as the emancipation of dissonance. Tone colour was released from its complete subordination to pitch in musical structure: until this point *what* note was played had been far more important than the instrumental colour or the dynamics with which it was played. (Rosen 1996, 48)

It is interesting that, as noted in Chapter One, a great deal of serial analysis returns to the idea that pitch and duration are the only significant elements of music, instrumental colour and dynamics often being overlooked, unless they can be shown to be controlled by the same serial principles. Schoenberg coined the term '*Klangfarbenmelodie*' in 1911 at the end of his *Harmonielehre*, suggesting that tone colours could become as structurally important as themes, creating 'progressions whose relations with one another work with a kind of logic entirely equivalent to that logic which satisfies us in the melody of pitches' (quoted in Dahlhaus 1987, 141). Intriguingly, Schoenberg goes on to write that it takes a different kind of listening to fully appreciate this element of music, an idea that will be developed further later in this chapter: 'Tone-colour melodies! How acute the senses that would be able to

perceive them! How highly developed the spirit that can find pleasure in such subtle things! In such a domain, who dares ask for theory!’ (quoted in Dahlhaus 1987, 142).

The third of these pieces, which Schoenberg rather reluctantly called ‘*Farben*’ (Chord Colours) – the titles of all the pieces being added on the insistence of his publisher – demonstrates this principle admirably. As Dahlhaus argues, this piece does not eradicate melody in favour of colour, but achieves a new balance between the two elements (Dahlhaus 1987, 142), and Luigi Rognoni writes, ‘for the first time, timbre is presented as the conditioning essence of the composer’s musical “vision”’ (Rognoni 1977, 20-21). The piece is arhythmic and athematic, with short motives strewn sporadically over a wash of harmonic colour, changing at a glacial pace, demonstrating how the removal of musical pulse concentrates the ear on musical colour. The same harmonies frequently shift, almost imperceptibly, between different instruments. Schoenberg writes in the score: ‘The succession of chords must take place so inadvertently that the entrance of the various instruments may in no way be heard, and the change detected only by the shift in instrumental colour’ (Schoenberg 1922, 31).

Whilst these short pieces allowed Schoenberg to experiment with localized colouristic effects, his next major work, *Erwartung* (1909), was to establish this *Klangfarbenmelodie* as a more structural device. Webern acknowledged the importance of the work in a 1912 article:

The score of this monodrama is an unheard-of event. In it, all traditional form is broken with; something new always follows according to the rapid change of expression. The same is true of the instrumentation: an uninterrupted succession of sounds never heard before. There is no measure of this score which fails to show a completely new sound picture... and so this music flows onward... giving expression to the most hidden and slightest impulses of the emotions. (Quoted in Crawford and Crawford 1993, 80)

Rosen suggests that with *Erwartung* ‘Schoenberg did away with all the traditional means in which music was supposed to make itself intelligible: repetition of themes, integrity and



discursive transformations of clearly recognizable motifs, harmonic structure based on a framework of tonality' (Rosen 1996, 39). Although there are certain recurrences of short motives – A-Bb-A and D-F-C# particularly – there is insufficient continuity in the development or presentation of these figures to prove them as significant structural devices. The most consistent musical feature of this work is harmonic, not thematic. There is a pervasive use of the three-note chord built from a perfect fourth above an augmented fourth, spanning a major seventh. Two of these chords with different roots are often stacked (there are many versions of this in first few bars alone) or combined with augmented triads to create a rich and memorable sonority. This could be a way of emphasizing the vertical over the horizontal in music, claiming a new primacy for harmonic colour over horizontally developing themes or contrapuntal writing. Timbre is also given a new structural significance, particularly as connected to features of the text: symbols such as 'night' and 'the moon' are associated with specific sounds: 'the moon' or 'moonlight' with an eerie combination of harp and celesta, and 'night' with a low ostinato alternating between two notes or chords, often built from minor thirds, in the low wind instruments. Schoenberg uses ostinato to elongate a particular sonority; as Rosen writes, 'An *ostinato* creates small-scale motion, but since it remains unchanged, it prevents any large harmonic movement' (Rosen 1996, 47). What this dependence on tone colour and non-functional harmony creates is a sense of the work being constructed from discrete blocks: '*Erwartung* may be described as a series of miniatures, each little section characterized by its own motif and an idiosyncratic texture, even by its own orchestra as the groups of instruments change from section to section' (Rosen 1996, 56).

This apparent discontinuity between contrasting blocks of music became increasingly important throughout the twentieth century. Jonathan Kramer suggests that discontinuity is 'a profound musical experience' because 'the unexpected is more striking, more meaningful,

than the expected because it contains more information' (Kramer 1978, 177). Rather than the kind of discontinuity in tonal music that simply subverted linear harmonic or thematic expectations, Kramer suggests that a goal of post-tonal composers was to create such discontinuity that motion is effectively ceased and linear development eradicated, thus resolving a contradiction inherent in strictly linear music: 'The conflict is not in the music; the conflict is between how the music uses time and how a contemporary listener understands time' (Kramer 1978, 178). Kramer borrows Stockhausen's term 'moment form' to describe music that 'consists of a succession of self-contained sections that do not relate to each other in any functionally implicative manner' (Kramer 1978, 179). Stockhausen considers the expansion of the vertical moment that calls for a new form of listening when he writes about moment-form: 'The concentration on the present moment – on every present moment – can make a vertical cut, as it were, across horizontal time perception, extending out to a timelessness I call eternity [...] an eternity that is present in every moment' (quoted in Kramer 1978, 179). Kramer elaborates upon this: 'A proper moment form will give the impression of starting in the midst of previously unheard music, and it will break off without reaching any structural cadence, as if the music goes on, inaudibly, in some other space or time after the close of the performance' (Kramer 1978, 180). One piece of Stockhausen that employs this device to great effect is *Kontakte* (1959-60) for electronic sounds, pianist and percussionist. Stockhausen notates this graphically by setting out a sequence of predetermined periods of time within which certain events must occur (Stockhausen 1968). There is no sense of development from these periods; just as some extended periods seem to be gathering a sense of momentum, this is undercut by the next period, in which very little may happen. Having abandoned any sense of an accumulation of material, or forward-directed development one is left to experience only that series of present moments that Stockhausen discusses. In this work Stockhausen is playing with the very act of perception;



he writes: 'the ranges of perception are ranges of times, and the time is subdivided by us, by the construction of our bodies and by our organs of perception' (quoted in Maconie 2005, 209).

Kramer also asserts that it is not necessary for internal movement to be completely obliterated, as in some extreme minimalist works by composers such as La Monte Young (his *Composition 1960 Number 7* requires that electronically produced tones of B and F# be held 'for a long time'), but notes that greater contrasts between sections will assist the perception of the eradication of motion:

The threshold of staticism depends on context: if there are large contrasts between sections, a higher degree of internal motion will not disturb the perceived staticism as it would in situations where the contrasts between sections are small. This threshold ultimately depends on the rate of flow of information. In a given context a certain amount of new information per unit time creates a static sensation, while more information produces motion. (Kramer 1978, 183)

Indeed, in *Kontakte* there are no moments that one would consider 'static' in the sense that nothing is happening, but it is the lack of antecedent and consequence to each period and the contrast between them that confers the sense of staticism. Kramer goes on to state that the juxtaposition of tonal with non-tonal music in the works of Ives, Bolcom and Davies himself creates an interesting temporal effect: 'The result is that the tonal sections are rendered static by contrast with the various non-tonal surroundings. Tonality is robbed of its inherent kineticism, but it retains its associations, so that we experience a moment of history frozen in the midst of a contemporary sound world' (Kramer 1978, 184).

The composer that Kramer claimed to be most influential on the development of moment form by later composers was Olivier Messiaen; indeed Davies himself acknowledged the importance of this composer: 'When I was fourteen or fifteen Bartók, Schoenberg and Stravinsky were the really important people. Later on Messiaen became very important' (quoted in Griffiths 1982, 104). It is therefore worth looking in more detail at how

Messiaen achieved these effects. Messiaen's rhythmic structures display an interesting relationship to those of Stravinsky. Messiaen and Stravinsky both build rhythmic patterns from small units that are manipulated not through traditional augmentation or diminution, which act upon a whole rhythmic pattern, but through the addition or subtraction of tiny adjustments – a dot or any other shorter beat tied to a longer one, or an interpolated rest etc. – which constantly change the length of these rhythmic units. In Messiaen's case these adjustments are often applied according to the rhythmic patterns of classical Greek and also the arrangements of long and short beats in the 120 *deśītālas* (rhythmic patterns) found in Indian *rāgs* (Simundža 1988, 54). The effect that this has upon the experience of the music of these two composers is very different. Stravinsky attaches the metrical impulse of the music to these changes so that a listener feels the rhythmic changes as driving syncopations, which propel the music forward with great energy. The opening of *Les Noces* (1922-23) demonstrates this well: the first few bars of the piece alternate unevenly between 3/8 and 2/8 so that this restlessness is established from the very start. When the time signature appears to settle into 6/8 at bar 24, Stravinsky places his heavily accented notes seemingly indiscriminately on the first, fifth or sixth quaver of the bar, by contracting or expanding the basic rhythmic unit; but, crucially, one perceives this as thrusting syncopation rather than a weakening of the metre. To add further propulsion to the rhythm he throws in occasional 5/8 bars, making the music nervously skip a heartbeat. Even in a work such as the *Symphonies of Wind Instruments* (1920, revised 1947), which Jonathan Kramer claims to be the first example of moment form because of its construction from discrete blocks of very different rhythmic identity, one is always conscious of how syncopation conflicts with a sense of forward movement. This could be said to even strengthen the propulsive motion of the music, rather than eradicate it.



With Stravinsky one senses the conflict between his metrical systems and the placement of the rhythmic units within it, but through gradual transformation Messiaen's rhythmic units seem to detach themselves completely from a metrical scheme, regular or irregular, thus undermining any sense of forward movement. One of the fundamental features of music that separates it from other art-forms – its unfolding in time according to a prearranged scheme – seems to be eroded by the negation of metre. In order to further erode this feeling of motion Messiaen often chooses extremely slow tempi; as Griffiths writes, 'in these extreme adagios the possibility of eternity becomes actually present in the music' (Griffiths 1985a, 15). This demands a new kind of perception from its listeners. When one's attachment to metrical and hypermetrical factors (rhythmic arrangements of larger periods of music) is destabilized, a new kind of space is opened up in the music. Through this technique the importance Schoenberg gave to non-functional harmonic colour and timbre is expanded, just as Kramer describes the single moment being expanded in time. Thus Messiaen was able to experiment with his synaesthetic perception of music as colours, which spread out as static images through this space. Messiaen's *Couleurs de la Cité Céleste* (1963), composed only two years before Davies began *Revelation and Fall*, demonstrates these features very clearly. As the title suggests colours are of paramount importance to this work; Messiaen begins his introduction to the score, 'The form of the work depends entirely on colours. The melodic and rhythmic themes, the complexes of sounds and timbres evolve in the manner of colours' (Messiaen 1966, ix). The construction of the score from discrete blocks also adds to the alteration in temporal perception, 'The work does not end, having never really begun: it turns on itself, interlacing its temporal blocks, like the rose-window of a cathedral with its vivid colours' (Messiaen 1966, ix). The image of the rose-window is a very powerful one; a Christian *mandala*, in which the colours are arranged from the centre outwards in an eternal

circle, having no beginning or end and creating infinite interplay between static blocks of colour. Robert Sherlaw Johnson adds:

He arrives at a position which is analogous to Eastern music because of his attitude to harmony as a static element. A sense of time, marked by an evolving texture, is fundamental to Bach and Beethoven, but it has always been Messiaen's aim to suspend the sense of time in music [...] in order to express the idea of the "eternal" – in which time does not exist – as distinct from the temporal. (Quoted in Kramer 1978, 190)

Messiaen draws on a wide range of sources to create the material for the blocks of sound that form this work – sixteen different varieties of birdsong and four alleluias from different times in the Church calendar, arranged rhythmically according to certain Hindu formulae and Greek metres. The footnotes that Messiaen strews throughout this piece are remarkable – either clearly defining a particular sonority that he desired, or very frequently stating the precise colour, or colour combination that he was painting. This is not the place for a taxonomy of these colours, but it is important to note the effect this concept has on how the work demands to be perceived and experienced.

The passage shown in Ex. 4.17 demonstrates these features clearly. It is a discrete block of music separated from the music around it by an abrupt tempo change – a *Très lent* section in between two passages marked *Un peu vif* – as well as a change in the dynamic level – both surrounding passages being substantially louder than this section – supporting Kramer's idea that the starker the contrast between abutting sections, the more the internal movement within those sections is reduced. The structure of this passage is defined by the three colour groups that Messiaen marks in the score. The first colour group is created by a repeated three-note cell (indicated by brackets at the bottom of the example), with rhythmic displacement, the second by one chord alone, separated from the rest by commas, and the third is characterized by movement toward a single sustained harmony. One can see how any sense of regular rhythmic patterns or pulse is eradicated both by the extremely slow tempo



and the use of complex dotted and tied beats. Although the underlying metre is stable, a regular 4/16 changing to 2/16 only in the last bar, the music seems to entirely ignore this pattern, purposely negating it. This creates the conditions whereby Johnson's description of 'harmony as a static element' comes in to play. Ex. 4.18 shows how Messiaen creates crystalline fragments of sound even within these blocks of music through extreme discontinuity of tempo and dynamic and judicious use of silence. This short piano solo is based on the song of the stournelle, a small, lark-like bird from Canada, separated into three motivic cells. These cells are not organically woven into a texture but are separate entities, each a single moment, bearing its own colour, reflecting differently upon each other according to their various transformations and juxtapositions. It is revealing that time signatures are omitted from Messiaen's score in this passage; such bar-by-bar shifts between bar lengths of 5/16, 11/32, 2/16 and 15/32 are entirely meaningless in the creation of any metrical identity, in addition to the fact that most bars and cells are given their own tempo marking, further emphasizing the level of discontinuity that Kramer suggests eradicates musical motion.

It is very interesting that in two of Davies's most recent interviews – the 2006 interview given for the record label Naxos's audio portrait of the composer, and the one he gave at the Wigmore Hall before the premiere of his Naxos String Quartet No. 10 in October 2007 – he talked about the importance of seeing and hearing the musical moment from within. He said in the Naxos interview that even when studying with Petrassi in the late 1950s he was more interested in a modal rather than harmonic system and was conscious of using partials of sound that expanded from a single sonority rather than purely the single notes of a tone row. He mentioned in both interviews how, since moving to the Orkneys, he projects the music on which he is currently working onto the landscape, allowing him to walk through each texture, or transformational system, as if it were frozen around him, and

emphasized the importance of being inside the music listening both upwards and downwards from one vantage point. Thus, he claimed, even walking his dog becomes a crucial part of the compositional process. In an interview with Griffiths Davies said of his pieces of the 1970s:

The harmonic aspect of all these pieces becomes much clearer when the listener becomes aware that he's not got to listen to them in terms of a bass, but that there is often a tenor, as in medieval and some renaissance music, with parts built above and below that, working at specific basic intervals which are referred to again and again. This tenor moves up and down in the orchestra and can be at any pitch level, and once you realise that, it's like opening a door, because if you try to get into the work at the bottom, in the bass, you find the door shut: it won't make any sense, and you'll just have this great wedge of monolithic structure which is incomprehensible. But if you go with your ear to the main part, through the orchestra, and listen in relation to that, you get a great deal more out of it – not only the sense of structure but also the harmonic procedures which take you from point to point in that structure, which make clear the flow of the tenor from instrument to instrument. It's rather like a lot of early music which was not made to be listened to by an audience: the listener was the person performing a part. Obviously my music is intended to be listened to, but you have to get inside it in the same way, going in and becoming at one point the equivalent of the alto and then the treble and then a bass, so that you are moving around inside the musical space rather than appreciating it from outside. (Quoted in Griffiths 1982, 122-123)

Davies's frequent use of a cantus firmus in many works of this time, and most consistently in *Revelation and Fall*, just like its use in medieval music, provides a stable platform upon which a listener can place themselves in order to hear what is going on around it. Thus, one is led directly into the music, at different points within the texture (as was shown in Chapter Three), sometimes at the top, sometimes at the bottom depending upon the position of the cantus firmus or the tenor line as Davies says above. An intriguing footnote in the score of *Couleurs de la Cité Celeste* asks that the ensemble must create both height and depth, '*hauteur, profondeur*' (Messiaen 1966, 25), which opens up the kind of vertical space, here between high clarinets and low trombones, that Davies refers to in his interviews – being able to look upwards and downwards from inside the music, rather than always forwards. Because



Davies's music is contrapuntally so complex, one feels compelled to follow these lines aurally; submerging oneself in a series of moments by listening vertically to a work like *Revelation and Fall* gives quite a different perception of the music.

In the interlude in bars 96-177 the cantus firmus resides almost exclusively at the very top of the texture in the piccolo and harmonics from the violins and viola that double the principal voice, creating a queasily vertiginous sensation of looking down at the intricate textures of melismas and offbeats created by the lower instruments, but in other passages it moves throughout the texture. In bars 332-370, the variant of bars 178-215, Davies adds accompanying lines of cantus firmus to the slow viola line that holds the transformation  $[A_6 \rightarrow BI_0]:1,R2,3$ . The violin 2 joins the viola first before the violin 1, clarinet, horn and 'cello enter with more cantus firmus lines as the trombone begins its cantus firmus based on the *Gloria Tibi Trinitas* plainsong from bar 348, to which the bassoon is soon added. Although this cantus firmus line is itself rhythmically unstable, being subjected to the same frequent time signature changes and complex dotted and tied note-lengths that Messiaen creates, there is, nevertheless, a sense of accumulating strength and solidity as the ear perceives an increasing number of resting points. One could argue that this is what gives the passage its recapitulatory sense, when it is very difficult for the ear to pick up the return of transformational processes.

As has been shown in previous chapter, Davies's *Seven In Nomine* and Second Taverner Fantasia can be seen to be test pieces for the final fruition of a new language in *Revelation and Fall*. The fourth of Davies's modern arrangements in his *Seven In Nomine*, which concludes the work, is important not contrapuntally, but harmonically as a conflation of previous thematic development into one chord. Davies described this movement as 'a short recitative, summing up the harmonic implications [of his previous three In Nomine]' (quoted in Griffiths 1982, 140). Under a transformation of the plainsong in the clarinet the other

instruments highlight certain important notes, gradually forming intervals of whole tones and thirds, which eventually coalesce in the final *pianississimo* bar as the whole-tone Death Chord from the opera *Taverner*, as will be discussed in the next chapter (Ex. 4.19). Similarly the end of the first movement of the Second Taverner Fantasia crystallizes the preceding music into three chords – again compressing time into a simultaneity – a single musical moment. In that prolonged, seemingly timeless, bar 244 of *Revelation and Fall* bar lines are utterly redundant, more so even than in Messiaen's piano solo in Ex. 4.18. The two violins and viola are given units of music containing extremely long, high, *pianississimo* notes, which are marked to coincide at certain places although each player is free to play each unit at any speed as long as it is never faster than crotchet = 44. Notation is proportional only 'within each individual part within each individual measure' (Davies 1971, 51). The purpose of this passage is to create a frozen moment of unnerving stillness, expanding from the word 'Nacht' (see Ex. 4.15). Each instrument is supposed to play just at the very edge of perceptible sound, in order that the listener has to use every ounce of auditory sense to hear it. With every one of the audience's nerves exposed Davies now performs something of a *coup de théâtre*; over that Death Chord in the woodwind, a railway guard's whistle, large ratchet and bass drum, all playing *fff*, the singer screams through a megaphone – the extreme discontinuity between these sections reinforcing the static nature of bar 244. As well as emulating the effect of the final section of 'Der Abschied' the never-ending reiterations of the percussion figures at the end of the work create a similarly static harmonic texture that, being based on the termini of important transformational processes of the 'first subject' of the work (themes A and B), seems to crystallize those themes into an extended moment, the endless repetitions removing any sense of forward progression.

Perhaps the only passages that have a regular rhythmic pattern and a clear pulse are the two chorale sections, but even here Kramer's concept of discontinuity can be applied.



These chorales are excellent examples of what Kramer calls ‘a moment of history frozen in the midst of a contemporary sound world’ in that they refer not only to a lost tonality but a very specific musical/historical style and genre, or indeed a conflation of several – the Bach chorale harmonized with medieval-sounding parallel organum, plus serial transformations of the chorale theme played simultaneously. At other moments Davies employs the idea that extreme contrasts of style generate a sense of staticism to create short sound pictures that illustrate the text almost like a musical snapshot. A particularly striking one occurs in bar 229 on the words, ‘*darüber schreiend die Ratte huscht*’ (where the screeching rat rushes) (Ex. 4.20). This *Allegro* bar, dropped into the middle of a very slow passage, produces a single, clear image of the movement of the rat. In performance one could even see this movement in the bows of the double bass, ‘cello and violin as if the rat were racing faster and faster across the concert platform. This effect is only achieved because it is so discontinuous from its context, making it impossible to perceive it as anything but an isolated picture. The fact that the vocal line is a retrograde inversion of theme B seems of little relevance to its meaning, it only emphasizes how important it was to Davies that he maintained thematic control even in illustrative gestures like this.

A good example of Davies adapting Messiaen’s use of very slow tempi to eradicate forward propulsion is the section in bars 216-222, which is the first clear statement of theme D in a cantus firmus from the piccolo. This is accompanied by long notes from the oboe, clarinet and trumpet built from the inversion of theme D and the sixth subunit of  $[D_0 \rightarrow DI_0]$  (Ex. 4.21). A fermata is placed over every long note and rest in each part and this passage is to be played ‘*le fermate lunghissime*’, removing any sense of pulse – the duration of each note being entirely at the discretion of the conductor or the players. Every note is also to be played as loudly as possible, creating an ear-splitting, brittle texture. Like Messiaen’s emphasis of the discontinuity of the passage of *Couleurs de la Cité Celeste* shown in Ex. 4.17

by the extreme changes in tempo and dynamics between this passage and those either side of it, Davies allows the previous section to die away to nothing and then begins the subsequent section with *pianissimo* notes in the 'cello and double bass that completely contrast with the shrieking wind instruments. As Kramer suggests, this adds to the perception of this section as a frozen moment, standing outside the development of the work.

