

Differentiating the medial patterns of operatic adaptations: *Macbeth*

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submitted by

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This dissertation is dedicated to the memory of Ray Keogh, who in my first year of studies in 1992 introduced me to the world of opera through his lecturing and teaching in the Music Department at the University of Sydney and encouraged a passion for research and teaching;

and

Prof. Anne Boyd AM, Dr. Ross Edwards AM, and the late Prof. Peter Sculthorpe AO OBE, whose passion, compassion and empathy developed my love for music and composition throughout my undergraduate years and gave me the desire to understand everything about music as a part of life.

Declaration

I, Graham Jeffrey Howard, hereby certify that this dissertation is entirely my own original work except where otherwise indicated. Acknowledgement has been given where it has been supported by others or where work by other people has been discussed or drawn upon.

Related material that has been previously published or is in the process of being published is detailed on the following page.

To the best of my knowledge, the work in this dissertation does not breach any law or infringe on any copyrighted material or intellectual property. The copyrighted material contained in *Part IV – Chapters 1 to 3*, has been granted approval for research purposes by the controlling organisation, Edition-S, Copenhagen.

I have not previously submitted this work for the award of any degree by this or any other university.

Graham J. Howard

February 23, 2021

Details of related publications and related memberships:

Parts of the analysis and statistics were used in an article in October 2018, although these were “in progress” findings. The article was an extended form of a seminar paper discussed at the 2018 British Shakespeare Association conference in Belfast, with a focus on applying the research documented within this dissertation in pedagogical situations:

“Hail to Thee, Adaptations of the Scottish Play: Lesser than *Macbeth*, or greater? Using Information Visualisation to Increase the Pedagogical Benefits of Teaching (with) Adaptation” in *Literatur in Wissenschaft und Unterricht*, 51 (4), 201-219, 2018 (published 2021).

Related aspects of the research were also indirectly discussed in March 2020 at the AKS2020 conference in Freiburg an der Oder and subsequently published as:

Howard, Graham J. “The implementation of course-specific apps into practical English courses: Could the results (re-)direct digitalization policy?” in the conference proceedings of the *31.AKS-Arbeitstagung* (Arbeitskreis der Sprachenzentrum an Hochschulen e.V, March, 2020) (*in press*).

During the period of research, a play with adaptation exercises created based on some of the findings was also released for use during M.A. and M.Ed. courses at the University of Kiel, and a short novel was also created with adaptation exercises:

Howard, Graham J. *Head-Butting Kangaroos: A drama in four acts* (with practical TESOL exercises). Howard Creations and Kindle Direct Publishing: Schacht-Audorf, 2018.

Howard, Graham J. *Confusion of the Blind: A novel with adaptation and mediation exercises*. Howard Creations and Kindle Direct Publishing: Schacht-Audorf, 2020.

Many of the concepts discussed in this dissertation, including numerous diagrams, were also included in a digital application released to students in an M.A. / M.Ed. “Advanced Text Production” course (focussing on mediation and adaptation) at the University of Kiel. The application has been used in various updates since 2018.

A screenplay directly related to the research was also underway but not released prior to the completion of the dissertation:

Howard, Graham J. *Gruoch and Macbeth*. Screenplay. Howard Creations: Schacht-Audorf. (in progress) 2021.

Memberships related to this dissertation were also held in the British Shakespeare Association (BSA) in 2018 and the International Society for Intermedial Studies (ISIS) from 2017 onwards.

Abstract

The processes that underlie the creation of operatic adaptations are similar to those of film adaptations, yet the language and discourse that is used in the two fields is considerably different. In opera, the adaptation is viewed as being the notated music score which contains the libretto. In film, however, discourse related to film adaptation tends to focus on the qualities of the production of the screenplay, not on the screenplay itself, viewing the film as being based on the source text instead of it being based on the screenplay. While these differences may be due to contractual issues – screenplays involving only one film production, operas involving as many stage productions as requested – and similar cultural values as those ascribed to composers also being ascribed to directors instead of the screenplay writers, it nevertheless provides a reason to consider the implications that the operatic adaptations have for the understanding of other media, including but not limited to screen-based media. This dissertation therefore argues for a reassessment of *product creation* processes as viewed by Adaptation Studies and Intermedial Studies through the differentiation of medial patterns of operas in intermedial and intramedial contexts. A four-phase model divided into *conception, adaptation/composition, production, and reception* is proposed that could realign adaptation research away from a predominantly qualitative approach that combines reception based on the aesthetics of a production, to combine quantitative and qualitative methods that also examine the text-types created by adapters. In doing so, research and education in English Studies would benefit from clearer theoretical foundations that do not mostly link a source text with the aesthetic qualities of the production, but with the textual links to the structural conventions of the medial form involved. It is proposed here that the concept of fidelity to a source text, if it must be used in research or in education, should be discussed in various forms: fidelity to the text of the source text (*textual fidelity*), fidelity to the structural conventions of the text-type/medium (*medial fidelity*), and the subjective fidelity of the aesthetics of a production (*aesthetic fidelity*). The splitting of the fidelity concept proposed in this research could advantage English Studies – and many other academic fields – by providing a deeper understanding related to the interpretations of a source text: do the interpretations of the source text occur in the written form in the text-type formed in the adaptation/composition phase or in the visual and/or auditory mediation of the text-type into a directed adaptation during the production phase? Has an interpretation of the text occurred through mediation of text by the adapter (e.g. screenwriter) or the director? The quantitative analysis in this research involved 75 adaptations of *Macbeth* in two groups of adaptations, *directed* and *printed*, and eleven categories of media, including eight operas. The analysis provided data regarding the percentage of text in each medial category and the number and type of alterations made to the text that form the patterns of each medium. Following the intermedial findings, intramedial analysis of all 14 available operatic adaptations of *Macbeth* was also undertaken, including three individual case studies and two comparative case studies on some lesser known *MACBETH* operas. The theoretical basis of the dissertation revolves around concepts by Linda Hutcheon in Adaptation Studies and Lars Elleström in Intermedial Studies. Evidence and observations from the intermedial and intramedial analyses and the case studies provide support for the extension of some of Hutcheon's concepts (e.g. *adaptation as process*, and *knowing and unknowing audiences*) and raise issues that highlight some problematic areas of others, such as *modes of engagement*.

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INTRODUCTION

The academic discipline of English Studies is increasingly engaging with adaptations in theoretical and educational contexts, creating an “indisputably significant” (Cartmell and Whelehan “Short History” 1) link between various academic fields within the discipline. At the same time that English Studies has increased its usage of adaptations, two parallel interdisciplinary fields have also become an established part of many language degrees, particularly in English Studies: Adaptation Studies, which is primarily undertaken in Anglophone countries, and Intermedial Studies, which is mostly based in Europe and Scandinavia. The theoretical links between these similar yet distinct fields have created a complicated web of competing concepts and terminology, much of which has come from interdisciplinary fields