This last point suggests a fundamental dichotomy within this work – that, like Howell's description of Sibelius's music, it is a complex mix of Kramer's concepts of linearity and nonlinearity. Kramer defines linearity as 'the temporal continuum created by a succession of events in which earlier events imply later ones and later ones are consequences of earlier ones' and nonlinearity as 'the temporal continuum that results from principles permanently governing a section or piece'. Linearity is therefore 'processive' and nonlinearity 'nonprocessive' (Kramer 1988, 20). Each section of *Revelation and Fall* analyzed in Chapter One corresponds to Kramer's definition of a moment: 'If a moment is defined by a process, that process must reach its goal and must be completed within the confines of the moment' (Kramer 1988, 50). Although the same transformational process may appear in several sections, Davies never continues a transformation from one section to the next, and he emphasizes the discontinuity of these moments by the devices of abrupt changes in colour and tempo as described above. This means that one perceives the work as being nonlinearly constructed as it progresses from section to section. However, as we found in Chapter Two there are so many formal links between the sections – indeed several strata of structural connections – that one must view the whole work as possessing a linear construction. As Kramer writes: 'If, on the other hand, a section leads to another section, whether adjacent to it or not, then it is neither self-contained nor in moment time. It is linked by linear means with at least one other section' (Kramer 1988, 50). This combination of linearity with nonlinearity requires different kinds of listening within the same work. The



linearity requires what Kramer calls ‘backward and forward listening’; he explains, ‘We hear a later event clarifying an earlier one and an earlier event implying a later one’ (Kramer 1988, 168). The clearest example of this in *Revelation and Fall* is the treatment of the Chorale theme. Although the chorale sections stand out of the musical fabric as ahistorical and therefore atemporal and therefore discontinuous, we can perceive a development from one to the next. In the second chorale section, the listener is required to remember back to the first in order to understand how it has been corrupted by the addition of more transformations of the theme and the sentimental version in the trumpet. This may then lead the listener to think forwards to how this theme is going to be further corrupted, an expectation that is met with the duet in thirds in the amplified violins. We have also noted many instances where the listener must abandon this linear listening and surrender to the extended vertical moment, like the screaming wind instruments of bars 216-222 and the endlessly repeating tuned percussion cells that complete the work. The real effect of this complex dichotomy between linear and nonlinear construction and vertical and backwards and forwards listening will only really become clear when the last element of the work, which is entirely absent from Roberts’s analysis, is introduced in the next chapter – the text. There is still another influence on the temporal aspect of the music that lends quite a different perspective on how some parts of the music unfold and perhaps how they are to be perceived, that is the Indian *rāg*.

#### 4.4 Temporal Manipulation and Improvisation in Indian Rāg Music

Indian *rāg* music, and in particular the Hindustani (i.e. North Indian) classical tradition, was a great fascination for Davies from his early student days, to the extent that his undergraduate dissertation *An Introduction to Indian Music*, completed in 1956 at the University of Manchester, concentrated entirely upon this genre. The debt of this work to Alain Daniélou’s *The Rāgas of Northern Indian Music* must be mentioned, since parts of Daniélou’s work are

now considered to be controversial by some ethnomusicologists, particularly in the area of microtonal intervals. When discussing the influence of Indian music on Davies's work, therefore, one must be careful to note that one is dealing with Davies's concept of *rāg* through the filter of Daniélou. Much of Davies's dissertation merely paraphrases Daniélou, but Davies is more detailed than his predecessor in his analyses of various sections of *rāgs*. If one compares Davies's dissertation with modern research in this area, particularly the work of ethnomusicologists such as Martin Clayton, Gerry Farrell and Neil Sorrell (see Clayton 2000, Farrell 1997 and Sorrell and Narayan 1980), there are a lot of discrepancies because a great deal of research has been done – extensive field work particularly – since Davies's student days and he was only exposed to the writings of Daniélou and Fox Strangways, a few recordings and limited experience of live performance and Messiaen's adaptation of certain Indian techniques, as catalogued in his treatise *Technique de mon langage musical*, which Davies dismissed as being inauthentic (Jones 2009, 32). As we shall see in his analyses Davies applies techniques like inversions and retrogrades that have absolutely no meaning in the Indian system of thematic modification; nevertheless one must take this dissertation as the source of the influence rather than more accurate modern studies, because the influence is based entirely upon what Davies understood *rāg* to be, inaccuracies and all. One such analysis, that of the *ālāp* of *rāg Bihāg*, shown in Ex. 4.22, demonstrates Davies's understanding of the main structural elements of the genre.

The *ālāp* is the slow, introductory part of the *rāg*, which introduces the mode and characteristic phrases of the *rāg*, played or sung by the soloist unaccompanied by the percussion instrument, often the *tablā*, and therefore having no fixed metre. It is not strictly expositional in that the full themes of the *rāg* are not always introduced here; Davies describes it as 'a sort of curtain raiser, serving the dual purpose of warming the soloists to the mood of the *rāg*, and settling the audience' (Davies 1956, Vol. I, Part II, 15). Davies points



out in this analysis how, after establishing the tonic, the melody of the first section of this *ālāp* expands the tetrachord below the tonic, exploring the soloist's lower range, and introduces a short motive F-G-B, which Davies calls the 'germ' idea, and also in section I, a refrain that reappears throughout the *ālāp*. The intervals of a second followed by a third in Davies's 'germ' idea (hereafter called the 2-3 motive) become important later in the *ālāp*. Sections II and IV, separated by a truncated version of the refrain in section III, develop the 2-3 motive to create three arcs of upward movement in each section which gradually open the tetrachord above the tonic. After the next refrain in section V, three more arcs, again built on the expansion of the 2-3 motive reach to the leading note before the upper tonic is finally reached in section VII after the 2-3 motive is strikingly stretched into 2-7. A rendition of the refrain in the higher octave leads to the final descent in section IX ending with what Davies calls an inversion of the 2-3 motive, which also echoes the C-B movement from the opening of the *ālāp* (Davies 1956, Vol. I, Part II, 21-23). The fact that Davies saw motive inversion here (and, as we shall see, replicates it in his own work), despite it not being part of Indian melodic development, highlights the Western bias of many of Davies's observations. Davies seems to be most impressed with the structured unfolding of the range of the *rāg* and the intricacy of the cellular development of both the 2-3 motive and the refrain, which not only defines structural units but also, by its gradual contraction, creates a sense of acceleration despite the unmetered nature of the *ālāp*. Davies sums up the dichotomy between improvisation and structure in reference to this *ālāp*, writing:

This melody is in certain respects quite remarkable. It gives an impression of very free construction, of being composed as it unfolds. Despite this, it follows laws of construction which give it perfect balance, with no note out of place, and the way in which it builds up a powerful climax is perhaps surprising to us, both in its effectiveness and its extreme simplicity. (Davies 1956, Vol. I, Part II, 24)

This gets to the heart of the issue of improvisation in *rāg*. As part of their training Indian musicians are required to learn characteristic phrases for each *rāg* and also *bandishes*, pre-

composed pieces that are part of the performance of the *rāg*. Although there are freedoms within *rāg* performance, the overall scheme, as well as the selected *rāg* (mode) and *tāl* (metric cycle), will have been carefully arranged, and any performance is more a conflation of practised, premeditated sequences than free improvisation (Sorrell and Narayan 1980, 113). Nevertheless, the perceived spontaneity, the unfolding of ideas that Davies mentions, is an important element that he applied to his own music.

The melodic line shown in Ex. 4.22 is not the only musical sound to be heard in this *ālāp*; the ever-present tonic drone, usually played by a long-necked lute called a *tānpūrā*, is also a crucial factor. Daniélou writes of the importance of this drone: ‘Indian music, like all truly modal music, is built on the independent relationship of each note to the tonic. The relationship to the tonic determines the meaning of any given sound’ (Daniélou 1968, 23). It should be made clear, however, that this connection to a tonic note does not imply the same kind of tonal relationship to this pitch as in Western music, in the sense of the *rāg* being ‘in the key’ of that tonic note. In a recent interview with Nicholas Jones Davies confirmed his interest in the intervallic relationship of notes to a tonic, without there being an implied tonality and makes an important comparison of Indian music with plainsong. He said:

When I got to Rome [in 1957] I heard the Greek equivalent of plainsong at the Grottaferrata Monastery near Rome, where you really did feel as though they were “pulling out” the intervals, and every interval was set against the tonic – which didn’t always sound – and you listened to it so carefully over that long period. And it was *stretched out* and you really had to understand the relationship of every note to that tonic. And I thought: Yes, I learnt about that in my study of Indian music, but this brings it to absolute crystal clarity. And it’s something that I hope is there in the choral music or whatever that I wrote after that. (Quoted in Jones 2010, 19)

This vertical distance from the perceived tonic to the note being played or sung creates what Richard Crocker, in his study of Gregorian Chant, calls the ‘tonal space’, which is expanded as the range, or to use the word often applied to plainsong, the ‘ambitus’ is increased. Just as



Daniélou states that the relationship to the tonic determines the meaning of a given sound, so Crocker suggests that the ‘tonal space is a principal source of the musical meaning [in] Gregorian chant’ (Crocker 2000, 23). Crocker points out that especially in the reverberant cathedral acoustic in which chants would originally have been heard the overtones of a single note would have been quite audible and that doubling a melody at the octave, a common practice in Gregorian chant, reinforces the first overtone and creates a richer substratum of harmonics (Crocker 2000, 27). This substratum of sound is also crucial to Indian music. Sandeep Bagchee rails against accusations that the drone is monotonous, he writes that ‘there is not just a single note being played, but at least two, that result in other notes as well as a sound rich in harmonics and overtones’ (Bagchee 1998, 26). Clayton describes the development of this substratum thus:

*Rāg* performances often begin slowly, with the first few phrases doing little more than establishing and emphasizing the principal drone note [perceived as the tonic] Sa. But the drone itself has, by this point, already become thoroughly fixed in the listener’s mind, since it has sounded throughout the tuning process – not just the Sa, and one or two other important pitches such as (the fifth) Pa and (the leading note) Ni, but a dense cloud of harmonics produced by the *tānpūrās* which seems to envelop performers and audience alike. (Clayton 2000, 1-2)

My transcription of a plagal plainsong (Ex. 4.23), a setting of Psalm 6, used as the offertory for Mass on the Sunday within the Octave of Corpus Christi, shows a similar opening of tonal space against this substratum of sound that was found in the previous *ālāp*. Again the tonic is thoroughly established before the melody stretches the range firstly to a third above and below the tonic. In the second section (marked I) the falling F-D movement from the first section is expanded to reach the lower C opening the ambitus by another note below the tonic. In the soloistic section that follows (section II) the tonal space is expanded to the high C, a fifth above the tonic, through the sharpened fourth of the Lydian mode, and then moves freely though the entire ambitus of the chant – this expansion of the range to the fifth

above and fourth below the tonic being the identifying feature of a plagal plainsong. A repeat of section I narrows the scale of movement, closing the tonal space back down to the tonic. This gradual development of a substratum of sound, as harmonics build from the frequently repeated tonic, followed by the unfurling of the tonal space, gives both Indian music and plainsong the impression of growing from nothing. This corresponds to what Daniélou suggests is the philosophical basis of Indian music – that there are two types of sound, one a vibration of ether called *anāhata* or ‘unstruck’ sound, which cannot be perceived but is thought to be the ‘principle of all manifestation, the basis of all substance’ and the other *āhata* or ‘struck’ sound, which is an impermanent image of this ether vibration (Daniélou 1968, 21). Because audible sounds are thought to be the perceptible representation of the basic laws of the universe as represented by unstruck sounds, Daniélou suggests that ordered musical sounds ‘have it in their power to reproduce the first creation of the Primordial Intellect’ (Daniélou 1968, 22). Clayton also mentions the idea of music representing or reflecting the Hindu world view; he quotes Ravi Shankar saying, ‘The highest aim of music is to reveal the essence of the universe it reflects’ (quoted in Clayton 2000, 10), and draws a comparison between ‘the conception of musical performance and of the world in general as a process of manifestation and dissolution, rather than as a discrete and enduring product’ (Clayton 2000, 11). This means that the *ālāp* is designed not only to practically introduce the mode and characteristics of a certain *rāg*, but also to create a whole musical world of associations, involving melodies, expressive devices and that all-encompassing substratum, specific only to the present experience.

Turning to Davies’s works we can discover how these aspects of the *ālāp*, and indeed of plainsong, were incorporated into his expositional music. Ex. 4.24 shows the first section of the work that he wrote at the same time as his dissertation, *Stedman Doubles* for clarinet soloist and percussion. Davies wrote in a programme note that this first section has the



feeling of an *ālāp*, being very slow and having no sense of regular pulse with the percussionist remaining silent until the next section (quoted in Griffiths 1982, 135-136), and, as will be examined in more detail below, confirmed in a recent interview with Nicholas Jones that in fact it is possible to map a *rāg* structure onto the entire first movement of the work (Jones 2010, 19). It is interesting to note that Davies points out in his sketches that the first four notes of the tone row correspond with the opening of the second section of the *rāg Pilu*, as quoted by Daniélou (Daniélou 1968, 242), which also is a 2-3 motive. It is a measure of Davies's appropriation of the genre that he makes no attempt to use any more details of this *rāg*; he is in no way trying to compose Indian-sounding music, but he is fascinated by the prospect of absorbing many compositional techniques into his own. The serial aspects of this exposition are simple – the tone row is set out at the beginning, followed by its transposition up a semitone, with rhythmic elaboration, and the section concludes with a retrograde of the row transposed up four semitones – but the interesting feature of this section is the adoption of the kind of motivic development and growth of tonal space that was seen in the *ālāp*. Firstly, there is the presence of a tonic anchor, the concert D with which the first tone row begins and to which the line returns before both subsequent transformations of the row – this pitch being an extra note between P<sub>1</sub> and R<sub>4</sub> that belongs to neither transformation of the row. The first row is also extended to create a 3-2 motive, which is repeated and developed between the first two renditions of the row, in order to reach down to that tonic anchor. This immediately allies the work more with Indian modality than strict twelve-tone compositional practice, which tends to avoid such tonic centres such as this. There is also a great expansion of tonal space, from the lowest chalumeau register of the clarinet and the smooth seconds and thirds in those first two rows, to the high B in the third transformation and the sequence of jarring sevenths, reminiscent of that striking seventh in the *ālāp*. Of course, such details might be dismissed as coincidence, but the fact that Davies was writing this work at the same

time as completing his dissertation points to more certain cross-fertilization. Davies also incorporates that exploratory quality that he attributed to *ālāps*, so that despite the rigorously worked-out melodic development there is a sense of improvisatory freedom and the music being created afresh as it unfolds, which introduces the same sense of spontaneous infolding of ideas that Davies points out in reference to the *rāg*.

A more complex adaptation of the principles of the *ālāp* can be seen in *Revelation and Fall*. After the first short instrumental passage, based on the transformation  $[A_0 \rightarrow AI_0]$  in the trumpet, building to a frenetic, loud conclusion, the voice enters dismissing what has gone before with a long *pianissimo* whisper. The section that follows seems to display features of the *ālāp*. Davies suggests that a simple rhythmic pattern from the percussionist signifies the end of the *ālāp* and the beginning of the performance proper (Davies 1956, Vol. I, Part II, 15), and he employs this feature in both the first section of *Stedman Doubles*, with a light tap on the bongos at the end of bar 10 (in the 1968 revised version), and this section of *Revelation and Fall*, with a *pianissimo* beat on a bass drum at the end of bar 48. This detail supports my suggestion of a link between *rāg* music and *Revelation and Fall*. Ex. 4.25 shows how Davies sets the subunits of the transformation  $[A_6 \rightarrow AI_6]$  to actual pitches in the voice part of bars 21-48. Davies's development of motives within his themes as they are transformed was allied to Sibelius's technique of thematic transformation in the last chapter, but the kind of motivic working that this section contains seems to also have links with the motivic development that Davies found in the *ālāp* above. The initial shape of  $A_6$  implies three cells that one can see being developed separately through the subsequent subunits – the minor third described by the first pair of notes is narrowed to a tone in subunits 3 and 4, then a semitone in subunits 5 and 6/7 (this is a very free adaptation of these two subunits containing some pitches that belong to neither) and the major third of the second pair opens to a minor sixth then gradually contracts to the perfect fourth in subunit 5. In the eighth



subunit Davies introduces a new motive, a falling three-note figure, the intervals of which he expands just like he noted in his analysis of the *ālāp*, reaching the inversion of the original theme in the fifteenth subunit. This example also shows the expansion of the tonal space through a full three octaves (*rāgs* also usually explore three octaves – *madra* (low), *madya* (medium) and *tāra* (high)). The dissipation of the material, with descending pitch and the elements of inversion is also similar to Davies’s analysis of the *ālāp*.

There is no tonic anchor in the section in bars 21-48, but instead Davies creates a representation of that substratum of sound that was attributed to both *rāg* music and plainchant. Ex. 4.26 shows how from the eighth bar of the section tones begin to accumulate on string and wind instruments giving the impression of the sustain pedal of a piano being held down. Each note sung in bars 28-30 is doubled by an instrument and held until the voice reaches its highest point in bar 38. As the voice begins to descend, the sustaining instruments slide onto a new lower drone sound. Although composed ten years after completing his dissertation, this suggests that certain elements of the *ālāp* had embedded themselves in Davies’s sense of exposition, particularly the expansion of a tonal space through motivic manipulation, the accumulation of a substratum of sound. The influence of the *ālāp* adds significantly to the idea of experiencing the musical moment from within – being aware of the height and depth of a frozen moment from a fixed vantage point. The drone is not a bass note, but like a *cantus firmus* can appear anywhere within the texture as a consistent reference point. The importance of the tonal space created around that stable centre and the awareness of the vertical stretch from drone to each successive note connects Davies’s recommendation to hear music from within with his experience of both *rāg* music and plainsong.

There is another fascinating trick of perception and cognition occurring here. It takes Davies’s vocalist almost three minutes to sing one line, ‘Silently I sat in the abandoned inn under the wooden beams black with smoke and lonely with my wine’, due to every word

being treated with slow, laboured decoration; therefore, the listener's understanding of this scenario gradually unfolds through time. A listener understands each element of the scene separately and linearly – silence, sitting, an empty inn, charring, beams, loneliness and wine are all distinct concepts that the logic of the sentence allows the listener to form into a coherent visual image, but the music does not change to illustrate each element as it appears. The extreme discontinuity of this very quiet, slow section from the quick-fire *fortissimo* section that it follows, along with the extremely slow vocal lines and the almost completely static drone sound, freezes the whole passage into a single moment of stillness. Once one has understood the sentence in its entirety one can see that the static music was providing an illustration of the whole scene from the very first bar of the passage. This contracts the gradual perception of the scenario into a single moment of cognition, like Pruslin's comments about mensural canons creating multiple images of time. Davies wrote in a 1969 article for the *Listener* magazine that what he calls the 'manipulation of the time-scale of music' was one of the most important factors of the influence of Indian music on his. He explains that through his study of Indian music he realized that:

the rate of unfolding of events, and the whole concept of form in Indian music, is not of a sequence of closed – or enclosed – events or periods, but that the forms, on both small and large time-scales, are open, defining themselves as they unfold in a way that not only, particularly in slow *ālāps*, concentrates one's attention on each individual pitch and rhythm relationship with maximum intensity and tension, but also bends, or even suspends, perception of the 'passing' of time, so that the formal terms 'too slow' or 'too long', which in western music can be used so often with complete justification, can have no application to such music. (Quoted in Jones 2009, 36)

I wrote above that Davies structured the first part of his *Stedman Doubles* according to the plan of a *rāg*. I believe that this plan also informs the next two sections of *Revelation and Fall* so that the part of the work from the first vocal entry to the first chorale section forms a mini-*rāg*. In his dissertation Davies clearly sets out his perception of the overall



structure of a *rāg* (Davies 1956, Vol. I, Part II, 15-17). He writes that after the *ālāp* the solo introduces a binary-form theme, the first part of which is called the *astaī*, meaning ‘at home’, and the second is the *antarā*, meaning ‘interval’ or ‘change of register’. The first part begins on the tonic note and the second usually starts a fifth higher – again gradually expanding the range. The percussionist also introduces a simple rhythmic pattern in the *astaī*. There then follows the main developmental section of the *rāg*, called the *sanchārī*, meaning ‘moving about’. Davies writes: ‘The *sanchārī* consists of free variations on the binary theme, and this comprises the bulk of any piece. The pace of the music becomes faster and faster, the rhythm becomes ever increasingly complex, and the melodic ornamentations ever more profuse and fanciful’. The final section is called the *ābhog*, meaning ‘coda’. This recalls the *astaī*, but has no definitely structural or emotional purpose, being merely a way of ‘putting a full stop at the end of the piece’.

Nicholas Jones examined the connection between the *rāg* and Davies’s *Stedman Doubles* in his article ‘Peter Maxwell Davies’s writings of the 1950s’ (Jones and Gloag 2009, 21-44). Jones suggests that one can map the *rāg* structure onto the first part of this work thus: *ālāp* – bars 1-10; *astaī* – bars 11-29; *antarā* – bars 30-41; *sanchārī* – bars 42-99; *ābhog* – bars 101-103. Following *rāg* tradition Davies begins the *astaī* with  $P_3$  and the *antarā* with  $P_9$  – a diminished fifth higher (the *antarā* that Davies reproduces in Ex. 12b of his dissertation starts a diminished fifth higher than the *astaī* he reproduces in Ex. 12a (Davies 1956, Vol. II, 12) and Messiaen points out the importance of the tritone throughout *rāg* music (Messiaen 1944, 32)). The relatively simple percussion figures consisting of superimpositions of different subdivisions of the beat – for example, five semiquavers in the space of four played against four semiquavers in the space of three – contribute to this Indian connection. As in the *rāg* structure that Davies describes the next section, corresponding to the *sanchārī* is the longest, most experimental passage. The percussionist is asked to improvise around a pattern of

4+4+2 semiquavers for the entire section and even the clarinettist is given some opportunity to improvise some melismas around a very complex line that exploits the very limits of the clarinet's range and dynamics as well as some extended playing techniques such as playing a 'chord' by emphasizing harmonics above the fundamental note. This section also is much looser in its treatment of the basic row. In bars 61-66 (Ex. 4.27) Davies uses only certain elements of the row –  $I_4:1-5$ ,  $RI_2:1-4$ ,  $P_0:2-5$  and  $P_{10}:7-10$  – and also interpolates improvisatory gestures – a sequence of minor thirds and a rising whole tone scale that stand outside the serial pattern. We have seen in *Revelation and Fall*, the Second Taverner Fantasia and *Seven In Nomine* that Davies often concludes a work with a dismissive gesture or by crystallizing the music into static simultaneity. In the *ābhog* here Davies returns to  $P_0$  in a similar form to that which opened the work and instructing the clarinettist to play freely he very slowly allows the row to fade to silence at the bottom end of the instrument's range.

In the passage in *Revelation and Fall* that immediately follows the section I designated as the *ālāp* Davies seems to condense the expositional role of the *astai* and *antarā* into bars 49-52, in which the voice has a complete and clear rendition of theme B (this is the exposition of this theme) accompanied only by a low tremolo on the double bass. There then follows a passage that has much in common with Davies's *sanchārī* described above. The voice contains the transformation  $[B_0 \rightarrow AI_0]$  and the violin has  $[BI_0 \rightarrow B_0]$ . Both are given extremely difficult lines with the same rhythmic and technical experimentation; the violin part is interspersed with open fifths played *molto sul ponti'cello*, echoing the overblown clarinet chords in *Stedman Doubles*, and the singer has to cope with extremely fast and wide leaps, coloratura and sudden changes of dynamic. As in the *Stedman Doubles sanchārī* there are three layers of percussion, here pebbles, small suspended cymbals and claves, that superimpose conflicting rhythmic cells that contract and become denser, giving the sense of acceleration that is often noted in the section of a *rāg*. Sustained notes in the other strings



maintain the drone sound from the previous section, but now all these notes are high harmonics, turning the music on its head after the previous low drone. The passage in bars 67-71 acts as Davies's *ābhog*, again allowing the music to fade to silence as the voice sings both  $A_6$  and  $A_0R$ , copying the recapitulatory function of the *Stedman Doubles ābhog*, bringing back not only the form of theme A from the start of the *ālāp* section, but also that from the start of the whole work.

The study of the rhythmic systems of *rāg* music is a complex field and both Messiaen in his treatise and Davies in his dissertation devote considerable space to this area; however, there is not enough evidence of a great involvement of these systems in *Revelation and Fall* to spend much time on this here. There are certain echoes of *rāg* techniques, such as the occasional use of incremental durational progression, which is also a feature of *rāg* rhythms and found its way into Messiaen's music, but this technique is not applied as a structural element. One can spot an example of this in the vocal part in Ex. 4.26 where quaver beats become dotted quaver beats, followed by a crotchet and a dotted crotchet. One can also see the percussion parts in the instrumental interlude, bars 96-177 owing a debt to the *tāl* system adopted by the percussionist in a *rāg* performance. The percussionist will introduce the basic *tāl* (or rhythmic unit or pattern) of the rag before improvising other rhythms that subdivide the basic beats of the *tāl*. In this interlude Davies sets up a basic three-beat rhythmic cell, which he then superimposes over itself played at different speeds through the retrograde, 2:3 ratio between the principal and secondary voices analyzed above – see Exx. 4.11a-c. The effect of this is to conflate different subdivisions of a basic beat, as in *Stedman Doubles*. In his dissertation Davies notes the ability of some *rāg* percussionists to achieve this layered complexity: 'An exceptionally good drummer is capable of superimposing different *tāls* of considerable complexity in this manner [one played by each hand], but this is not a common accomplishment' (Davies 1956, Vol. I, Part II, 65). Central to the *tāl* system is the importance

of the arrival of the *sam*, the strong downbeat (Boatwright 1960, 9), whereas Davies adapts the system in both *Stedman Doubles* and *Revelation and Fall* to conceal the downbeat and any sense of rhythmic arrival. Throughout the rest of the work Davies uses rhythm and the percussion section to give local colour and, as this chapter has explored, to undermine temporal progression, rather than to provide structure. In Davies's original score for the work, published in 1971, many rhythms are left undefined; very frequently only a leading part, often the voice, is rhythmically notated, with considerable freedom given, and other parts are marked to coincide with certain events in that part. In Davies's 1980 revision of the score he fixed the majority of the sections into concrete barring, as if to shift control from the soloist to the conductor. This means that for a lot of the piece a fixed rhythmic scheme was not a formal consideration in its composition, but was added later, more as an aid to performance than a structural device. Of course, more complex passages such as the first extended instrumental interlude were notated more fully, but this means that, other than in those places where the rhythmic scheme is central, like that interlude, it is pointless to try to find too much meaning in rhythmic designs that were added very much after the fact.

Referring back to the structural strata that were explained in Chapter Two (see Fig. 2.3) one can see that in this scheme this *rāg*-form takes up most of what can be seen as the first movement of the work in four-movement form. The *ālāp* is the second part of the exposition of the first subject, the *astai* and *antarā* are the exposition of the second subject, the *sanchārī* is the development section and the *ābhog* is the recapitulation of the movement. One can see how the work Davies did on the form of Indian music in his student days could have informed his subsequent adaptation of other forms, even one so central to Western music as sonata form. I reserved the discussion of the adaptation of Indian form for this chapter because its impact is much more on the effect of the music and how it is perceived on the surface than the other influences examined in Chapter Two. Davies exploits the style of



the *rāg* performance to create a temporal effect of stillness being replaced by a frantic acceleration and overload of musical information. The sudden reversion to stillness in the *ābhog* makes the previous rush of sound seem unreal. Whilst this music never sounds overtly Indian this influence does fundamentally effect the texture of the music, from the drone-like substratum of sound that splits into more isolated cantus firmus lines later in the piece, to the use of percussion to define structural points and contribute to the music's temporal effect.

Whilst none of *Revelation and Fall* is open to improvisation, Davies tries to dramatize his music in a similar way to the performance of *rāgs*, both in the virtuosic, soloistic nature of much his writing for the instruments in *Revelation and Fall* and also in the interaction between them – the frantic interplay between the voice and violin 1 in the *sanchārī* section being an excellent example. Frequently it appears that one instrument is commenting upon what the other has played in a manner closer to the relationship between soloists and percussionist in *rāg* than more customary imitative or accompanimental writing in Western music. In this *sanchārī* section the piccolo, oboe and clarinet highlight certain pitches from the voice or violin 1 part as if trying to double these parts without being able to keep up with their pace. Davies told Jones of the excitement of the players and the audience when the *tablā* and soloist come together after complex embellishment to cries of 'Good! Good!' from the crowd, 'And I thought: This is music where people are really listening to what the other is doing' (Jones 2010, 18). The aping of the texture of the *rāg* emphasizes a sense of spontaneity in performance despite the rigorously worked out compositional techniques he follows, perhaps in order to give this dramatic work a sense of immediacy and danger that is absent from works such as the Second Taverner Fantasia and *Seven In Nomine*, which seem to accentuate the ingenuity of the compositional process over the generative act of performance. This focus upon the performers and their role in the unfolding music is central to Davies's concept of music theatre that intensified in his later works like *Eight Songs for a*

*Mad King and Vesalii Icones* (1969); the influence of Indian music helps Davies implicate the musicians in the creative process. This connection of the musical process to dramatic presentation will be explored in the next chapter.



## CHAPTER FIVE – NON-MUSICAL INFLUENCES: AESTHETICS AND THEATRE

So far in this thesis I have concentrated upon purely musical considerations – the influences that contributed techniques to the formation of Davies’s musical language presented in *Revelation and Fall*. However, this alone cannot give a true sense of the power and effect of the work, or the reason why Davies wrote it. This final chapter will examine the other factors – poetic, aesthetic and dramatic – that contribute to the nature of the completed work and assess how the musical factors considered thus far interact with them. The most glaring omission in the serial analysis in Chapter One is any mention of the text by Georg Trakl that Davies sets in this work. Roberts treats all of Davies’s works as abstract musical entities, so he makes no generic distinction between chamber pieces such as the early Trumpet Sonata or *Stedman Doubles*, works of symphonic proportions like *Worldes Blis* (1969) and the Taverner Fantasias, or dramatic works like *Taverner* and *Revelation and Fall*. Of course, this perfectly suits Roberts’s positivistic, analytical approach, but it also seems to be borne of Roberts’s mistrust of the effect of any external factors, be they influences from other art forms or exigencies of genre, on the compositional process. As I have argued throughout this thesis, I believe that consideration of these factors not only gives a more complete view of the work, but can directly affect one’s understanding of every level of compositional technique. I should therefore suggest that the identity of *Revelation and Fall* as a music theatre piece and the first full flowering of Davies’s engagement with expressionism must be taken into consideration if one is to fully understand the deployment of his compositional techniques. Davies’s adoption of expressionism is often attributed entirely to his experience of lecturing on and witnessing a performance of Schoenberg’s *Pierrot Lunaire* at the 1965 Wardour Castle Summer School. Mike Seabrook writes in his biography of the composer: ‘it was almost certainly at the 1965 school that the expressionist period, which was shortly to bring

him with an explosion of volcanic proportions to the very forefront of the British musical scene, first crystallized in his imagination' (Seabrook 1994, 93). However, as was stated in Chapter Three, Davies felt the development of this new style beginning to form as early as 1962. Davies recalled how this upheaval in his work seemed to be germinating slowly until he discovered Trakl's poetry: 'Then somebody gave me a book of Trakl's work, and I was so thrilled by it that I just sat up the whole of one night reading through it, and I sketched out the dramatic shape of *Revelation and Fall* there and then. It was as if I'd worked on it already; it was almost like writing down a piece I knew' (quoted in Griffiths 1982, 110). In a very real sense, of course, it was music that he did already know. As demonstrated in Chapter Three, a huge amount of this music – the basic themes, all the transformational processes, and the treatment of the chorale theme – was all taken wholesale from the orbiting 'Taverner' works. An exploration of the features of the first manifestation of expressionism in the early twentieth century, and discussion of the writer and the text that had such a profound effect upon Davies, will give a fuller picture of how the expressionist style that Davies had felt coalescing for several years came to fruition in his first music theatre work.

### 5.1 The Expressionist Movement

The origin of the term 'expressionism' is unclear. The term had been used as early as 1850 in an anonymous article in *Tait's Edinburgh Magazine* to describe a school of modern painting (Richard 1978, 7). It found more common usage around the turn of the twentieth century, particularly as a reaction against impressionism; Matisse is credited with suggesting this application of the term in his description of his anti-impressionist artistic aims in 1908: 'What I am after, above all, is expression [...] The simplest means are those which enable an artist to express himself best [...] [The artist's] expression must derive inevitably from his temperament' (quoted in Gordon 1966, 368). The first time a group of artists were introduced



as expressionists was in a *Sezession* exhibition in Berlin in 1911, in reference to a collection of paintings including works by Braque and Picasso (Richard 1978, 8). Despite some resistance to the term – Wassily Kandinsky, a painter and poet now associated strongly with expressionism, wrote most disparagingly about Picasso’s ‘need for self-expression’ in 1912, in an attempt to distance himself from the movement (Gordon 1966, 374) – by 1914 the term had been indelibly applied to the work of the groups *Die Brücke* and *Der Blaue Reiter*, and had been claimed as a specifically German movement. It was Paul Fechter’s 1914 book that sealed this association and provided the first satisfactory definition of the term:

Expressionism puts the accent essentially upon the experience of feeling and on its formulation in the most intensely concentrated manner possible. The perfunctory satisfaction in making the picture conform to ‘reality’ is eliminated. Appearance is subordinated to the wish for expression [...] Nature relinquishes her previous sovereignty once more to the artist, to the human soul [...] Decorative considerations must become secondary; heightened human and spiritual considerations must become the essential purpose which everything else is to serve [...] The artist’s task [...] is the development of his image of things, feasible only in some kind of intuitive release. (Quoted in Gordon 1966, 376)

The term soon spread to other artistic forms, such as literature, music and drama, that seemed to espouse the same drives and goals. Although few poets and composers called themselves expressionists the similarity of their aims has made the association commonplace today.

Fechter’s definition is useful and eminently applicable to Davies’s work, but does not reveal why so many artists turned to this form of expression, which appears to be a style born of crisis; fear, anger and isolation are at the heart of the majority of expressionist art works. David Constantine suggests that this movement was a reaction against the breakneck industrialization of Germany. A great deal of the poetry of the time cries out against the dehumanizing force of big cities like Berlin in which mechanization reduced people to cogs in the capitalistic engine of the country, as shown in Fritz Lang’s expressionist film *Metropolis* (1927). Constantine elegantly phrases the human consequence of this

development: 'Dislocation, bewilderment and alienation were the air the city-dwellers breathed [...] Expressionism was largely the forced, hectic and often desperate attempt to deal with a Modernity that had arrived too fast' (Miller and Watts 2003, 9). This disaffection corresponded with a post-Romantic adoption of Nietzsche's nihilistic philosophy. One can see a great deal of expressionist art as a response to Nietzsche's provocative questions: 'Are we not wandering at a loss through an infinite nothingness? Do we not feel the breath of empty space? Has it not become colder? Are we not faced by the oncoming night and yet more night?' (quoted in Miller and Watts 2003, 8). The effect of the dislocation from an over-industrialized society combined with Nietzsche's isolation of the individual resulted in the shift from art as mimesis of the natural world to a deeper exploration of the human psyche freed from references to higher powers and earthly context, particularly in the areas of mental disturbance and sexual guilt (Lessem 1974, 429), and an abandonment of purity of technique for its own sake.

Poets clearly felt that the kind of elevated tone and diction of much nineteenth-century German poetry was no longer applicable to the new challenges of life and began to experiment with fracturing syntax, extensive use of neologisms or stretching old forms to breaking point, such as the sonnets of Anton Schnack, in which the sonnet scheme is distorted by over-long lines, weighed down with detail, and widely spaced rhymes, attesting the inability of these old forms to contain the modern crisis (Miller and Watts 2003, 11). Images and symbols, as we shall see in Trakl's works, were disconnected from the recognizable phenomena seen in the work of the Romantics and Symbolists, and became autonomous, hermetically true only to a particular poem, emphasizing man's split from the world as it was developing around him. Violence and anger ran throughout these works, perhaps as a defence against complete despair and hopelessness. Constantine writes of expressionist artists: 'Many hoped that Fraternity might be achieved not by violent revolution



but by inner transformation of every individual; and they attempted that transformation by means of loud appeal' (Miller and Watts 2003, 12).

Art forms forged new connections. We shall see below how important music was to this new generation of poets, but painting was also of crucial significance. The frequent use of colour imagery and the subversion of traditional linear development of language in this poetry, which leads to a simultaneity in the symbols, as if one should contemplate them at once, refers to the condition of painting; the frozen moment in time (Miller and Watts 2003, 12). It is no accident that Wassily Kandinsky and Egon Schiele were fine painters and poets, and that Arnold Schoenberg devoted a great deal of time to painting, especially self portraits.

### 5.2 Expressionism in Music

This is not the place for a comprehensive assessment of expressionism in music, but it is important to highlight some areas that are important to Davies's adoption of the style in the 1960s. Schoenberg provides the first clear connection of music to expressionism; on Kandinsky's invitation Schoenberg was a contributor to the almanac of *Der Blaue Reiter*. Three years before Fechter's definition of expressionism Schoenberg wrote to Kandinsky: 'Art belongs to the *unconscious!* One must express *oneself!* Express oneself *directly!* Not one's taste or one's upbringing, or one's intelligence, knowledge or skill. Not all these *acquired* characteristics, but that which is *inborn, instinctive*' (quoted in Crawford and Crawford 1993, 1, original emphases). Kandinsky acknowledged Schoenberg's attempts to achieve this in his book *On the Spiritual in Art*: '[Schoenberg's] music leads us to where musical experience is a matter not of the ear, but of the soul – and from this point begins the music of the future' (quoted in Lessem 1974, 433). This comment points to the same turn away from refined technique and representation of an outer world to focus entirely upon direct expression of inner feeling that Fechter noticed in painting. Painting had achieved this

through the emancipation of colour from line and abstraction from any mimetic function, poetry through the autonomy of symbols, referring inward rather than to the world around, and by stretching language to its boundaries of semantic and syntactic sense. It was necessary for music also to challenge its own internal language, particularly that of harmony. What has been called Schoenberg's expressionist period stretches from 1908 to 1918 and refers to the period in which he experimented with what is generally called atonality, although Schoenberg preferred the terms polytonality and pantonality, since tonal associations were never totally eradicated until he turned to strict serialist composition. It can be deduced from this that the association of expressionism in music with the complete breakdown of the harmonic language is actually misleading. Schoenberg formulated his twelve-tone systems as a way to completely liberate music from harmonic associations, but his serial compositions are not classed as expressionist. Just as expressionist poetry extended linguistic systems without resorting to Dadaistic nonsense, Schoenberg's expressionist works display harmony in crisis, by piling up unresolved dissonances; yet, crucially, the dissonance is only defined by the underlying tonal structure against which it strikes. Once tonality is obliterated there can no longer be a sense of resolution and therefore no crisis or expectation.

The Schoenberg work that is the clearest influence on the expressionistic presentation of *Revelation and Fall* is *Erwartung*. The fact that Schoenberg completed this half-hour monodrama in just seventeen days shows that it truly was an outpouring of his personal expression written 'at the borderline of conscious control' (Crawford and Crawford 1993, 80), rather than the meticulously constructed pieces he was to return to later in life. This is reminiscent of Davies's claim that the composition of *Revelation and Fall* came to him in a flash. Also like *Revelation and Fall* this piece is written for a single female vocalist. Although Schoenberg's work has a more clearly defined dramatic scene – the central character of 'The Woman' is wandering through a forest at night searching for her lover –



this is actually dispensed with early in the piece as she discovers his murdered body, and the rest of the work is an internal monologue in which she recalls her love for him, feels suddenly jealous of his imagined infidelities and finally, exhausted, accepts his death. Marie Pappenheim's often Romantic text does not have the intensity of the best expressionist poetry and has been criticized by some; nevertheless, it is a robust attempt to display the woman's fear and dread in her searching and the kaleidoscopic feelings she experiences in the second part, in which the compression of past, present and future tenses help to weaken any overtly narrative drive. The work therefore takes on a nightmarish, unreal quality, a direct depiction of Nietzsche's question, 'Are we not wandering at a loss through an infinite nothingness?'. There are some successful expressionist symbols, for example, 'The moon is deceitful... because it is bloodless it paints red blood... but it will dissolve directly', but it is Schoenberg's setting that has established the work as an expressionist masterpiece.

Webern's comment upon the work quoted in the last chapter, emphasizing the work's break with traditional form in order to depict the 'slightest impulses of the emotions', seems to suggest that there are no organizing factors at work, which is by no means true. The central structural principle of the work is the text, set largely syllabically for the voice, so that its clarity is never lost. Later in his life Schoenberg wrote about the defining role of the text in his works of this period:

I discovered how to construct larger forms by following a text or poem. The differences in size and shape of its parts and the change in character and mood were mirrored in the size and shape of the composition, in its dynamics and tempo, figuration and accentuation, instrumentation and orchestration. Thus the parts were differentiated as clearly as they had formerly been by the tonal and structural functions of harmony. (Quoted in Crawford and Crawford 1993, 82)

Some critics were wary of the abandonment of more thoroughly calculated structural principles; Adolph Weissmann complained about the 'capitulation to immediate and local excitation' (quoted in Lessem 1974, 434) but Adorno was rather more sympathetic: 'Passions

are no longer simulated; rather does his music record, untransposed, the impulses of the unconscious, its shocks and traumas. The seismographic registration of traumatic shocks becomes, at the same time, the law of the form of the music' (quoted in Lesson 1974, 434). In *Erwartung* Schoenberg demonstrated that the expressionist principles of direct expression over decoration and structure could be viably applied to music. The influence of *Erwartung* on *Revelation and Fall* does not lie directly in musical processes, other than the use of text to define form, to a certain extent, and the importance given to colour as explored in Chapter Four; the most powerful influence of the earlier work lies in the mood of the presentation and raw psychological exploration of the central character of the monodrama, a personification of the crisis at the heart of the movement, which Davies achieves through quite different means. Before examining how Davies moulds his compositional techniques to this kind of expressionist presentation I must redress the balance between words and music in this work by exploring the work of the man who has been conspicuously absent from most of this thesis and is surely the most important figure in Davies's engagement with expressionism in *Revelation and Fall* – Georg Trakl.

### 5.3 Georg Trakl: An Introduction to his Style

Georg Trakl was born in 1887 and died from a cocaine overdose (a probable suicide) in 1914. Drug addiction, suicide threats and madness, eventually diagnosed as schizophrenia, dogged him throughout his short life. Although he never directly associated himself with the expressionist aesthetic, being more directly influenced by the symbolist poets, particularly Arthur Rimbaud, his work is a prime example of the search for the means of directly expressing emotional and mental states by innovative use of language and the subversion of traditional structures. His poetry displays an intense expression of the disintegration of his own mind and loosening grasp on the integrity of his own personality. '*Offenbarung und*



*Untergang* (Revelation and Fall), was the last of his extended prose poems and contains most of the recurring features of his writing. He used colour imagery synaesthetically, so colours are not used literally but as emotional adjectives – red may imply violence, blood, sexuality and danger, white can represent purity, tranquillity or death, and black, fear and oblivion – and these associations shift according to context. There is a great deal of mirror imagery, which indicates both a narcissistic contemplation of the self and also a desire to integrate with a murky image of the self as seen through a glass darkly. As with a lot of expressionist writing there are sudden changes in location, tense and personae; Andrew Webber writes: ‘The overriding impression is one of dislocation, of a poetic world progressively defamiliarized, on occasion to the point of senselessness’ (Webber 1990, 19). There is often a sense of the body breaking down as a physicalization of mental breakdown – blood frequently drips from wounds, or from unspecified places above. These images run throughout his work and, although Heidegger was perhaps going too far when he suggested that all of Trakl’s works were in fact one long poem – ‘None of his individual poems, nor their totality, says it all. Nonetheless, every poem speaks from the whole of the one single statement, and in each instance says that statement’ (Heidegger 1971, 160) – it is this consistency that gives Trakl such a recognizable and individual voice.

Whether one should focus upon Trakl’s mental state when examining his work is a controversial academic issue. Other than F. M. Sharp’s 1981 book, *The Poet’s Madness*, there has been a reluctance to connect Trakl’s schizophrenia with his poetry, but considering the intensely introspective exploration of a crumbling mental state that permeates his work, this seems strange. This is perhaps born of the tendency of the New Criticism movement, mentioned in Chapter One, to study works of art entirely independent of the personality of their creator or any biographical detail (thinking that true works of art transcend the artist’s intentions or personal shortcomings) as well as a disinclination to allow accusations of

madness undermine the power and sense of the work. One German critic, Gustav Kars, wrote: 'The symptoms which point to schizophrenia are so unsettling that one could ask whether an attempt to interpret Trakl was really worth the effort, whether a literary or intellectual confrontation with him was really possible, since it would naturally be hopeless to claim to interpret the products of an insane imagination' (quoted in Sharp 1981, 192). In fact, knowing the mental state of the poet, these works seem to be an extraordinarily lucid and compelling description of a journey beyond sanity. Most interesting in this combination of madness and poetry is the possibility that poetry inspired by madness could reach beyond most people's empirical world, presenting a gateway through the cracks in a fragmenting ego, to elements of a subconscious reality normally hidden by self-control and reason. Maire Kurrik ascribes Trakl's poetic language 'to naked primary process where there is no longer any directing idea to control the play of involuntary pathological associations and complexes', and Emil Staiger writes: 'there is no doubt that this poet no longer knows how things belong together [...] Georg Trakl surely stands outside the circle which encloses that world common to all men' (quoted in Sharp 1981, 37).

A common symptom of schizophrenia is the absence of order and control in language, resulting in what has been called 'word salad'. Trakl has often been accused of this on account of the lack of unity of time, place or character in his poetry. These criticisms would have one believe that the poems are self-indulgent stream-of-consciousness ramblings; in fact Trakl was a merciless reviser and reworked his pieces many times until he was satisfied with the form and diction of the poem. Artistic creation has long been associated with a shift in consciousness, and a certain loss of reason. Plato writes: 'a poet is a light and winged thing, and holy, and never able to compose until he has become inspired, and is beside himself, and reason is no longer in him' (quoted in Sharp 1981, 40); Rimbaud believed that the poetic vision was connected to a disruption of sensory experience and many other French



Symbolists and German Romantics were regular users of mind-altering substances. The task that these poets set themselves was to reach into experiences of altered consciousness, to battle the Freudian monsters of the id normally controlled by the ego, and bring them back to the surface through linguistic ability. Trakl's poetry documents a very real disintegration of his personality and a descent into dark depression and dislocation that may have led him to take his own life.

#### 5.4 Language Aspiring to the Condition of Music

Central to a study of literary expressionism and also the employment of text in Davies's setting of Trakl is the disenchantment many writers of the early twentieth century felt for the expressive limitations of language. Poets felt compromised by the literal, specific meanings to which words were bound, and sought a new use of language that could achieve the non-specific expressive qualities of music. Trakl's compulsive revisions of his work indicate a frustration with the inadequacy of language to express what was happening in his mind. Sharp writes that Trakl's search to express his reality 'proceeded primarily in the mind space anterior to language and only secondarily in language itself [...] While eschewing the deeply rutted paths of linear and traditional poetic discourse, Trakl attempts to chart unique experiential patterns in a recalcitrant language' (Sharp 1981, 45). His poetry demands that readers submerge themselves in his world and to respond intuitively to his unexpected and sometimes illogical symbols in a pre-lingual, non-semantic sense.

Trakl obliquely commented upon the importance of music to his own style in a review he wrote of the work of a contemporary author, Gustav Streicher:

It is strange how these lines of verse penetrate the problem, how the sound of a word often expresses an unutterable thought and holds fast to the fleeting mood. There lies in these lines something of the sweet feminine power of persuasion which beguiles us to listen to the melos of the word and not to heed the

content and weight of the word; the musical minor key of this language instils a pensiveness into the senses and fills the blood with dreamy tiredness. (Trakl 2001, xvii)

By the 'melos of a word' he hinted at a musical meaning found far beneath the 'content' or dictionary definition of a word, that words can actually lead one into a much deeper understanding of things than their superficial semantics might suggest. Many philosophers of the preceding century had argued for a musical state as the ultimate goal of all art forms because of music's non-representational purity of expression. Novalis writes: 'The musician draws the essence of his art from within – here there is not the slightest suspicion of mimesis' (quoted in Williams 1993, 66) and he believed that all art should aspire to this condition. He adds that in the hands of a poet words 'are the musical instrument of ideas [...] not common signs – but tones – magic words, which vibrate through beautifully enveloping groups of words' (quoted in Williams 1993, 67). This is derived from Kant's definition of aesthetic experience in which 'the faculties of cognition [...] are engaged in free play because they cannot be limited by any definite concept of cognitive principle' (quoted in Williams 1993, 68). Of course, the most famous manifestations of this idea come in the works of Schopenhauer and Nietzsche: Schopenhauer wrote at length about his belief that music was the most direct means of displaying and also transcending the '*Wille*', the internal drives and passions that lie beneath the surface representation of everyday phenomena, and was therefore the ultimate aesthetic experience, and in *The Birth of Tragedy* (1886) Nietzsche suggested that music was the ultimate Dionysian art form, most able to break through the Apollonian surface of control and reason (Young 1992, 36).

Trakl's works go some way to achieving this musical level of communication. His symbols recur like musical motives altered by their context, and with their most precise definition subdued they assume an indefinite and therefore intuitive expression. Meanings are stretched, but never dislocated entirely from their roots: one cannot ignore that 'Black' is a dark colour, or a state devoid of light, but beneath this one must intuit from the context



whether the word takes on a sinister, threatening tone – ‘the black shadow of the strangeress’, horrific evil – ‘I broke the neck of my black horse as madness sprang from his crimson eyes’, or soothing oblivion – ‘the black coolness of the night’. It is through this non-specific engagement of intuition that language can best achieve the condition of music, and it is for this reason that the poems demand a certain level of absorption into their world and a suspension of rationality and control. One could aver from this comment that one should apply no interpretative logic to expressionistic works, but I believe that this is not the case; one must separate the subject of the work from the means of communicating it. Whereas the artistic means of communication in expressionist works involves challenging traditional connections and structures and the greater involvement of intuition in the appreciation of the works, the subject of the works is most frequently quite precise. Trakl’s late poem ‘Grodok’, for example, is a response to his awful experiences in the Battle of Grodek early in the First World War; the subject is as clearly defined as a Wilfred Owen or Siegfried Sassoon poem, but the style is utterly different, requiring a more freely instinctive response to the dreamlike, nocturnal images that pervade the work.

### 5.5 ‘Offenbarung und Untergang’

Before turning to Davies’s adoption of expressionism and appropriation of Trakl’s text (he sets only the central section of Trakl’s poem, and quite radically reinterpreted the poem for his own ends) I want to examine the original poem, in order to draw out elements that may have proved so significant in Davies’s development. All quotations below are taken from Sharp’s lucid, elegant translation (Sharp 1981, 218-223). This prose poem was written in Innsbruck during May 1914. Importantly, this was before the outbreak of the First World War in August of that year, an event to which later writers, like Michael Burden, have attempted to connect the work, as will be discussed below. Whereas in many poems Trakl adopted a

thinly disguised alter ego, be it Elis, Sebastian or Helian, here he resolutely writes in the first person, unusual in his oeuvre, implying that this was a particularly personal reflection: indeed, the German word '*Offenbarung*' has the sense of revealing a secret, indicating that this poem was somehow a confession.

The outer sections that Davies omits are crucial to a true understanding of the piece. The first paragraph clearly depicts the poet in the house where his father has just died (Trakl's father died in 1910) and his mother is loudly weeping. This section establishes a world of family grief and although the father figure is never again referred to, this scene opens the poem with a flavour of Strindbergian realism that is soon to be undermined. It is in the second section, with which Davies began his setting, that the real substance of the poem is revealed. As in so many of his works the central figure of this poem is his sister, Grete. The figure of 'the sister' appears frequently in Trakl's work, the subject of incestuous desire and also as a symbol of peace and reconciliation with the self. Trakl's younger sister was a powerful figure in his life; the one true object of his love. Theodor Spoerri, who wrote a 1954 monograph on Trakl, claimed to have proof that this relationship was incestuously consummated, although he declined to reveal his source (Sharp 1981, 21). Trakl seemed to carry tremendous guilt for his incestuous desires, given voice in his poem '*Blutschuld*' ('Incest'), which was omitted from the first edition of his work, and perhaps also for the part he played in starting and encouraging Grete's drug addiction. Trakl's last meeting with his beloved sister was in March of 1914, two months before writing this poem, when he rushed to her bedside after she suffered a near-fatal miscarriage. Although I have not seen this interpretation in any existing commentary, I believe that the poem is an attempt to come to terms with his sister's awful experience and the crushing helplessness he felt about it, or at least admit his responsibility for it. Again, the New Criticism movement would disregard any



such connection between art and life, but to ignore such a major event in the emotional life of a poet on the brink of collapse seems unhelpful.

In this central section the poet finds himself alone in an inn, normally a social place of interaction and gaiety, but it is abandoned and burnt out; at his feet lies a dead lamb, a symbol of the death of innocence, with certain religious overtones (Agnus Dei), but also associated with Grete (she had appeared in the guise of a lamb in the earlier prose poem *‘Erinnerung’* (Remembrance)). The sister then appears as a pale figure with a bleeding mouth that can only utter ‘Prick black thorn’, words of pain and anguish. As his mind reels, ‘Flare up you stars in my arched brow’, death, represented by a ‘red shadow with flaming sword’, breaks into the house. The sudden shift in colour here from ‘black with smoke’, ‘decaying blueness’ ‘black thorn’ to this ‘red shadow with flaming sword’ is startling, especially coming after the tranquil line ‘my heart chimes quietly in the night’. The effect is of a sudden burst of energy, violence and blood. This sends the poet deep within himself into a new location, a ‘night-like forest’, a classic symbol of the deepest, darkest subconscious, and the third paragraph describes the poet’s only means of coping with the shock of the death he has witnessed – self-annihilation. A black horse reflecting in its eyes the colour of the spectre of death characterizes his loss of reason, which he has to destroy – ‘I broke the neck of my black horse as madness sprang from his crimson eyes’ – and as the trees close in on him his sense of self evaporates – ‘my face died in stony hell’. Blood dripping into his wine brings him back to the inn, making the wine taste more bitter than opium – a recollection, perhaps, of his sister’s drug addiction. He is finally drowned in guilt for his sister’s condition – ‘And the blood ran lightly from the sister’s silvery wound and fell, a fiery rain, upon me’.

This is the last section that Davies sets, but the poem goes on in a much calmer tone relentlessly towards the poet’s self-destruction or ‘demise’ as some translators suggest for *‘Untergang’*. He renounces his madness – ‘the black figure of evil had withdrawn from me’ –

and embraces oblivion – ‘as contemplating I expired, fear and pain died most deeply in me’. This leads to the possibility of rebirth and regeneration for his sister and the child that did not live in a passage of rare lyricism and beauty – ‘And there rose the blue shadow of the boy, beaming in the dark, gentle song; there rose on lunar wings over the greening treetops, crystalline crags, the white face of the sister’. Trakl does not end with this wish-fulfilment, he has to remind the reader that this is a dream, in reality the miscarriage did occur and he forces himself to relive it as he entered ‘into the whitewashed chamber [...] and I silently hid my head in the crimson linen’. The boy is no reborn ‘blue shadow’, in reality ‘the earth ejected a childlike corpse’.

A fundamental feature of Trakl’s poetry is its resistance to precise definition; it would be imprudent of me to insist that my interpretation was the only true one. However, can one expect Trakl to have written the line ‘the earth ejected a childlike corpse’ and refer to his sister’s bleeding wound, only weeks after the terrible experience of Grete’s miscarriage without intending reference to this event? Adherents of New Criticism would argue that this cheapens the work by grafting biographical data upon it, but again I suggest that this is a confusion of style with substance. The expressive language of the poem is no less powerful because it stems from a real happening, just as knowledge of the Battle of Grodek aids rather than diminishes the appreciation of Trakl’s depiction of it. We must now turn to Davies’s reinterpretation of the poem and what this reveals about what expressionism meant to him and his reasons for adopting this new compositional style.

### 5.6 Davies’s Adoption of Expressionism and Reinterpretation of Trakl’s Poem

The adoption of an earlier artistic style is by no means uncommon in all art forms, but it is very different to working in the first flowering of that style. As we have seen, expressionism was not a distinct movement with its own manifesto and system of rules (as other



movements, like serialism and surrealism, have been), but a varied response to a particular zeitgeist and sense of emotional and societal crisis. An artist who adopts such a style decades after its inception has the advantage of having seen the totality of the movement, the sum of its potential and variety, but also the disadvantage of not knowing first-hand the experiences that led to its development. It is still rather unclear why Davies chose this harsh and violent musical language at this time. Paul Griffiths suggests that, 'Davies faced the need to re-experience the savagery, the dislocation and the sense of catastrophe that inform so much of the art of the few years before the First World War' (Griffiths 1982, 62). Another possible motivation for the adoption of this style was given in a rather equivocal review by John Warrack in *The Musical Times* of the first performance of *Revelation and Fall* in 1968. Although he criticizes this expressionistic 'medieval vision' for resorting to shock tactics, some of which he found unintentionally funny, he concluded that the piece is 'a real attempt to regain contact without losing hold on the present or on a belief in the future' (Warrack 1968, 350). This suggests that at a time when a great deal of new music, by figures such as Cage and Stockhausen, was becoming increasingly alienated from expressive communication and concerned with its own processes and experiments (we have seen that Davies believed that much of this new music would prove to be ephemeral because of its lack of grounding in musical traditions), this piece managed to find a meaningful, effective medium of expression. This loss of connection with audiences was, perhaps, part of the crisis in the art form that led Davies to this new style.

Davies's reinterpretation of Trakl's intentions also suggests reasons for his adoption of expressionism. Firstly, Davies sets only the central section of the poem, the 'dream' sequence, with the location shifting from the burnt-out inn, to the deep forest and back to the inn. By removing the outer sections, which ground the poem in some realism, mentioning more explicitly the father's death and the sister's miscarriage, Davies severs any ties with

reality, rendering the poem open to fresh interpretation. Secondly, without changing a single word, Davies radically reinterprets this section of the poem by asking that the singer should be dressed as a nun in a scarlet habit, a potent symbol that hijacks the poem's meaning. This costume leads Michael Burden to write of *Revelation and Fall*:

Here we encounter one of the themes that run through [Davies's] music theatre pieces – the hypocrisy of an established institution. The colour of the nun's robe can be seen to represent the blood of those killed needlessly in the First World War (the subject of Trakl's text), killing which the established church (represented by the use of a religious figure) conceded as necessary in a "just war". (Burden 2000, 57)

As shown above Burden's reference to the First World War is entirely misguided, the poem being written months before the outbreak of this war, however it is true that in Davies's hands the work implicates the Church in the destruction of mankind, the red-clad nun being associated with both the damaged figure of the sister (intentionally punning on that word) and also with the crimson spectre of death. Davies also uses certain musical processes, particularly the treatment of the chorale theme C, to emphasize the subversion and betrayal of religious values; thus the work takes on the meaning that was to form the basis of his later music theatre works *Missa Super l'Homme Armé* and *Vesalii Icones*; suggesting that a certain loss of trust in the Church could have been part of the personal crisis that Davies wished to articulate in an expressionist language. At this time Davies seemed to be reengaging with many features of his childhood from an adult perspective for the first time (he was thirty-one/thirty-two at the time of writing *Revelation and Fall*). Davies has said in many interviews that the popular music, especially the foxtrot, that became such an important part of his music in the works immediately following the composition of *Revelation and Fall*, especially *Antechrist* and *Eight Songs for a Mad King* as well as the two music theatre works mentioned above, was a flashback to hearing many records of this kind of music as a child during the years of the Second World War. The connection between many of his works of the late 1960s



to the corruption of religion and the cheapening of more noble sentiments, a typical example of which is the foxtrot variation on Handel's 'Comfort Ye' in *Eight Songs for a Mad King*, draws together powerful themes of wartime deprivation and violence and religious disaffection that may have required the extremes of expressionism to portray.

The experience of *Revelation and Fall* clearly conforms to the definition of expressionism given by Fechter; there is a directness of expression with few purely decorative elements and like most expressionist art the work focuses entirely upon the psyche of an individual *in extremis* and the music seems to spring directly from this emotional and mental state, despite the many levels of intricate construction analyzed in previous chapters. The voice was central to the first wave of expressionist composers; we have already seen how Schoenberg employed text as a structural device in *Erwartung*, and the setting of expressionist poems was just as important in the definition of an expressionist style of music as the romantic poets had been to the development of the Romantic style by composers such as Schubert, Schumann, Brahms and Wolf. Text and the presence of a singer, personifying the aesthetic, were used to connect with an audience and communicate the style with a directness that purely instrumental music could not. It is not surprising, therefore, that Davies's first fully-fledged expressionist work led him to engage with the human voice in a remarkable and challenging way.

After his largely syllabic text-setting in the opera *Taverner*, in *Revelation and Fall* Davies experiments with vocal extremes, writing a part that covers nearly three octaves and incorporates whispers, shouts, varying degrees of *Sprechstimme*, furious melismas and, famously, shouting through a megaphone. In a note about *Eight Songs for a Mad King* Davies recalled the vocal excesses of this work: 'The sounds made by human beings under extreme duress, physical and mental, will be at least in part familiar' (quoted in Griffiths 1982, 148); this inclusion of extra-musical vocal effects builds upon Adorno's comment that in

*Erwartung* 'passions are no longer simulated' but presented directly. In accordance with expressionist principals Davies allowed his text-setting style to be governed by the emotional state of the protagonist in a manner that seems to recall the theories of the expressionist dramatic theorist, Antonin Artaud, who believed that specific meanings of words should be undermined in order that the limitations of semantics do not get in the way of a much deeper, more visceral reaction to the drama. He suggested that this could be achieved by a new style of vocal delivery:

We must first break theatre's subjugation to the text and rediscover the idea of a kind of unique language somewhere in between gesture and thought [...] Abandoning our Western ideas of speech, it turns words into incantation. It expands the voice. It uses vocal vibrations and qualities, wildly trampling them underfoot. It pile-drives sounds. It aims to exalt, to benumb, to bewitch, to arrest our sensibility. It liberates a new lyricism of gestures which because it is distilled and spatially amplified, ends by surpassing the lyricism of words. Finally it breaks away from language's intellectual subjugation by conveying the sense of a new, deeper intellectualism hidden under these gestures and signs and raised to the dignity of special exorcisms [...] What matters is that our sensibility is put into a deeper, subtler state of perception by assured means, the very object of magic and ritual, of which theatre is only a reflection. (Artaud 1993, 68-70)

This is a remarkably precise description of the vocal writing in *Revelation and Fall*, written almost thirty years before Davies's work. Davies uses Artaud's suggestion of extreme incantation in many of his music theatre pieces to add the more intuitive level of meaning of words that Artaud and many expressionist poets wanted to reach. Davies does not follow Stravinsky's syllabic setting of words that is designed to withhold meaning and treat words as collections of phonemes in works such as *Oedipus Rex* and *Perséphone*; despite the frequent fracturing of the word, Davies takes care that each word should be recognizable at least once, but then often repeats or breaks up the word so that the 'melos' of the idea behind the word is then expressed. Of course, the basis of Davies's experimentation is the *Sprechstimme* found in *Pierrot Lunaire*, which Schoenberg defined thus: 'the singing unalterably stays on pitch,



whereas the speaking tone gives the pitch but immediately leaves it again by falling or rising [...] In no way should one strive for realistic, natural speech [...] But at the same time it must never be reminiscent of singing' (quoted in Auner 2003, 118). Schoenberg used the technique, in Metzger's words, 'to convey the delirium of madness' (Metzger 1994, 678). Arnold Whittall suggested that 'the effect is undeniably of song repressed, of the primitive and sophisticated, the impotent and the fertile, in conflict' (quoted in Ashby 2004, 189). Davies takes these attributes of the technique to the extremes.

The vocal part in bars 49-66 (Ex. 5.1) demonstrates several techniques that Davies used throughout the work. The transformation  $[B_0 \rightarrow AI_0]$  which makes up the vocal part has no direct effect upon the listener's experience of this line. The arrangement of the pitches in this exposition of theme B that spans the word 'ein' in bars 49-52 is too disjointed to be recognized as an important new melody and it would be an extremely keen ear that could recognize that the notes on the final word, 'geneight', are an inversion of the trumpet notes that begin the work. What the listener does sense is the tentative, fearful staccato that sets the first word as if the singer cannot bring herself to reveal the object to which the indirect pronoun 'a' refers. There is obvious word-painting on 'strahlender' (beaming, or radiant) in bars 53-59, which is set to coruscating melismas, growing in tempo and dynamic as if the singer is gathering confidence or being overtaken by the narration, but the next word 'Leichnam' (corpse) shocks her into soft staccato notes, like the opening of the section but now she stammers the first syllable of the word, not able to utter such an awful word. Once the full word has been pronounced in bar 63, Davies repeats it in a more obvious setting in bar 64 to make sure that it has been understood before the voice dies away as it describes the darkness over which the corpse bends. Because this section is controlled by a complete transformational process – the first appearance of this particular process – Davies uses

dynamic and stylistic contrasts to expose the meaning of every word, but does not deviate from accepted 'singing' practice.

Bars 79-95 (Ex. 5.2) have no strict compositional process underpinning them and Davies uses this opportunity to experiment with extended vocal effects. Roberts omits this section from his analysis entirely because of its lack of strict musical process, however dramatically it is extremely important, introducing both the crucial character of the sister and also the extended *Sprechstimme* with which Davies experimented for the first time in this work. The semi-spoken notes that begin the passage shock the ear as the first non-pitched sounds in the work and the breathy rasp of the 'trat' (appeared) increases the tension, building suspense of what is about to materialize from the gloom, the 'die' judders with fear before 'bleiche Gestalt der Schwester' (the pale figure of the sister) hovers high in the voice at a barely audible level, the voice guttering at the extended 'ch' of *bleiche*, which imbues the sister with a ghostly, ethereal character. The voice is denatured into a whisper on the words 'and her bleeding mouth then spoke' in order to shock the listener with the *sforzando*, stabbed 'Stich' (prick) separated from the rest of the passage with fermatas before and after it before the voice again dies away on 'schwarzer Dorn' (black thorn). As was shown in connection with *Das Lied von der Erde* in Chapter Four Davies often defines the end of a section with this kind of vocal *morendo*, other notable examples being on the words 'bitterer Tod' (bitter death) in bars 269-271 and 'mein antlitz erstarb' (my face died) in bars 329-331. It is important that in many of these cases, certainly all of the three examples just cited, Davies follows this dying fall in the voice part with an instrumental section, either an interlude or a chorale section, as if the composer is dismissing the voice and therefore the text and stepping forward to put his music centre stage for a while.

The interplay between the viola and the voice in bars 178-215, where the voice has long notes whenever the viola has a rest and fast melismas when the viola is playing, was



explained in Chapter One. Although this distribution can be analytically explained very neatly, the musical effect is very strange indeed. As shown in Ex. 5.3 there is a real bipolarity in the delivery of the text, which here is a description of the wild tempests that rage around the narrator, because Davies emphasizes the long notes with loud dynamic markings, while the melismas, which often repeat the word just sung, are to be sung *sotto voce*. Only the long instrumental interlude separates this passage from the introduction of the sister in bars 79-95 and this odd delivery of the text highlights the frantic instability into which the narrator has been thrown by the arrival of this character; the singer stammers, repeats herself, flies through her entire range and changes dynamics suddenly, all in the setting of a mere ten words. Davies is also capable of much more sensitive word-painting when this is required, such as during the passage underpinned by the transpositional set in bars 230-243 (Ex. 5.4). Echoing the '*gewölbten Brauen*' (arched brows) Davies creates six arches in this vocal line that reach towards the stars ('*Sterne*'). The word '*leise*' (quietly) is beautifully depicted with the limpid *portamento* and there is blissful dissipation in the soaring '*Herz*' and '*Nacht*' (heart and night) as the voice and the text again edges beyond perceptibility. The seemingly endless bar 244 follows this, depicting that peaceful annihilation of the self, but then follows the most controversial moment of the work and the most extreme vocal device.

The singer screams through a megaphone at the start of bar 245 against a barrage of percussion, including a railway guard's whistle and a large ratchet, before repeatedly shouting, also through the megaphone, the phrase '*ein rotter Schatten!*' (a red shadow). Davies marks this 'becoming ever more hysterical independent of conductor and percussion' (Davies 1971, 54). After the second chorale section the singer against shouts, through the megaphone, the description of killing the horse after seeing madness in his red eyes. This use of a megaphone is a very ambiguous gesture. Listening to a recording of the work it is extremely shocking; coming after a passage of barely-audible stillness one is truly horrified

by the inhuman noise that the singer is making, and it feels like Davies is using every available tool to express the absolute limits of emotional capacity, it is a desperate, violent ripping of tradition and humanity, which absolutely satisfies Artaud's desire to break free of the bounds of intelligible language and expose a more powerful communication. To an audience member at a live performance, however, the sight of a soprano dressed in a red nun's habit raising a megaphone to her lips and screaming at the top of her voice is undoubtedly funny, and caused John Warrack, in his review, to reflect on his attempt to push away his sense of humour, 'a dog that will keep bounding up unwanted' (Warrack 1968, 350). Davies is shrewd enough to know that this effect would have a humorous element to it; oddly therefore, whilst this is the moment of the rawest, most expressionistic uncovering of emotional crisis, it also shows Davies maintaining an ironic distance from his subject and ensuring that his audience does the same, through an unlikely use of humour. I shall return to this ironic distance that the composer maintains later in this chapter. In this style of vocal delivery Davies really does seem to be aspiring to the quality of expressionism as described in Fechter's definition, the experience of feeling 'in the most intensely concentrated manner possible', no vocal gesture is wasted and even when technically controlled by an underlying compositional process the effect at the surface level of delivery is of Fechter's 'intuitive release', with the improvisatory element adapted from the Indian performance tradition.

Another element of the music that seems to correspond to the aesthetics of expressionism is the introduction of a tonal element in the work. Peter Owens points out that sixteen years after he wrote *Revelation and Fall* Davies commented in a pre-performance talk that this was the 'first of his works in which an emerging tonality ("of A major") was to be heard' (Owens 1994, 190). Davies had included tonal passages in previous works, such as the use of Taverner's music in the opera *Taverner*, but these had been localized and always related to a 'found' object, such as the In Nomine theme, imported into Davies's own music.



This comment suggests that there was a deeper process at work, from the clear A minor key area suggested by the chorale sections to the sly resolution of this into a brief hint of A major in bar 370 with a rising C#-E figure in the flute and trumpet over a held A minor chord. When one hears a work like *St. Michael* that contains no hint of tonality at any level, one's ear abandons the search for tonal resolution, dissonance is truly emancipated, however as soon as a possible tonal goal is introduced, a listener's expectations are piqued and the crisis between tonality and atonality that is at the heart of most expressionistic music is reawakened. Many of the staunchest practitioners of total serialism in the Darmstadt School hated the mixture of non-tonal with tonal music. Boulez famously disliked many of the works of his teacher Messiaen because they mixed tonal elements with non-tonal, and Boulez, Stockhausen and Nono ostentatiously walked out of the premiere of Henze's *Nachstücke und Arien* at Donaueschingen in 1958, because of the tonal lyricism of the work that they believed betrayed the experimental cause that Henze had once supported (Rickards 1995, 145). Davies was well aware of the developments of the Darmstadt School and its practices, and any reconnection with tonality was not to be taken on casually in the light of such vituperative responses from some of the most influential voices in contemporary music. Nonetheless, Davies clearly felt that there was a need to reaffirm a connection with the listener that had been lost in the abandonment of tonality. The inclusion of tonality, surprisingly, does not make the work more accessible in the way that some late pieces of Schoenberg, such as his Second Chamber Symphony, Op. 38, that reintroduce tonal harmony are; in Davies's hands this hint of tonality becomes like the opening of an old wound – the presence of tonal expectation makes the dissonance and atonality more uncomfortable.

### 5.7 Musical Processes and Drama

Now that the text of *Revelation and Fall* has been explored it is important to reassess the compositional techniques that Davies chose to employ in this work, remembering that he selected only a limited few from a much larger arsenal, and determine how they correspond to the dramatic element of the work. Davies's transformational processes can be seen metaphorically to mirror the unstable psychological states that Trakl's text depicts and the way that Trakl's symbols are constantly transmuted according to context. These musical processes represent a world in flux, in which any perceived identity is only a fleeting chimera. For the most part the music is caught in a no-man's land between two identities as defined by the terminal subunits of the transformation. Just as in *Taverner* the central dramatic idea is, as Rodney Lister writes, 'the uncertainty of apparently clear and undeniable truth: nothing is as it seems and everything is undermined' (Lister 2009, 111), so in *Revelation and Fall* the uncertainty of sanity and the blurring of real and imagined worlds cast doubt on all fixed points of reference. It is interesting that in the programme note to the Second Taverner Fantasia Davies overtly links his transformational processes with literary devices:

The musical processes involved are perhaps somewhat analogous to the literary techniques employed by Hoffmann in, say, *Meister Floh*, where certain people, spirits and plants are shown to be, within the context of an elaborate 'plot', manifestations of the same character-principle – as is made clear by a line of connection (not a process of development!) that is sometimes semantic. (Quoted in Griffiths 1982, 141)

This suggests that he is thinking of character manipulation as being an intrinsic part of his musical processes. This idea is taken further in *Taverner*; the transformational processes are used most extensively in Act One, Scene Four, which concerns the problematic conversion of Taverner to the Protestant faith, which Davies describes as 'a process akin to brain-washing [...] effected by puppet-like characters conjured up by the jester' (Davies 1972, 5). It is



appropriate that thematic ‘conversion’ should illustrate this process. Stephen Arnold suggests that ‘the “gradual transformation process” [...] is musically an enactment of Taverner’s conversion’ (Arnold 1972, 26). This perhaps goes some way to explaining why Davies chose only the simplest form of transformation processes with which to construct this piece. The choice of transformations indicate the mutable, entropic psychological processes involved in the work, whereas the transpositional sets that Davies used in closely connected works imply stability because the identity and contour of the themes remain intact throughout their many combinations. The one example of a transpositional set in bars 230-243 does coincide with a moment of stability and peace, as the narrator’s heart is described pealing quietly in the night, supporting this suggested association of transposition with stability and transformation with instability. The discarding of the more complex types of transformation, as found in the Second Taverner Fantasia and *Taverner*, indicates a desire to find a more direct language, in keeping with the nature of expressionism as detailed above.

There are cameo appearances in *Revelation and Fall* of two musical ‘objects’ that also appear in all of the orbiting ‘Taverner works’ and seem to have no structural role to play – the ‘Death Chord’ and the opening of the *Gloria Tibi Trinitas* plainsong upon which Taverner’s Mass discussed in Chapter Three is based. Davies introduces this chord in Act One, Scene Four of *Taverner* when Taverner realizes that he is in the presence of Death – a transformation of the Jester figure. The chord is nothing more than the superimposition of two major thirds, D-F# and E-G#, usually appearing in the bass, but it is a recognizable sonority that reappears throughout the act whenever Death is mentioned. Davies describes the final movement of *Seven In Nomine* as a summing up of the harmonic implications of his contributions to the set (Griffiths 1982, 140), and the fact that this movement finally crystallizes on the Death Chord (see Ex. 4.16) implies that the music has had an inbuilt senescence, moving gradually towards death. The chord becomes a structural device in the

Second Taverner Fantasia; Davies writes of the appearance of the chord there: 'The development proper starts (bar 267) with the chord D-F#-E-G# held on four horns; the constituent intervals in this chord are gradually heard to dominate and unify the whole melodic and harmonic structure of the work' (quoted in Griffiths 1982, 142). Rodney Lister builds on this point:

the harmonic strategy of the work relies on the gradual emergence and repetition of the so called 'Death Chord', which becomes a fixed reference point at important structural moments. The harmonic movement of the work is away from and back to those fixed points, rather than those points being markers of a large movement away from one clearly defined tonal area to another clearly opposing one and then back to the original. (Lister 2009, 111)

It is interesting that in his programme note to the Second Taverner Fantasia Davies makes no mention of the fact that this is a chord associated with the figure of Death in the opera. Perhaps in this work he is simply elaborating on its musical potential, entirely divorced from its extra-musical association. In *Revelation and Fall*, however, the association seems to be reinstated as the chord appears at a crucially dramatic point in the narration. In the case of *Revelation and Fall* Davies does not use the chord as a basis for further musical development; it is used rather as a signpost, inserted into the musical process as a static symbol. It first appears as the red shadow breaks into the inn, accompanying the amplified screaming singer and stentorian percussion on high woodwind, then low brass and strings, clearly identifying the figure of the red shadow with Death, and then again played by the whole instrumental ensemble in bar 262 before the words '*o, bitterer Tod*', which reaffirm its association.

The most complex interaction of musical process and textual elements is to be found in the alliance of musical and dramatic structure. It would be extremely complex to try to map every detail of the many formal layers that were extracted from the work in Chapter Two (see Fig. 2.3) onto the dramatic structure of *Revelation and Fall*. Let us instead be content



with an application of a single-movement sonata-*Allegro* form, which is the main overarching structure of the work, to Trakl's text. Charles Rosen claims that sonata form became the most prestigious form towards the end of the eighteenth century and through the nineteenth because it elevated instrumental music, particularly the symphony, to a position of popularity and regard previously only held by virtuosic displays in vocal music and concertos: 'The sonata forms made this possible by providing an equivalent for dramatic action, and by conferring on the contour of this action a clear definition [...] it has a dynamic closure analogous to the denouement of eighteenth-century drama, in which everything is resolved, all loose ends are tied up, and the work rounded off' (Rosen 1988, 9-10). It seems natural, therefore, that the form would lend itself to operatic adaptation, and indeed there are important precedents of sonata form being used in this way. A short survey of examples by Mozart and Berg may help to define some parameters that can be applied to Davies's system.

Rosen describes the form of Mozart's Act 3 Sextet of *Le nozze di Figaro* as 'slow movement sonata form (i.e., without a development section, although the "second group" of the exposition is suitably heightened and intensified here as to provide some of the effect of a development)' (Rosen 1976, 290). The importance of this sextet is that Mozart uses sonata form not simply as an organizing principle for an elaborate musical structure, but as a clear narrative support for the complex dramatic situation. At the beginning of the sextet Figaro has just discovered that Marcellina and Bartolo are his mother and father, freeing him from the contract to marry Marcellina as well as reuniting him with the parents he has never known. The Count and Don Curzio are dismayed since this foils their plan of marrying Figaro off to the old lady. The first-subject group of the piece contains three themes, the first (theme A – Ex. 5.5a) associated with Marcellina and Bartolo convincing Figaro of the veracity of their claims of parentage, the second (theme B – Ex. 5.5b) a disjointed quaver figure denoting the Count's and Curzio's irritation at this new revelation, and the third (theme C – Ex. 5.5c) a

short but ecstatic imitative phrase showing the happiness the reunited family feels. The music modulates to the dominant, heightening the tension, as Susanna appears with a purse of money, ready to buy Figaro out of the marriage contract. So far the first-subject group represents a static situation – the family is reunited and the Count and Curzio are foiled, but the movement to the dominant coincides exactly with the first moment of conflict as Susanna enters to see Marcellina and Figaro embracing, unaware that they are no longer betrothed. In this short transition Susanna is overwhelmed by this show of affection, represented by the reappearance of theme C (it was common practice in the sonatas of Haydn and Mozart that part of the first subject should appear at the beginning of the second (Rosen 1976, 292)). Susanna, in a fury, protests against this apparently misguided fondness with a transitional passage that takes the music through the dominant minor, a most uncertain area. As the sextet firmly reaches the dominant major no dramatic resolution has been found and the Count, Curzio and Susanna introduce the second-subject (theme D – Ex. 5.5d), a dotted figure that disrupts the calm that the other three characters try to instil with slow-moving minims, theme E, derived from the opening contour of theme A (Ex. 5.5e). The development of theme A into themes C and E precludes the need for a separate development section and Mozart uses the recapitulation to trace Susanna's acceptance of Figaro's parents. Mozart finds his tonic of F major in a simple two-bar retransition and while the wind play theme A Marcellina calmly explains the whole situation to Susanna. Her disbelief is shown by her adoption of the Count's first theme (B) to question this new information but as Figaro elaborates on theme C with incontestable unison support from the orchestra, Susanna finally relents and embraces her future parents-in-law. All tensions have now been resolved, but the second-subject group has not yet been recapitulated; this is done in a sublime coda, in which Susanna, Marcellina, Figaro and Bartolo create a smooth texture recalling the lyrical themes A, C and E and the Count and Curzio are left to vent their spleens powerlessly with dotted rhythms taken from



theme D. Mozart here demonstrates how each element of sonata form can be given a dramatic purpose. He uses the conflict and contrast upon which the form is based to set up static dramatic positions against which characters align themselves – Susanna’s journey from her second subject association with the Count’s fury to her first subject reconciliation with Figaro and his new-found parents is the main source of both dramatic progression and musical development.

Alban Berg uses the form in a similar way in the first scene of the second act of his opera *Wozzeck*. Berg himself said in a 1929 lecture on the opera:

The second act [...] has, as its first musical form, a sonata movement. It is not, perhaps, an accident that the three figures appearing in this scene, Marie, her child and Wozzeck, form the basis of the three thematic groups of the musical exposition – the first subject, second subject and coda – of a strict sonata structure. Indeed the whole of the dramatic development of this jewel scene, the twofold repetitions of certain situations and the confrontation of the main characters, lends itself to a strict musical articulation with an exposition, a first reprise, development and finally a recapitulation.

(Quoted in Jarman 1989, 162-163)

Berg’s use of the form in the first scene of Act Two of *Wozzeck* is quite different to Mozart’s. The first subject (Ex. 5.6a) is associated with Wozzeck’s partner Marie admiring herself in a fragment of mirror wearing the earrings given to her by her lover, the Drum Major, and the second subject (Ex. 5.6b) is a folk-like song that Marie uses to frighten her child back to sleep, warning him that a gypsy boy will abduct him if he stays awake. Berg uses the classical tradition of the repeated exposition to replay this dramatic sequence, with the chords of the original first subject arpeggiated (Ex. 5.6c), as Marie once again looks at herself in the mirror before the child wakes up for the second time. Marie sings a variant of the second subject in diminution (Ex. 5.6d), showing her growing irritation, as she convinces the child that if he stays awake the sandman will look into his eyes and blind him. As she creates the sandman by reflecting a spot of light around the room with the mirror, Berg superimposes

figures derived from the rhythm of the first subject, associated with the mirror, over the diminution of the second subject, associated with the sandman (Ex. 5.6e). The development begins with Wozzeck's arrival, which just like Susanna's entrance introduces a new element of conflict as he notices Marie's new earrings and questions how she got them over rapid repetitions of the first subject (Ex. 5.6f). He drops his inquiry and calms the agitated Marie before noticing the sleeping boy and singing sympathetically about the hard life into which the child has been born. This theme is not strictly a development of the second subject but adopts its folk song style (Ex. 5.6g). Wozzeck then leaves after giving Marie money. Like Mozart, Berg associates each theme with an aspect of the dramatic situation but whereas Mozart's themes do not shift their associations and the changing sympathies of characters are demonstrated by the themes they adopt, Berg's more leitmotivic themes develop with the changing psychological states of the protagonists. In the recapitulation, therefore, since Wozzeck has associated the first subject with accusation and guilt in the development section, Marie can no longer enjoy her gift and this theme reappears transposed down an octave and deflated as she thinks of the jewels once more. The violent restatement of the second subject with Marie's song reduced to spasmodic fanfares (Ex. 5.6h) is left to the orchestral interlude that follows, now associated not with sleep but, again through Wozzeck's reinterpretation in the development, with the hardship of life. In *Revelation and Fall* Davies adopts both Mozart's creation of static dramatic parameters within which characters shift and Berg's psychological development of themes, but also uses musical form to introduce another important aspect – that of the composer as commentator upon the drama.

The first-subject group of Themes A and B are used to establish the identity of the poem's narrator and his whereabouts. During the first part of the exposition we are introduced to the burnt inn and the disturbing images of the glittering corpse and the dead lamb. Before any of this is established, however, we hear the trumpet revealing theme A in



that disjointed instrumental passage that introduces both the expressionistic sound-world of the work, and also Davies own personal voice as distinct from Trakl's. It is important that we hear Davies's musical voice before we hear Trakl's literary voice. Davies extends this composer's voice distinct from the poet's in the chorale second subject, which as mentioned above introduces the element of religiosity and atavism not to be found in the original text. The gradual corruption of this theme that we shall see throughout the work, invoking the rottenness that Davies saw in organized religion, is an entirely original conceit superimposed upon the poem by the composer, and importantly it never appears in the vocal part; it is kept very separate from Trakl's contribution to the meaning of the work. The character of the sister is introduced in a brief transition based on the first-subject themes – Davies placing this important event in a section slightly outside the strict formal design in order to experiment with extended vocal techniques, as described above – before the development section begins. Thus in the exposition Davies introduces not only the conflict between the narrator and the sister, associated with the first-subject group, but also between himself and Trakl: he claims primacy in the trumpet-led introduction and the second subject represents Davies's purposeful misreading of the original poem.

Davies leaves Trakl's text out of the first part of the development section entirely. In the much-discussed instrumental interlude, the composer flexes his musical muscles, but importantly all this musical experimentation is based upon the first-subject material, which is mainly connected to Trakl's characters and images, and the style of the music seems to release the intense violence and madness bubbling under the surface of the exposition, as if he is giving space for Trakl's concepts to ferment, whilst giving free reign to his own musical constructs. When the voice re-enters the new theme, theme D, is introduced firstly in an embryonic state in a flurry of harp notes as the narrator recalls the squall of a fierce tempest, then without the voice in a piccolo cantus firmus marked to be played as piercingly as

possible. Introduced just when the narrator responds to the sight of the sister with panic, this new theme can be seen to represent his loss of reason, the catalyst of his madness. Transpositional groupings mainly of theme D then accompany the dissipation of his heartbeat into the night – a sort of spiritual death. Davies continues to illustrate this with that single extended bar of music, in which the transformation of theme D into its inversion is associated with the total evaporation of consciousness.

In the next part of the development section theme D for the first time interacts with the first-subject group. The shocking appearance of the red shadow of death, notoriously announced by the singer screaming through a megaphone, corrupts the original scenario established by the first-subject group with the theme representing mental collapse. As the chorale theme returns in the development of the second subject, its purity is undermined by the accumulation of inverted and retrograded transformations of itself, and Davies gives the trumpet a retrograde inversion of the theme to be played with sentimental vibrato – an early example of the references to popular dance hall music that became an important feature of Davies's later works such as *St. Thomas Wake* (1969) and *Vesalii Icones*. For the episode in the forest, the last part of the development section, Davies combines all his themes, theme D catalyzing new transformations with themes A and B, just as it catalyzed the narrator's loss of reason, over the ultimate corruption of the chorale theme in saccharine thirds on amplified violins, before the narrator's identity disintegrates.

The instrumental interlude that begins the recapitulation resolves theme C into that surprising A major cadence, which, whilst being important structurally and in terms of establishing that hint of tonality, feels like a cheap gesture that dismisses the religious element as worthless. This passage also buries theme D back into the harp figure. Dramatically, this interlude acts as a scene change, depicting the return to the 'reality' of the inn from the subconscious world of the forest, reminiscent of the transitions between different



social realms in Wagner's *Das Rheingold* (1869). With themes C and D dealt with – my association of the latter with the narrator's delirium seems justified since it disappears as he is brought back to reality – we are left with only the first two themes and the first two characters, the narrator in the inn and the sister. These two themes and characters swirl around each other in eternal guilty conflict as the recapitulation ebbs away.

Davies uses Mozart's static associations of the musical oppositions inherent in sonata form to define all the main elements of Trakl's text – the narrator in the inn, the sister and the mental crisis that leads to seeing the spectre of death and the refuge in the dream-world, as well as the religious aspect that is imposed upon the work, but also extends Berg's leitmotivic development of themes in the gradual corruption of the chorale and the use of theme D as a catalyst for new development of the first-subject group, just as the narrator's madness sends him into new fevered imaginings. The most important aspect of the use of the form, however, is that through reference to such a prestigious, archetypically classical form Davies is claiming that, in this new synthesis of music theatre, music should be an equal or even greater repository of meaning as the text that it sets. The instrumental interludes allow the drama to be played out in entirely musical terms, with Davies giving himself the space for purely musical development and experimentation that he felt was denied him when writing his contemporaneous opera *Taverner*. More than this, however, Davies establishes himself as an ironic commentator upon Trakl's text through the invention of the chorale theme – the musical equivalent of hijacking the meaning of the poem by recasting the narrator as a red nun. Throughout the work it remains a strand of meaning that is entirely created by, and is really about, the composer and his world-view. This element points towards the postmodern awareness of the composer as observer and critic of his own work that comes to fruition in later works such as *Eight Songs for a Mad King*, in which the fracturing of musical and dramatic meaning through ironic separation of these strands is central to the work's impact.

### 5.8 The Genre of Music Theatre

This last point about the ironic separation of levels of meaning is central to the question of how to define *Revelation and Fall* generically. Throughout this thesis I have referred to the work as a music theatre piece. However, this definition is not to be applied without caution. With hindsight one can see this work as the pivotal work that led Davies to create the experimental and accomplished series of music theatre works including *Eight Songs for a Mad King*, *Vesalii Icones*, *Missa Super l'Homme Armé*, and *Miss Donnithorne's Maggot* (1974) in the late 1960s and early 1970s before returning to a more traditional operatic style of presentation with *The Martyrdom of St. Magnus* (1976) and *The Lighthouse* (1979). At the time of writing it, however, Davies was less certain about the theatrical nature of *Revelation and Fall*; when Paul Griffiths asked him whether he had thought about this work as a theatre piece he answers: 'Yes, but only in a very limited way. I didn't realize what the implications were, that it was going to develop so much. I had no idea that the *Eight Songs for a Mad King*, for instance, were just around the corner' (quoted in Griffiths 1982, 110-111). In the score he dodges the issue of genre subtitled the work merely 'for Soprano and Sixteen Instruments', whereas *Eight Songs for a Mad King* proudly describes itself as a music theatre piece on the title page. Nonetheless, this work was written at a time when many composers were struggling with established, operatic forms of music drama and were trying to find new ways of combining music and theatre that did not rely on these supposedly outdated traditions. The artistic context into which *Revelation and Fall* was inserted is important and it worth exploring this in order to determine how *Revelation and Fall* responded to these new challenges and related to contemporaneous music theatre works.

Harry Partch's diatribe about the obsolescence of traditional forms of theatrical music was typical of many composers working in the middle of the twentieth century:

Realization of the problem of live music in live theatre includes facing up to this ingrained philosophy of specialization, facing up to the conspicuous failure of both drama and music to understand each



other in this modern world, facing up to the fact of separate schools of theatre and music [...] the orchestra pit is a symbol of shame, the shame of both music and the theatre [...] The theatre gets its help from music – and then demonstrates its ambivalence by inventing the orchestra pit with the musicians operating in solitary confinement [...] To show their ambivalence in return, the musicians frequently drown out and render much onstage unintelligible. (Partch 2000, 241)

Luciano Berio also expressed his deep concern for the state of opera at this time, saying that not even Bertolt Brecht's theatrical innovations had saved opera from itself:

What Brecht never gave us, however, is an evolutionary view of the means and criteria that govern music theatre. His ideological apparatus (“Do not build on the good old days, build on the bad new ones”) did not allow him to evaluate the historical fact that, in the meantime, opera and its temples had been transformed into very complicated museums, closed in upon themselves, and cut off from the changing world outside. Theatre, with or without music, must preserve the tendency to break out of itself, to speak to a world outside [...] the opera genre has been subjected in recent years to close scrutiny; it has been completely dismantled, and its component parts, with their burden of memories, have been sorted through, reassembled, discarded, transformed, and, frequently, eliminated. Was this necessary? [...] I would be the first to recognize the countless difficulties one encounters in trying to make music theatre on a crumbling stage, a stage which does not allow one to create characters capable of living out their improbable tragedies, a stage, in other words, thronging with the ghosts of opera history. (Berio 2006, 108-109)

Ligeti shared similar concerns: ‘I cannot, will not compose a traditional “opera”; for me the operatic genre is irrelevant today – it belongs to a historical period utterly different from the present compositional situation’ (quoted in Griffiths 1995, 171).

Composers of this period tried many different ways to revivify the combination of music, text, gesture and theatre. Whilst some works retained a narrative element but reinterpreted the presentation, such as Britten's *Curlew River* (1964) and Henze's *El Cimarrón* (1969-1970), invoking the direct intensity of Japanese Nō theatre in the first and semi-improvised melodrama in the second, others concentrated upon making the act of music-making a theatrical event in itself. Works such as Cage's *Water Music* (1952) made

the physical act of making sounds integral to the experience of the work and Mauricio Kagel wrote concert works with a theatrical dimension, such as *Match* (1964), which represents a tennis match by having increasingly challenging and athletic musical gestures being passed between two solo cellists, whilst a percussionist acts as umpire, defining points and indicating changes in play (Heile 2006, 46). Davies's closest colleague for a time in the 1960s, Harrison Birtwistle, wrote several pieces that concentrated upon extracting the drama from purely musical processes. In *Verses for Ensembles* (1968-69), Birtwistle instructs that players should move around a predefined space according to the hierarchical status of their parts at any one time. Through this device Birtwistle actualizes normally abstract musical concepts into a physical ritual, this ritual element being emphasized by the arrangement of the players as if they were in the choir stalls and at the lecterns of a church. Berio wrote many pieces that reinvented the relationship between text and music. In *Circles* (1960) Berio drew a huge range of declamatory techniques for the soprano soloist (originally Cathy Berberian) from the distilled, concentrated poetry of E. E. Cummings, and created the instrumental parts by imitating and riffing on these sounds, thus allowing the musical material to stem entirely from the delivery of the text. Berio included a physical element in this piece by having the singer moving around interacting with the instrumentalists, eventually playing some of the percussion instruments herself. György Ligeti's *Aventures* (1962) and *Nouvelles Aventures* (1965) are dramatic works whose texts comprise nonsensical patterns of phonemes indicated by the 120 different symbols of the International Phonetic Alphabet, guttural noises and breath sounds, and Ligeti's imaginative notation is designed to indicate every nuance of vocal production from sung and half-voices pitches, to whispering and exclamation (Steinitz 2003, 130). The collaborative, multi-media pieces typified by the activities of the Fluxus Group, in which important figures such as Cage, pianist David Tudor, artist Robert Rauschenberg and choreographer Merce Cunningham, brought their skills together for a series of unrepeatable



'happenings', presented another solution to the problem of the theatrical presentation of music and other art forms and were extremely popular from 1959 to 1964.

Compared to these contemporary trends *Revelation and Fall* does seem rather more traditional in its presentation; Davies certainly incorporated more experimental techniques in his later music theatre works, particularly the inclusion of all the players in the theatrical aspect of the work and the physical interaction between every participant. In *Eight Songs for a Mad King* the players were housed in giant birdcages, representing George III's pet birds and one of the most shocking occurrences in the work is the King grabbing the violinist's instrument and smashing it, representing him killing the bird. *Vesalii Icones* is a multi-media event, although with much greater interconnectedness of meaning than those of the Fluxus Group, in which the fourteen stations of the Cross are superimposed upon fourteen anatomical sketches by Andreas Vesalius. A solo male dancer represents Christ who interacts with the solo cellist, who at different times can represent Pilate, St. Veronica or even Christ's flagellator, whilst the rest of the instrumental ensemble comment upon the action in the manner of a Greek chorus. Like the soprano taking up musical instruments in Berio's *Circles*, in the movement of *Vesalii Icones* called 'The Mocking of Christ' the dancer plays a Lutheran chorale that devolves into a foxtrot on the piano, as a representation of Christ's debasement. Extreme though its musical language is, *Revelation and Fall* does not engage with these kinds of theatrical experiments, although it must be seen as a dramatic work. Like so many of its techniques, as this thesis has shown, it looks back a little further than these contemporary works to find its identity.

Although *Pierrot Lunaire* and specifically the performance of it at the 1965 Wardour Castle Summer School cannot be taken as the sole reason for Davies's adoption of expressionism, it could well have affected the theatrical presentation of the piece. Davies was certainly deeply affected by the overtly dramatic performance of the work on that occasion by

the American soprano Bethany Beardslee, and this seems to have encouraged him to do something on a similar scale. Schoenberg's set of melodramas has a peculiar generic form. The close ties *Pierrot Lunaire* has with song cycles such as those by Schubert and Mahler and Schoenberg's own *Das Buch der hängenden Gärten* (1908-9) have beguiled many critics and led Ernest Newman to call the work a 'new twist to an old commonplace', and to find the last piece of the work nothing but 'a platitudinous German Lied wrenched a little out of shape' (quoted in Metzger 1994, 678). This judgment misses the theatrical nature of the work and the fact that it rather defies previous generic distinctions. It is important that this work was the response to a commission from Albertine Zehme, a popular cabaret artist, for a cycle of works that she could perform. Schoenberg's connections with German cabaret are perhaps surprising; however, cabaret provided very fertile ground for new syntheses of genres. The *Überbrettel*, (or 'super theatre', a play on the Nietzschean *Übermensch*) was set up in Berlin by Ernst Wolzogen with the intention of giving lighter theatrical forms a greater cultural influence and to make concert music more appealing to common people. This cabaret, which combined puppetry and shadow play with song and recitation, became an important playground for those artists who felt confined by the constrictions of opera or theatre (the crisis of the 1950s and 1960s described above was not as novel as those composers may have liked to believe), and Schoenberg had contributed songs as early as 1901 and even conducted some performances there (Crawford and Crawford 1993, 235). It seems likely that given its target performer Schoenberg would have drawn heavily upon his experiences with the *Überbrettel* in the development of the form and style of *Pierrot*. The first performance was very theatrical in nature, with Zehme in a Columbine costume and the musicians hidden behind dark screens (Dunsby 1992, 25), although in later performances the instrumentalists tended to be visible. What makes *Pierrot Lunaire* generically different from *Erwartung* is that it was performed in the concert hall rather than opera stage; thus the work becomes a



dramatization of a musical event, rather than the involvement of music in a dramatic event. Similarly, *Revelation and Fall* is not designed as an operatic work; it is not to be staged as an operatic monodrama like *Erwartung* or Poulenc's *La Voix Humaine* (1959), but should be presented, like several of the works by Berio, Birtwistle, Ligeti and Kagel discussed above, as a concert event with a theatrical element. This actually reveals *Pierrot Lunaire* as a common influence on many music theatre pieces of the 1950s and 1960s. Despite their greater experimental nature Davies did not deviate from this style of presentation in his later music theatre works, all the music theatre works cited above being given in concert halls rather than theatres.

The important aspect of *Revelation and Fall* that neither *Erwartung* nor *Pierrot Lunaire* contains is the dual role that Davies creates for himself as composer, able not only to sincerely depict the emotional depths of Trakl's text but also to comment upon this text from an ironic distance and superimpose layers of meaning quite absent from the original poem. A strong precursor of this ironic distance between composer and text and superimposition of different strands of textual, musical and dramatic meaning can be found in the theatrical works of Stravinsky.

Stravinsky wrote in his *Poetics of Music* that he felt that the Wagnerian synthesis of the arts had 'inflicted a terrible blow upon music itself [...] I hold that this system, far from having raised the level of musical culture, has never ceased to undermine it and finally to debase it in the most paradoxical fashion'; he believed that music yoked to the other arts in this way was 'arbitrarily paralyzed by constraints foreign to its own laws' (Stravinsky 1947, 61-62). In his own theatre pieces he therefore experimented with ways to free music from these constraints by fracturing traditional associations of music, text and gesture so that an audience was forced to re-evaluate the relative importance of these components. Many of the devices that Stravinsky used to dislocate the elements of music, text and gesture were often

geared towards alienating the audience, preventing them from totally immersing themselves in the presentation of the drama. One could say that Davies's inclusion of a scarlet nun's habit and a megaphone have a similar function; they have meaning and purpose within the theatrical presentation but they separate the audience from the original message of the text. In *Renard* (1916) Stravinsky wove the layers of dance, sung text and music that portrayed these simple folk tales in such a way that they rarely intersect directly. The singers sometimes verbalize the dancers' characters and actions although they often swap roles to prevent direct association, at other times they comment on the action as detached observers and often are given only guttural sounds that are absorbed into the instrumental texture so that textual meaning is subsumed within the musical material. This unnerving inconstancy in character representation was further explored in *Histoire du Soldat* (1918). The two main characters of the Soldier and the Devil are portrayed by actors speaking their words and dancers showing their actions, although this is complicated by the role of the narrator who forms a particular attachment to the Soldier, sometimes stealing his lines from the actor and at one point turning his back on the audience in an attempt to communicate directly with him. The Soldier is represented physically by the dancer, textually by both the actor and narrator and musically by the onstage violin and also the band, which sometimes directly characterizes him in pieces such as the recurring Soldier's March and sometimes comments ironically on his progress in parodistic popular dances – the tango, waltz and ragtime. These layers of representation seem to glide over one another, sometimes casting a shadow or a reflection in another plane before moving away.

Davies's impositions on Trakl's text have a similar effect; Davies acts like the narrator in *Histoire du Soldat*, at once involved in a sincere depiction of the text and also at a remove, commenting on it and altering its course and message – an attitude that one can see being applied to musical processes, like the use of sonata form and the corruption of the



chorale theme to give himself a voice distinct from Trakl's, and the presentation of the work, with the truncation of the text and the addition of a red nun's habit and a megaphone. *Revelation and Fall* displays an early form of the ironic detachment from his material that was to become central to Davies's later music theatre works. This idea of distance seems crucial to all the influences discussed throughout this thesis. Davies set himself apart from contemporary musical development, especially as exemplified by the Darmstadt School, and looked back for artistic nourishment to many styles, techniques and aesthetics from historical periods and cultures from which he was quite separate. This distance between Davies and the sources of influence is what frees him from a Bloomian anxiety and allows him to choose how to respond to each influence – whether to adopt it sincerely or ironically – or indeed in both ways at once. The Conclusion of this thesis will return to the issues surrounding influence study that were discussed in Chapter One and reassess them in the light of the findings of the last five chapters.

## CONCLUSION

This thesis is primarily a study of Peter Maxwell Davies's work *Revelation and Fall*, but there are two issues that have been considered throughout it – the inadequacy of serial analysis that excludes structural, textural or extra-musical factors and the benefits of analyzing a work within the context of a developmental continuum of artistic traditions. Let us now address these issues having seen what this research has uncovered.

I contend that serial analysis on its own can only provide the skeleton of a work and is not enough to qualify a work as being musically viable. This may be a controversial suggestion, but I feel that it is extremely relevant to the examination of much twentieth-century music. Kathryn Bailey's analysis of Nono's *Il Canto Sospeso* (1955-56) is a very intriguing document in this respect. She begins by quoting composer Alexander Goehr's doubts about the artistic validity of integral serialism, which he suggests 'amounts to a complete neutralization of musical character. The creative idea is replaced by a mere procedure. There is no *material* in the traditional sense, but only a pre-compositional abstraction of the intended course of events' (Goehr 1998, 22, original emphasis). Bailey's analysis of this work, which is seen as a master-work of integral serialism, contains such depth and detail that one assumes that it is meant as a rebuttal of Goehr's concern; however as a coda to the study Bailey makes a surprising volte-face, and becomes resistant to the idea of seeing the work as music at all. She writes: 'I find it very difficult to write about the work as music, because it doesn't seem to me either to consist of musical fabric or to behave in a musical way' (Bailey 1992, 328). She returns to Goehr's statement and explains his use of the term 'material':

He means *melody* as distinct from the arbitrary succession of pitches, *rhythms* that are contrived either to reinforce or to suspend a metrical orientation, *simultaneities* brought together to some purpose, *motives* that recur or develop and in some way provide unity. These things are the essence of music,



and they have no place in the music of integral serialism, in which decisions concerning the combination of ingredients are made on non-musical grounds before composition begins. (Bailey 1992, 328, original emphases)

Having delved into the work in such depth she dismisses it with a simple phrase: ‘the downfall of this music finally is its sameness throughout’ (Bailey 1992, 328), echoing Goehr’s comment: ‘No amount of technical ingenuity can break the monotony of regularity [...] The dull impression is simply due to the fact that all serial possibilities are continually present in the work. Musical interest is always produced by the restriction of possibilities’ (Goehr 1998, 23). Bailey ends her article with a damning comment: ‘When sense and sound – constructive achievement and aesthetic effect – are out of kilter to the extent that they appear to be here, something must be wrong’ (Bailey 1992, 329). This is a stark example of my concerns with Roberts’s analyses. These analyses provide the same sort of information as Bailey’s of *Il Canto Sospeso*, and this is exactly what Roberts sets out to do, but if one cannot then add further layers of musical detail onto this foundation one would be left with the same question about what ‘musical material’ the work actually contains.

Peter McCallum’s suggestion, quoted in Chapter One, that analysis often ignores gesture, stylistic reference, and parody, elements that he calls ‘third-order articulations’ can be usefully extended here. He explains that this last phrase is derived from Claude Lévi-Strauss’s book *The Raw and the Cooked* (1964): ‘For Lévi-Strauss music achieves meaning through two “articulations” from nature, the first metaphoric (i.e. transformational), the second metonymic (aligning sounds by association) [...] My suggested “third-order” articulation takes the cultural meaning thus achieved as a more complex unit for further gestural transformation’ (McCallum 1990, 217). Redefining this entirely in terms of music analysis and the formation of the personal musical language described in the Introduction, rather than Lévi-Strauss’s structural anthropology, one could take the serial analyses exemplified by Roberts and Bailey as studies of the first-order articulation, which can then be

built upon as the chapters of this thesis have done, to include the factors that Goehr suggests constitute musical material, with form being considered a second-order articulation, contrapuntal arrangement of thematic strands as third-order articulation, considerations of timbre and texture as fourth-order articulations and other extra-musical factors as fifth-order articulations – without the ordering of these articulations implying any relative importance. A complete picture of the musical language employed in the work under analysis can only be gleaned through the combination of all the levels through which the piece articulates itself. Bailey's discovery that Nono's work is articulated only on the first-order level is what restricts its musicality and communicative power. I am not suggesting that these exact parameters should be applied to other works; the precise nature and number of these articulations will differ from work to work, for example some pieces may have a textual element, literary influence or programmatic basis, whereas others are totally abstract; for some works the formal element is extremely important, whilst for others, like *Erwartung*, it is of minimal significance. It is important that an analyst identifies the levels through which each piece under examination is articulated and then attempts to include every level in the analysis, if the purpose is to give a holistic view of the work. If an analyst chooses to examine only one level of articulation, then there must be no presumption that the articulations omitted in the analysis are of no significance to the work, as Roberts dismisses the many historical compositional models to which Davies refers in his programme note as being unimportant to *St. Michael*.

This technique of divining the levels of articulation of a work guards against McCallum's complaint about the limited nature of such analysis and also satisfies Bailey's and Goehr's complaints about the musicality of works that can only be shown to operate on one level, but it does not answer Korsyn's problem of analysis taking works as synchronically autonomous entities. The consistent reference to influences throughout this



thesis places *Revelation and Fall* very much in an historical context so that one can see how many different traditions feed into the work and form its identity. This does not need to weaken the analytical process, indeed the exploration of influence can also suggest different perspectives through which to view the work: for example, it would certainly have been possible to analyze the sonata form structure of the work without reference to any previous models, but knowing that Davies was interested in the contrasting ways that Sibelius and Mahler dealt with this form suggests the different and simultaneous organizational schemes discussed in Chapter Two that may not have revealed themselves without comparison with these precursors.

Having applied influence study at such length in this thesis let us return to the antithetical stance towards this practice held by many literary theorists. As shown in Chapter One Clayton and Rothstein summarize the concerns with influence study especially as a poor relation of intertextuality into four factors:

(1) behind an idea of influence lie dubious normative judgments about originality; (2) the biographical issues crucial to influence are at best merely ancillary to texts; (3) a stress on the author's being influenced or influencing tends to make the author authoritative, thus to brush aside the activity of readers, let alone their freedom of interpretation and response; and (4) a concern about influence promotes an outworn humanism [in other words, the suspicion that giving too much attention to the author within a 'humanist scheme of values' distorts cultural, political and ideological understanding].

(Clayton and Rothstein 1991, 12)

These four concerns must now be refuted.

1. **Normative judgments.** Concerns about originality and artistic identity cannot be overcome by simply ignoring the possibility that artists were inspired and influenced by other artists and the stubborn view of works of art as entirely autonomous entities. All artists must find their individual voice, but this rarely happens without reference to influences and the tradition in which they find themselves, even as a reaction

against the accretion of musical traditions as in the works of Cage, Varèse and Stockhausen and many others like them. Ignoring this process of individuation in the face of other artistic traditions weakens the value of the originality that the artist achieves.

2. **The irrelevance of biography.** As I demonstrated in Chapter Five, the New Critical excision of biographical factors can have a severely restrictive effect on the understanding of extremely personal art works such as the poetry of Georg Trakl. With some works the personal input of the artist is crucial: Trakl's mental state and the calamity of his relationship with his sister have an enormous effect upon his poetry, '*Offenbarung und Untergang*' particularly, and the interventions that Davies makes in the alteration of the meaning of the poem indicate his strong personal involvement and desire to express issues important to him, particularly the corruption and betrayal that he associates with the institution of the Church.
3. **The authority of the author.** I take issue with Clayton's and Rothstein's idea that 'In de-authoring texts and stressing the primacy of interpretation, criticism of the last fifty years has sporadically shifted attention to the reader' (Clayton and Rothstein 1991, 16). If one takes 'the reader' to refer to the lay-reader, or the audience, that statement infers on intertextuality a very public-spirited concern for artistic appreciation; however, no critical writing can expect to document what occurs in the mind of the reader, since each reader must understand an intertext in a different way according to the personal associations and knowledge of the artistic canon that they bring to the experience. The latent implication of the statement is that 'the reader' is actually the critic. Intertextual criticism too often replaces the authority of the artist with the authority of the critic. Most writers in the field seem compelled to qualify themselves as disciples of Kristeva, Barthes, Lévi-Strauss, Pierce, Riffaterre, Lacan, Foucault, or



one of many other such pre-eminent figures, and to develop these critical techniques to the extent that the work of art supposedly being examined is all but hidden under the virtuosic display of critical theory: as Mary Orr writes of both Bloom and Derrida: 'Unless the reader or belated critic is as well read as they are – an often arrogant and arrant disregard for notes and bibliographies is a further concealment strategy – such reworked points of reference seem dazzlingly new, unassailable, and hence unsurpassable' (Orr 2003, 65). I feel that a great deal of understanding can be lost if the creative process is denied in the study of any work. The great boon of influence study is that because 'no text is influenced, only authors' (Clayton and Rothstein 1991, 120), the author or artist is placed at the heart of the analysis.

4. **Ideology.** I think that the political implication of influence – that influence study promotes canonized authors and individual effort at the expense of cultural inquiry and political understanding (Clayton and Rothstein 1991, 16) – can quite simply be side-stepped in this case. I agree that if one is attempting to analyze the wider cultural significance of certain works, or broader artistic movements then influence study is too personal and limited, but in a focussed study of a single work, and the creative impulses behind it, this concern is irrelevant. An application of influence study can easily avoid Bloom's judgment of the relative strength of poets, and his dismissal of those he considers weak. There can be no hierarchical judgment between Davies's work and the Indian *rāg*, for example; their relative cultural significance or artistic merit does not affect the exchange of information that the influence brings. Each work also creates its own hierarchy of influences relevant only to itself – even a closely related work such as the Second Taverner Fantasia has a different nexus of influences to *Revelation and Fall* – therefore such a study as this can add little to any

‘suspicious’ agenda of exclusivity or ‘the old boys’ networks of Major Authors and their sleek entourages’ (Clayton and Rothstein 1991, 3).

So what place do the systems of influence by writers such as Bloom, Straus and Hyde have in this kind of study? It has already been suggested that Bloom’s anxious inheritance of influence cannot be applied to Davies. Straus’s eight revisionary ratios work on the more direct level of the adaptation of precise musical figurations from previous works into later works, whereas the influences that have been examined throughout this thesis operate on a much deeper level than this, with Davies learning from previous compositional techniques and incorporating them into his own technique rather than merely reworking melodies and harmonies. Hyde’s more general paradigms about the nature of an artist’s adoption of influences may offer more insight. Davies certainly never indulges in ‘Reverential Imitation’; the distance he creates between himself and his influence prevents him from adopting a previous technique with ‘nearly religious fidelity or fastidiousness’ (Hyde 1996, 206). The ‘Eclectic Imitation’ ‘in which allusions, echoes, phrases, techniques, structures, and forms from an unspecified group of earlier composers and styles all jostle each other indifferently’ (Hyde 1996, 211) is a good description of the parodistic inclusion of previous musical styles in later music theatre works, particularly *Eight Songs for a Mad King*, but it is not a common feature of *Revelation and Fall*. There are certainly many different techniques involved in the creation of Davies’s musical language in this work, but they are integrated at a very deep level and the surface allusions that this eclecticism implies only burst out for brief moments, mainly in the chorale sections. These chorale sections are perfectly described by Hyde’s next paradigm, ‘Heuristic Imitation’, which ‘advertises its dependence on an earlier model, but in a way that forces us to recognize the disparity, the anachronism, of the connection being made’ (Hyde 1996, 214). In these sections Davies creates a moment of such conflation of different historical styles that they cannot be placed in any time frame, stretching their



anachronistic nature. Davies's relationship to his influences can be described by Hyde's 'Dialectical Imitation', which 'implicitly criticizes or challenges its authenticating model' (Hyde 1996, 222). Davies does not engage in the Bloomian struggle that Hyde's full description implies, but he certainly maintains that dialectical relationship to his influence by playing with its association and the degrees of irony with which it is adopted.

Systems such as Hyde's are important attempts to lend the concept of influence study a theoretical value, in order to justify its inclusion in critical theory; however, the application of Hyde's paradigms does not add anything to what has already been discovered in this study. Despite the successful application of her paradigms to Davies, such pigeon-holing is an oversimplification of a much more complex and organic system of cause and effect and provides no new information. The formation of a theory, such as those of Hyde or Straus, requires generalization and loss of specificity, and influence study is a practice that, I believe, needs an entirely individual approach, unique to every work studied. If the reference to an influence opens a pathway to a greater understanding of the work upon which it acts then it is automatically justified, no categorization of the artist's relation to it will make it more or less important. I contend that influence study has uncovered a great deal of information about *Revelation and Fall* because the nature of the piece demands its application – if one were studying Stockhausen's *Kontakte*, for example, influence study would be of little use. Unless one tries to make a piece the servant of a particular critical theory then the nature of the work will define how it should be approached. The central proposition of this thesis is the resurrection of the author or artist from Barthes's assassination and the placement of the artist's formation of a personal language as a central concern in the understanding of a work. When appropriately applied, influence study ensures the centrality of the creative process, removes the historical boundaries that encourage analysts to view a work as a synchronic

entity and encourages the analyst to consider every level of articulation through which the work expresses its meaning.



## BIBLIOGRAPHY

- Abraham, G. 1932. 'An Outline of Mahler', *Music & Letters*, 13:4, 391-400
- \_\_\_\_\_ (ed.) 1952. *Sibelius: A Symposium*, London: Oxford University Press
- Adorno, T. W. 1992. *Mahler: A Musical Physiognomy* (1971), Chicago: University of Chicago Press
- \_\_\_\_\_ 1994. *Alban Berg: Master of the Smallest Link* (1968), translated by J. Brand and C. Hailey, Cambridge: Cambridge University Press
- \_\_\_\_\_ 2003. *Philosophy of Modern Music* (1958), translated by A. G. Mitchell and W. V. Blomster, New York: Continuum
- Allen, G. 2000. *Intertextuality*, Oxford: Routledge
- Altenburg, D. 1994. 'Franz Liszt and the Legacy of the Classical Era', *19<sup>th</sup>-Century Music*, 18/1, 46-63
- Antokoletz, E. 2001. 'The Musical Language of the Fourth Symphony', in Jackson and Murtomäki 2001, 296-321
- Arnold, S. 1972. 'The Music of *Taverner*', *Tempo*, 101, 20-39
- Artaud, A. 1993. *The Theatre and its Double* (1938), London: Calder
- Ashby, A (ed.) 2004. *The Pleasure of Modernist Music*, Rochester: University of Rochester Press
- Auner, J. 2003. *A Schoenberg Reader: Documents of a Life*, New Haven: Yale University Press
- Bagchee, S. 1998. *Nād: Understanding Rāga Music*, Mumbai: Eeshwar
- Bailey, K. 1992. "'Work in Progress": Analysing Nono's *Il Canto Sospeso*', *Music Analysis*, 11:2/3, 279-334
- \_\_\_\_\_ 2001. '*Composing with Tones*': *A Musical Analysis of Schoenberg's Op. 23 Pieces for Piano*, London: Royal Musical Association
- Barham, J. (ed.) 2007. *The Cambridge Companion to Mahler*, Cambridge: Cambridge University Press
- Barnett, A. 2007. *Sibelius*, New Haven: Yale University Press

- Bartók, B. n.d. *Music for String Instruments, Percussion and Celesta*, London: Philharmonia Scores
- Beard, D. 2009. 'Taverner: an interpretation', in Gloag and Jones 2009, 79-105
- Behr, S. 1999. *Expressionism*, London: Tate Gallery Publishing
- Berg, A. 1931. *Wozzeck*, Vienna: Universal Edition
- Bergsagel, J. 1976, 'In Nomine', *The Musical Times*, 117:1603, 739
- Berio, L. 2006. *Remembering the Future*, Massachusetts: Harvard University Press
- Bernstein, S. 1998. *Virtuosity of the Nineteenth Century: Performing Music and Language in Heine, Liszt and Baudelaire*, Stanford: Stanford University Press
- Bloom, H. 1975. *Kabbalah and Criticism*, London: Continuum
- \_\_\_\_\_ 1988. *Poetics of Influence: New and Selected Criticism*, edited by John Hollander, Connecticut: Henry R. Schwab
- \_\_\_\_\_ 1997. *The Anxiety of Influence: A Theory of Poetry* (1973), Second Edition, Oxford: Oxford University Press
- \_\_\_\_\_ 2003. *A Map of Misreading* (1975), Second Edition, Oxford: Oxford University Press
- Boatwright, H. 1960. *Indian Classical Music and the Western Listener*, Bombay: Bharatiya Vidya Bhavan
- Bor, J. (ed.) 1999. *The Raga Guide: A Survey of 74 Hindustani Ragas*, Monmouth: Nimbus Communications
- Boulez, P. 1954. *Le Marteau sans maître*, Vienna: Universal Edition
- \_\_\_\_\_ 1986. *Orientations*, translated by Martin Cooper, London: Faber and Faber
- Brendel, A. 1990. *Music Sounded Out: Essays, Lectures, Interviews, Afterthoughts*, London: Robson Books
- Bronner, S. E. and Kellner, D. (eds.) 1983. *Passion and Rebellion: The Expressionist Heritage*, London: Croom Helm Limited
- Brooks, V. 1976, 'In Nomine', *The Musical Times*, 117:1606, 997



- Brown, D. 2003. 'The B Minor Sonata Revisited: Deciphering Liszt', *The Musical Times*, 144/1882, 6-15
- Buchanan, H. H. 1967. 'A Key to Schoenberg's "Erwartung" (Op. 17)', *Journal of the American Musicological Society*, 20:3, 434-449
- Burden, M. 2000. 'A Foxtrot to the Crucifixion: the Music Theatre of Peter Maxwell Davies', in McGregor 2000, 51-65
- Butler, C. 1994. *Early Modernism: Literature, Music and Painting in Europe, 1900-1916*, Oxford: Clarendon Press
- Carter, E. and Davies, P. M. 2003. 'Remembering Petrassi', *Tempo*, 57:225, 7-8
- Casey, T. J. 1964. *Manshape that Shone: An Interpretation of Trakl*, Oxford: Basil Blackwell
- Chanan, M. 1969. 'Dialectics in Peter Maxwell Davies', *Tempo*, 90, 12-22
- Clayton, J. and Rothstein, E. (eds.) 1991. *Influence and Intertextuality in Literary History*, Wisconsin: The University of Wisconsin Press
- Clayton, M. 2000. *Time in Indian Music: Rhythm, Metre, and Form in North Indian Rāg Performance*, Oxford: Oxford University Press
- Collins, H. B. 1924. 'John Taverner's Masses', *Music & Letters*, 5:4, 322-334
- Cook, N. 1987. *A Guide to Musical Analysis*, Oxford: Oxford University Press
- Cook, N. and Everist, M. (eds.) 1999. *Rethinking Music*. Oxford: Oxford University Press
- Cooke, D. 1976. 'The Language of Mahler: David Holbrook's Interpretation', *The Musical Times*, 117:1605, 899-901
- \_\_\_\_\_ 1980. *Gustav Mahler: An Introduction to his Music*, London: Faber and Faber
- Cooke, M. (ed.) 2005. *The Cambridge Companion to Twentieth-Century Opera*, Cambridge: Cambridge University Press
- Cott, J. 1974. *Stockhausen: Conversations with the Composer*, London: Picador
- Craggs, S. (ed.) 2002. *Peter Maxwell Davies: A Source Book*, Aldershot: Ashgate
- Crawford, J. C. and Crawford, D. L. 1993. *Expressionism in Twentieth-Century Music*, Indianapolis: Indiana University Press

- Crilly, D. 2006. 'Benjamin Britten and Wilfred Owen: An Intertextual Reading of the *War Requiem*', in da Sousa Correa 2006, 178-192
- Crocker, R. L. 2000. *An Introduction to Gregorian Chant*, New Haven: Yale University Press
- Cross, J. 1998. *The Stravinsky Legacy*, Cambridge: Cambridge University Press
- \_\_\_\_\_ 2000. *Harrison Birtwistle: Man, Mind, Music*, London: Faber and Faber
- \_\_\_\_\_ (ed.) 2003. *The Cambridge Companion to Stravinsky*, Cambridge: Cambridge University Press
- Dahlhaus, C. 1987. *Schoenberg and the New Music*, translated by Derrick Puffett and Alfred Clayton, Cambridge: Cambridge University Press
- \_\_\_\_\_ 1989. *Nineteenth-Century Music*, translated by J. Bradford Robinson, Berkeley: University of California Press
- Daniélou, A. 1968. *The Rāgas of Northern Indian Music*, London: Barrie & Rockliff
- \_\_\_\_\_ 1995. *Music and the Power of Sound: The Influence of Tuning and Interval on Consciousness* (1943), Vermont: Inner Traditions
- Davies, P. M. 1956. *An Introduction to Indian Music*, two volumes, Mus.Bac. thesis, University of Manchester
- \_\_\_\_\_ 1963. *St Michael: Sonata for Seventeen Wind Instruments*, London: Schott & Co.
- \_\_\_\_\_ 1966. Compositional Sketches for *Revelation and Fall*, held at the British Library, Add. MS. 71252
- \_\_\_\_\_ 1968a. *Seven In Nomine*, London: Boosey & Hawkes
- \_\_\_\_\_ 1968b. *Second Fantasia on John Taverner's In Nomine*, London: Boosey & Hawkes
- \_\_\_\_\_ 1968c. 'Sets or Series', *The Listener*, 79, 250
- \_\_\_\_\_ 1969. *Antechrist*, London: Boosey & Hawkes
- \_\_\_\_\_ 1971. *Revelation and Fall* (revised 1980), London: Boosey & Hawkes
- \_\_\_\_\_ 1972. 'Taverner: Synopsis and Documentation', *Tempo*, 101, 4-11
- \_\_\_\_\_ 1978a. *Stedman Doubles*, London: Boosey & Hawkes



- \_\_\_\_\_ 1978b. *Vesalii Icones*, London: Boosey & Hawkes
- \_\_\_\_\_ 1978c. *Missa Super L'Homme Armé*, London: Boosey & Hawkes
- \_\_\_\_\_ 1978d. *Taverner*, London: Boosey & Hawkes
- DeFotis, W. 1996. 'Mahler's Symphony No. 9: An Analytic Sketch in the Form of a Conductor's Guide', *The Musical Quarterly*, 80:2, 276-301
- Delaere, M. and Herman, J. 2004. *Pierrot Lunaire: A Collection of Musicological and Literary Studies*, Paris: Éditions Peeters
- Dembski, S. and Straus, J. N. (eds.) 1987. *Milton Babbitt: Words about Music*, London: The University of Wisconsin Press
- Detsch, R. 1983. *Georg Trakl's Poetry: Toward a Union of Opposites*, University Park: The Pennsylvania State University Press
- Deva, B. C. 1974. *Indian Music*, New Delhi: Indian Council for Cultural Relations
- Dufallo, R. 1989. *Trackings: Composers Speak with Richard Dufallo*, Oxford: Oxford University Press
- Dunsby, J. 1989. 'Pierrot Lunaire and the Resistance to Theory', *The Musical Times*, 130:1762, 732-736
- \_\_\_\_\_ 1992. *Schoenberg: Pierrot Lunaire*, Cambridge: Cambridge University Press
- Eliot, T. S. 1999. *Selected Essays*, London: Faber and Faber
- Epstein, D. 1979. *Beyond Orpheus: Studies in Musical Structure*, London: The MIT Press
- Farrell, G. 1997. *Indian Music and the West*, Oxford: Oxford University Press
- Filler, S. M. 1993. 'Review: Mahler: Symphony No. 3 by Peter Franklin', *Music & Letters*, 74:1, 106-107
- Floros, C. 1993. *Gustav Mahler: The Symphonies*, translated by V. and J. Wicker, Cambridge: Amadeus Press
- Forte, A. 1972. 'Sets and Nonsets in Schoenberg's Atonal Music', *Perspectives of New Music*, 11:1, 43-64
- \_\_\_\_\_ 1973. *The Structure of Atonal Music*, New Haven: Yale University Press

- \_\_\_\_\_ 1987. 'Liszt's Experimental Idiom and Music of the Early Twentieth Century', *19<sup>th</sup>-Century Music*, 10:3, 209-228
- Franklin, P. R. 1977. 'The Gestation of Mahler's Third Symphony', *Music & Letters*, 58:4, 439-446
- \_\_\_\_\_ 1991. *Mahler: Symphony No. 3*, Cambridge: Cambridge University Press
- \_\_\_\_\_ 1999. 'A Stranger's Story: Programmes, Politics, and Mahler's Third Symphony', in Mitchell and Nicholson 1999, 171-186
- Freedman, R. 1969. 'Refractory Visions: The Contours of Literary Expressionism', *Contemporary Literature*, 10:1, 54-74
- Friedheim, P. 1966. 'Rhythmic Structure in Schoenberg's Atonal Compositions', *Journal of the American Musicological Society*, 19:1, 59-72
- Garratt, J. 1999. 'Mendelssohn's Babel: Romanticism and the Poetics of Translation', *Music and Letters*, 80:1, 23-49
- \_\_\_\_\_ 2002. *Palestrina and the German Romantic Imagination: Interpreting Historicism in Nineteenth-Century Music*, Cambridge: Cambridge University Press
- Gibbs, C. H. (ed.) 1997. *The Cambridge Companion to Schubert*, Cambridge: Cambridge University Press
- Gloag, K. and Jones, N. (eds.) 2009. *Peter Maxwell Davies Studies*, Cambridge: Cambridge University Press
- Goehr, A. 1998. *Finding the Key: Selected Writings of Alexander Goehr*, London: Faber and Faber
- Gordon, D. E. 1966. 'On the Origin of the Word "Expressionism"', *Journal of the Warburg and Courtauld Institutes*, 29, 368-385
- Grange, P. 2009. 'Peter Maxwell Davies at Dartington: The Composer as Teacher', in Gloag and Jones 2009, 216-230
- Grattan Flood, W. H. 1920. 'New Light on Early Tudor Composers. XII. John Taverner', *The Musical Times*, 61:931, 597-598
- Gray, C. 1947. *Sibelius: The Symphonies*, London: Oxford University Press
- Greene, D. B. 1984. *Mahler: Consciousness and Temporality*, New York: Gordon and Breach Science Publishers



- Griffiths, P. 1973. 'Review: Points and Dances from *Taverner*; Second Fantasia on John Taverner's In Nomine', *The Musical Times*, 114:1569, 1129
- \_\_\_\_\_ 1982. *Peter Maxwell Davies*, London: Robson Books
- \_\_\_\_\_ 1983. *György Ligeti*, London: Robson Books
- \_\_\_\_\_ 1985a. *Olivier Messiaen and the Music of Time*, Ithaca: Cornell University Press
- \_\_\_\_\_ 1985b. *New Sounds, New Personalities: British composers of the 1980s in conversation with Paul Griffiths*, London: Faber and Faber
- \_\_\_\_\_ 1992. *Stravinsky*, London: J. M. Dent & Sons
- \_\_\_\_\_ 1995. *Modern Music and After: Directions since 1945*, Oxford: Oxford University Press
- Grimley, D. M. (ed.) 2004. *The Cambridge Companion to Sibelius*, Cambridge: Cambridge University Press
- Hall, M. 1984. *Harrison Birtwistle*, London: Robson Books
- Hamilton, K. 1996. *Liszt Sonata in B Minor*, Cambridge: Cambridge University Press
- \_\_\_\_\_ (ed.) 2005. *The Cambridge Companion to Liszt*, Cambridge: Cambridge University Press
- Hancox, G. 2009. 'The Composer-Performer Relationship in the Music of Peter Maxwell Davies', in Gloag and Jones 2009, 199-215
- Hand, C. 1978. *John Taverner: His Life and Music*, London: Eulenburg Books
- Harbison, J. 1972. 'Peter Maxwell Davies's *Taverner*', *Perspectives of New Music*, 11:1, 233-240
- Hefling, S. E. 1992. 'Das Lied von der Erde: Mahler's Symphony for Voices and Orchestra – or Piano', *The Journal of Musicology*, 10:3, 293-341
- \_\_\_\_\_ 1999a. 'Das Lied von der Erde', in Mitchell and Nicholson 1999, 438-466
- \_\_\_\_\_ 1999b. 'The Ninth Symphony', in Mitchell and Nicholson 1999, 467-490
- \_\_\_\_\_ 2000. *Mahler: Das Lied von der Erde*, Cambridge: Cambridge University Press
- \_\_\_\_\_ 2002. 'Aspects of Mahler's Late Style', in Painter 2002, 199-223

- Heidegger, M. 1971. *On the Way to Language* (1959), translated by Peter D. Hertz, New York: Harper Collins
- Heile, B. 2006. *The Music of Mauricio Kagel*, Aldershot: Ashgate
- Henderson, R. 1961. 'Peter Maxwell Davies', *The Musical Times*, 102:1424, 624-626
- Henze, H. W. 1964. *Essays*, Mainz: Schott
- \_\_\_\_\_ 1982. *Music and Politics: Collected Writings 1953-81*, translated by Peter Labanyi, London: Faber and Faber
- Hepokoski, J. 1993. *Sibelius: Symphony No. 5*, Cambridge: Cambridge University Press
- Hill, P. (ed.) 1995. *The Messiaen Companion*, London: Faber and Faber
- Hill, P. and Simeone, N. 2005. *Messiaen*, New Haven: Yale University Press
- Holst, G. 1979. *The Planets*, London: Boosey & Hawkes
- Hopkins, R. G. 1990. *Closure and Mahler's Music: The Role of Secondary Parameters*, Philadelphia: University of Pennsylvania Press
- Hoppin, R. H. 1978a. *Medieval Music*, New York: W. W. Norton & Company
- \_\_\_\_\_ 1978b. *Anthology of Medieval Music*, New York: W. W. Norton & Company
- Howell, T. 2001. 'Sibelius the Progressive', in Jackson and Murtomäki 2001, 35-57
- Hurwitz, D. 2007. *Sibelius, The Orchestral Music: An Owner's Manual*, New Jersey: Amadeus Press
- Hutcheon, L. 2000. *A Theory of Parody: The Teachings of Twentieth-Century Art Forms* (1985), Urbana: University of Illinois Press
- Hyde, M. 1996. 'Neoclassic and Anachronistic Impulses in Twentieth-Century Music', *Music Theory Spectrum*, 18:2, 200-235
- Jackson, T. L. 2001. 'Observations on Crystallization and Entropy in the Music of Sibelius and other Composers', in Jackson and Murtomäki 2001, 175-272
- Jackson, T. L. and Murtomäki, V. (eds.) 2001. *Sibelius Studies*, Cambridge: Cambridge University Press



- Jantzen, H. 1984. *High Gothic: The Classic Cathedrals of Charters, Reims, and Amiens*, translated by J. Palmes, New Jersey: Princeton University Press
- Jarman, D. 1989. *Alban Berg: Wozzeck*, Cambridge: Cambridge University Press
- Johns, K. 1997. *The Symphonic Poems of Franz Liszt*, Stuyvesant: Pendragon Press
- Johnson, J. 1994. 'The Status of the Subject in Mahler's Ninth Symphony', *19<sup>th</sup>-Century Music*, 18:9, 108-120
- Jones, N. 2000. 'Peter Maxwell Davies's "Submerged Cathedral": Architectural Principles in the Third Symphony', *Music & Letters*, 81:3, 402-432
- \_\_\_\_\_ 2005. 'Playing the "great game"?: Maxwell Davies, Sonata Form, and the *Naxos* Quartet No. 1', *The Musical Times*, 146, 71-81
- \_\_\_\_\_ 2009. 'The Writings of a Young British Composer: Peter Maxwell Davies in the 1950s', in Gloag and Jones 2009, 21-44
- \_\_\_\_\_ 2010. 'Peter Maxwell Davies in the 1950s: A Conversation with the Composer', *Tempo*, 64:234, 11-19
- Josephson, D. S. 1975. *John Taverner: Tudor Composer*, Michigan: UMI Research Press
- \_\_\_\_\_ 1976, 'In Nomine', *The Musical Times*, 117:1603, 739
- Josipovici, G. 1972. 'Taverner: Thoughts on the Libretto', *Tempo*, 101, 12-19
- Kaplan, R. A. 1984. 'Sonata Form in the Orchestral Works of Liszt: The Revolutionary Reconsidered', *19<sup>th</sup>-Century Music*, 8:2, 142-152
- \_\_\_\_\_ 1996. 'Temporal Fusion and Climax in the Symphonies of Mahler', *The Journal of Musicology*, 14:2, 213-232
- Kennedy, M. 2000. *Mahler*, Oxford: Oxford University Press
- Klein, M. L. 2005. *Intertextuality in Western Art Music*, Bloomington: Indiana University Press
- Koblyakov, L. 1990. *Pierre Boulez: A World of Harmony*, Switzerland: Harwood Academic Publishers
- Korsyn, K. 1991. 'Towards a New Poetics of Musical Influence', *Music Analysis*, 10:1/2, 3-72

- \_\_\_\_\_ 1999. 'Beyond Privileged Contexts: Intertextuality, Influence and Dialogue' in Cook and Everist 1999, 55-72
- \_\_\_\_\_ 2003. *Decentering Music: A Critique of Contemporary Musical Research*, Oxford: Oxford University Press
- Kramer, J. D. 1978. 'Moment Form in Twentieth Century Music', *The Musical Quarterly*, 64:2, 177-194
- \_\_\_\_\_ 1988. *The Time of Music: New Meanings, New Temporalities, New Listening Strategies*, New York: Schirmer Books
- Lambert, C. 1948. *Music Ho! A Study of Music in Decline (1934)*, London: Penguin Books
- Láng, P. H. 1936. 'Liszt and the Romantic Movement', *The Musical Quarterly*, 22:3, 314-325
- Laufer, E. 1999. 'On the First Movement of Sibelius's Fourth Symphony: a Schenkerian View', in Schachter and Seigel 1999, 127-159
- \_\_\_\_\_ 2001. 'Continuity and Design in the Seventh Symphony' in Jackson and Murtomäki 2001, 352-390
- Layton, R. 1978. *Sibelius*, London: J. M. Dent & Sons
- Leech-Wilkinson, D. Sleeve note to Philippe de Vitry and the Ars Nova. *Fourteenth-century Motets*. The Orlando Consort. 1991. 1 Compact Disc. Saydisc Records. CD-SAR 49
- Leiva-Merikakis, E. 1987. *The Blossoming Thorn: Georg Trakl's Poetry of Atonement*, London: Associated University Presses
- Lessem, A. 1974. 'Schoenberg and the Crisis of Expressionism', *Music and Letters*, 55:4, 429-436
- Lewin, D. 2007. *Generalized Musical Intervals and Transformations*, Oxford: Oxford University Press
- Lindenberger, H. 1998. *Opera in History: From Monteverdi to Cage*, Stanford: Stanford University Press
- Lister, R. 2009. 'The Ghost in the Machine: Sonata Form in the Music of Peter Maxwell Davies', in Gloag and Jones 2009, 106-128
- Liszt, F. 1917. *Sonata in B Minor*, London: Edition Peters



- Longyear, R. M. 1973. *Nineteenth-Century Romanticism in Music*, New Jersey: Prentice-Hall
- \_\_\_\_\_ 1974. 'The Text of Liszt's B Minor Sonata', *The Musical Quarterly*, 60:3, 435-450
- MacDonald, C. 1995. "'Tutt' ora vivente': Petrassi and the Concerto Principle', *Tempo*, 194, 2-10
- \_\_\_\_\_ 2003. 'Petrassi and the Concerto Principle (II)', *Tempo*, 57:225, 9-22
- MacIntyre, C. F. 1958, *French Symbolist Poetry*, translated by C. F. MacIntyre, Berkeley: University of California Press
- Maconie, R. 2005. *Other Planets: The Music of Karlheinz Stockhausen*, Maryland: The Scarecrow Press
- Mahler, G. 1988. *Das Lied von der Erde in Full Score*, New York: Dover Publications
- \_\_\_\_\_ 1989. *Symphonies Nos. 3 and 4 in Full Score*, New York: Dover Publications
- \_\_\_\_\_ 1993. *Symphony No. 9 in Full Score*, New York: Dover Publications
- Matthew-Walker, R. 2003. *Mahler's Das Lied von der Erde 'The Song of the Earth': Analytical Aspects and Observations*, Cornwall: DGR Books
- McCallum, P. 1990. 'Review: Classic Preoccupations: Instruments for the Obliteration of Analysis?', *Music Analysis*, 9:2, 201-218
- McGregor, R. 1987. 'Peter Maxwell Davies: The Early Works', *Tempo*, 160, 2-7
- \_\_\_\_\_ (ed.) 2000. *Perspectives on Peter Maxwell Davies*, Aldershot: Ashgate
- Merrick, P. 1987. *Revolution and Religion in the Music of Liszt*, Cambridge: Cambridge University Press
- Messiaen, O. 1944. *The Technique of my Musical Language*, translated by J. Satterfield, Paris: Alphonse Leduc
- \_\_\_\_\_ 1966. *Couleurs de la Cité Celeste*, Paris: Alphonse Leduc
- Metzer, D. 1994. 'The New York Reception of *Pierrot Lunaire*: the 1923 Premiere and Its Aftermath', *The Musical Quarterly*, 78:4, 669-699
- Meyer, L. B. 1983. 'Innovation, Choice, and the History of Music', *Critical Inquiry*, 9:3, 517-544

- Micznik, V. 1996. 'The Farewell Story of Mahler's Ninth Symphony', *19<sup>th</sup>-Century Music*, 20:2, 144-166
- Miller, D. and Watts, S. (eds.) 2003. *Music While Drowning: German Expressionist Poems*, London: Tate Publishing
- Mitchell, D. 1960-1961. 'Gustav Mahler: Prospect and Retrospect', *Proceedings of the Royal Musical Association*, 87<sup>th</sup> Session, 83-97
- \_\_\_\_\_ 1985. 'Mahler's "Abschied": A Wrong Note Righted', *The Musical Quarterly*, 71:2, 200-204
- \_\_\_\_\_ 2002. *Gustav Mahler: Songs and Symphonies of Life and Death*, Woodbridge: The Boydell Press
- \_\_\_\_\_ 2005. *Gustav Mahler: The Wunderhorn Years*, Woodbridge: The Boydell Press
- Mitchell, D. and Nicholson, A. (eds.) 1999. *The Mahler Companion*, Oxford: Oxford University Press
- Moody, A. D. (ed.) 1994. *The Cambridge Companion to T. S. Eliot*, Cambridge: Cambridge University Press
- Mozart, W. A. 1951. *The Marriage of Figaro*, New York: G. Schirmer
- Neighbour, O., Griffiths, P. and Perle, G. 1983. *Second Viennese School*, London: Macmillan
- Newman, W. S. 1972. *The Sonata Since Beethoven*, New York: W. W. Norton and Company
- Northcott, B. (ed.) 1980. *The Music of Alexander Goehr: Interviews and Articles*, London: Schott and Co.
- Nyman, M. 1999. *Experimental Music: Cage and Beyond*, second edition, Cambridge: Cambridge University Press
- Olmstead, A. 1985. *Roger Sessions and his Music*, Michigan: UMI Research Press
- Orr, M. 2003. *Intertextuality: Debates and Contexts*, Cambridge: Polity Press
- Owens, P. 1994. 'Revelation and Fallacy: Observations on Compositional Technique in the Music of Peter Maxwell Davies', *Music Analysis*, 13:2/3, 161-202
- Palmer, C. (ed.) 1984. *The Britten Companion*, London: Faber and Faber
- Painter, K. (ed.) 2002. *Mahler and his World*, Princeton: Princeton University Press



- Parmet, S. 1959. *The Symphonies of Sibelius: A Study in Musical Appreciation*, translated by Kingsley A. Hart, London: Cassell
- Partch, H. 1974. *Genesis of a Music*, New York: Da Capo Press
- \_\_\_\_\_ 2000. *Bitter Music: Collected Journals, Essays, Introductions and Librettos*, Urbana: University of Illinois Press
- Peles, S. (ed.) 2003. *The Collected Essays of Milton Babbitt*, Princeton: Princeton University Press
- Perle, G. 1980. *The Operas of Alban Berg: Volume One/Wozzeck*, Berkeley: University of California Press
- Perry, J. 2002. 'The Wanderer's Many Returns: Schubert's Variations Reconsidered', *The Journal of Musicology*, 19:2, 374-416
- Pesce, D. (ed.) 1997. *Hearing the Motet: Essays on the Motet of the Middle Ages and Renaissance*, New York: Oxford University Press
- Petrassi, G. 1955. *Quarto Concerto*, Milan: Edizioni Suvini Zerboni
- Petty, W.C. 1999. 'Chopin and the Ghost of Beethoven', *19<sup>th</sup>-Century Music*, 22:3, 281-299
- Peyser, J. 1976. *Boulez: Composer, Conductor, Enigma*, London: Cassell
- \_\_\_\_\_ 1999. *To Boulez and Beyond: Music in Europe Since The Rite of Spring*, New York: Billboard Books
- Phillips, P. 1995. 'The Janus Regard', *The Musical Times*, 136:1834, 639-643
- Pople, A. (ed.) *The Cambridge Companion to Berg*, Cambridge: Cambridge University Press
- Prausnitz, F. 2002. *Roger Sessions: How a "Difficult" Composer Got That Way*, New York: Oxford University Press
- Pruslin, S. 1965. 'Maxwell Davies's Second Taverner Fantasia', *Tempo*, 73, 2-11
- \_\_\_\_\_ 1975. 'Returns and Departures: Recent Maxwell Davies', *Tempo*, 113, 22-28
- Raab, P. (ed.) 1985. *The Era of German Expressionism*, translated by J. M. Ritchie, New York: The Overlook Press
- Reed, J. 1978. *Schubert*, London: Faber and Faber

- Reese, G. 1940. *Music in the Middle Ages*, New York: W. W. Norton & Company
- \_\_\_\_\_ 1949. 'The Origin of the English "In Nomine"', *Journal of the American Musicological Society*, 2:1, 7-22
- \_\_\_\_\_ 1954. *Music in the Renaissance*, London: W. W. Norton & Company
- Revers, P. 2007. 'Song and song-symphony (I). *Des Knaben Wunderhorn* and the Second, Third and Fourth Symphonies: music of heaven and earth', in Barham 2007, 89-107
- Richard, L. (ed.) 1978. *Phaidon Encyclopaedia of Expressionism*, Oxford: Phaidon
- Rickards, G. 1995. *Hindemith, Hartmann and Henze*, London: Phaidon Press
- Roberts, D. 1985. *Techniques of Composition in the Music of Peter Maxwell Davies*, Unpublished Ph.D. Dissertation: University of Birmingham
- \_\_\_\_\_ 2000. 'Alma Redemptoris Mater', in McGregor 2000, 1-22
- Rognoni, L. 1977. *The Second Vienna School: Expressionism and Dodecaphony*, translated by Robert W. Mann, London: John Calder
- Rosen, C. 1976. *The Classical Style: Haydn, Mozart, Beethoven*, London: Faber and Faber
- \_\_\_\_\_ 1980. 'Influence, Plagiarism and Inspiration', *19<sup>th</sup>-Century Music*, 4:2, 87-100
- \_\_\_\_\_ 1988. *Sonata Forms*, revised edition, New York: W. W. Norton & Company
- \_\_\_\_\_ 1996. *Arnold Schoenberg*, Chicago: The University of Chicago Press
- Rosen, J. 1980. 'Review: *Stedman Doubles*', *Music Library Association*, 37:1, 148-149
- Rosenthal, E. 1928. *The Story of Indian Music and its Instruments: A Study of the Present and a Record of the Past*, Delhi: Low Price Publications
- Ruckert, G. E. 2004. *Music in North India: Experiencing Music, Expressing Culture*, Oxford: Oxford University Press
- Rupprecht, P. 2009. "'Something Slightly Indecent": British Composers, the European Avant-garde, and National Stereotypes in the 1950s', *The Musical Quarterly*, 91, 275-326
- Sachs, C. 1953. *Rhythm and Tempo: A Study in Music History*, New York: W. W. Norton and Company



- Salzman, E. 1988. *Twentieth-Century Music: An Introduction*, New Jersey: Prentice Hall
- Salzman, E. and Desi, T. 2008. *The New Music Theatre: Seeing the Voice, Hearing the Body*, Oxford: Oxford University Press
- Samaroff, O. 1928. 'The Piano Music of Schubert', *The Musical Quarterly*, 14:4, 596-609
- Samson, J. 1974. 'Schoenberg's "Atonal" Music', *Tempo*, 109, 16-25
- Satyendra, R. 1997. 'Conceptualising Expressive Chromaticism in Liszt's Music', *Music Analysis*, 16:2, 219-252
- Schachter, C. and Siegel, H. (eds.) 1999. *Schenker Studies 2*, Cambridge: Cambridge University Press
- Scherzinger, M. 1994. 'Review: The "New Poetics" of Musical Influence: A Response to Kevin Korsyn', *Music Analysis*, 13:2/3, 298-309
- Schoenberg, A. 1914. *Pierrot Lunaire, Op. 21*, Vienna: Universal Edition
- \_\_\_\_\_ 1922. *Five Orchestral Pieces, Op. 16*, London: Ernst Eulenberg Ltd
- \_\_\_\_\_ 1923a. *Erwartung, Op. 17*, Vienna: Universal Edition
- \_\_\_\_\_ 1923b. *Five Piano Pieces, Op. 23*, Copenhagen: William Hansen
- \_\_\_\_\_ 1929. *Klavierstück, Op. 33a*, Vienna: Universal Edition
- \_\_\_\_\_ 1967. *Fundamentals of Musical Composition*, London: Faber and Faber
- Schubert, F. n.d. *Wanderer-Fantasie in C Major*, London: Edition Peters
- Seabrook, M. 1994. *Max: The Life and Music of Peter Maxwell Davies*, London: Victor Gollancz
- Sellars, R. and Allen, G. (eds.) 2007. *The Salt Companion to Harold Bloom*, Cambridge: Salt Publishing
- Sharp, F. M. 1981. *The Poet's Madness: A Reading of Georg Trakl*, Ithaca: Cornell University Press
- Sheppard, W. A. 2001. *Revealing Masks: Exotic Influences and Ritualized Performance in Modernist Music Theatre*, Berkeley: University of California Press

- Sibelius, J. 1928. *Symphony No. 7*, Revised Edition (1980), Copenhagen: Edition Wilhelm Hansen
- \_\_\_\_\_ 1985. *Tapiola*, Wiesbaden: Breitkopf & Härtel
- \_\_\_\_\_ 2003. *Symphonies Nos. 3 and 4*, New York: Dover Publications
- Simson, O. von 1988. *The Gothic Cathedral: Origins of Gothic Architecture and the Medieval Concept of Order*, New York: Princeton University Press
- Simundža, M. 1988. 'Messiaen's Rhythmical Organisation and Classical Indian Theory of Rhythm (II)', *International Review of the Aesthetics and Sociology of Music*, 19:1, 53-73
- Smalley, R. 1968. 'Some Recent Works of Peter Maxwell Davies', *Tempo*, 84, 2-5
- Sokel, W. H. 1959. *The Writer in Extremis: Expressionism in Twentieth-Century German Literature*, Stanford: Stanford University Press
- Sorrell, N. And Narayan, R. 1980. *Indian Music in Performance: A Practical Introduction*, Manchester: Manchester University Press
- da Sousa Correa, D. (ed.) 2006. *Phrase and Subject: Studies in Literature and Music*, London: Modern Humanities Research Association and Maney Publishing
- Stadlen, P. 1981. Schoenberg's Speech-Song, *Music & Letters*, 62:1, 1-11
- Steinitz, R. 2003. *György Ligeti: Music of the Imagination*, Boston: Northeastern University Press
- Steptoe, A. 1988. *The Mozart-Da Ponte Operas: The Cultural and Musical Background to Le nozze di Figaro, Don Giovanni, and Così fan tutte*, Oxford: Clarendon Press
- Stockhausen, K. 1968. *Kontakte*, London: Universal Edition
- Strangways, A. H. F. 1994. *The Music of Hindostan (1914)*, New Delhi: Munshiram Manoharlal Publishers
- Straus, J. N. 1990. *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition*, Cambridge: Harvard University Press
- \_\_\_\_\_ 1991. 'The "Anxiety of Influence" in Twentieth-Century Music', *The Journal of Musicology*, 9:4, 430-447
- \_\_\_\_\_ 1999. 'The Myth of Serial "Tyranny" in the 1950s and 1960s', *The Musical Quarterly*, 83:3, 301-343



- Stravinsky, I. 1924. *Histoire du Soldat*, London: J & W Chester
- \_\_\_\_\_ 1947. *Poetics of Music in the Form of Six Lessons*, translated by A. Knodel and I. Dahl, New York: Vintage Books
- \_\_\_\_\_ 1952. *Symphonies of Wind Instruments*, New York: Boosey & Hawkes
- \_\_\_\_\_ 1957. *Agon*, London: Hawkes & Son
- \_\_\_\_\_ 1960. *Movements for Piano and Orchestra*, London: Boosey & Hawkes
- \_\_\_\_\_ 1961. *A Sermon, a Narrative and a Prayer*, London: Boosey and Co.
- \_\_\_\_\_ 1998. *Les Noces*, New York: Dover Publications
- Styan, J. L. 1981. *Modern Drama in Theory and Practice 3: Expressionism and Epic Theatre*, Cambridge: Cambridge University Press
- Sweeney-Turner, S. 1994. 'Resurrecting the Antichrist: Maxwell Davies and Parody – Dialectics or Deconstruction?', *Tempo*, 191, 14-17+19-20
- Tanner, M. 2000. 'The Power of Performance as an Alternative Analytical Discourse: The Liszt Sonata in B Minor', *19<sup>th</sup>-Century Music*, 24:2, 173-192
- Taruskin, R. 1993. 'Review: Towards a New Poetics of Musical Influence by Kevin Korsyn, Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition by Joseph N. Straus', *Journal of the American Musicological Society*, 46:1, 114-138
- Taverner, J. 1971. *Gloria Tibi Trinitas Mass*, transcribed and edited by Hugh Benham, London: Stainer & Bell
- Tawaststjerna, E. 1986. *Sibelius: Volume II 1904-1914*, translated by Robert Layton, London: Faber and Faber
- Trakl, G. 2001. *Poems and Prose*, translated by Alexander Stillmark, London: Libris
- Wade, B. C. 1997. *Khyāl: Creativity within North India's Classical Music Tradition*, New Delhi: Munshiram Manoharlal Publishers
- Walsh, S. and Davies, P. M. 1972. 'Taverner', *The Musical Times*, 113:1553, 653-655
- Walsh, S. 1988. *The Music of Stravinsky*, Oxford: Clarendon Press
- Warrack, J. 1968. 'Music in London', *The Musical Times*, 109:1502, 350

- Waterhouse, J. C. G. 1964. 'Peter Maxwell Davies: Towards an Opera', *Tempo*, 69, 18-25
- Watson, D. 2000. *Liszt*, Oxford: Oxford University Press
- Webber, A. 1990. *Sexuality and the Sense of the Self in the Works of Georg Trakl and Robert Musil*, London: The Modern Humanities Research Association
- Webster, J. 1979. 'Schubert's Sonata Form and Brahms's First Maturity', *19<sup>th</sup>-Century Music*, 3:1, 52-71
- Weidner, R. W. 1961. 'New Insights on the Early "In Nomine"', *Revue Belge de Musicologie*, 15:1/4, 29-46
- Weissman, J. S. 1980. *Goffredo Petrassi*, Milan: Edizioni Suvini Zerboni
- Wenk, A. B. 1977. 'The Composer as Poet in "Das Lied von der Erde"', *19<sup>th</sup>-Century Music*, 1:1, 33-47
- Whaples, M. K. 1968. 'On Structural Integration in Schubert's Instrumental Works', *Acta Musicologica*, 40:2/3, 186-195
- Whitesell, L. 1994. 'Man with a Past: Music and the "Anxiety of Influence"', *19<sup>th</sup>-Century Music*, 18:2, 152-167
- Whittall, A. 1967-68. 'Post Twelve-Note Analysis', *Proceedings of the Royal Musical Association*, 94<sup>th</sup> Session, 1-17
- \_\_\_\_\_ 1994. 'Comparatively Complex: Birtwistle, Maxwell Davies and Modernist Analysis', *Music Analysis*, 13:2/3, 139-159
- \_\_\_\_\_ 1999. *Musical Composition in the Twentieth Century*, Oxford: Oxford University Press
- \_\_\_\_\_ 2004. 'The Later Symphonies', in Grimley 2004, 49-65
- \_\_\_\_\_ 2009. "'A Dark Voice from Within": Peter Maxwell Davies and Modern Times', in Gloag and Jones 2009, 1-20
- Wildhagen, C. 2007. 'The "greatest" and the "most personal": the Eighth Symphony and *Das Lied von der Erde*', translated by J. Barham and T. Smith, in Barham 2007, 128-142
- Williams, A. 2001. *Constructing Musicology*, Aldershot: Ashgate
- Williams, E. B. 1993. *The Mirror & the Word: Modernism, Literary Theory, & Georg Trakl*, Lincoln: University of Nebraska Press



Williamson, J. 1980. 'Mahler's Compositional Process: Reflections on an Early Sketch for the Third Symphony's First Movement', *Music & Letters*, 61:3/4, 338-345

\_\_\_\_\_ 1981-1982. 'Liszt, Mahler and the Chorale', *Proceedings of the Royal Musical Association*, 108, 115-125

\_\_\_\_\_ 1991. 'Mahler: Hermeneutics and Analysis', *Music Analysis*, 10:3. 357-373

Wilson, C. 1990. *The Gothic Cathedral: The Architecture of the Great Church 1130-1530*, London: Thames & Hudson

Young, J. 1992. *Nietzsche's Philosophy of Art*, Cambridge: Cambridge University Press

Zeke, L. 1986. "'Successive Polymodality" or Different Juxtaposed Modes Based on the Same Final in Liszt's Works: New Angle on the "Successive and Simultaneous" Unity of Liszt's Musical Language', *Studia Musicologica Academiae Scientiarum Hungaricae*, 28:1/4, 173-185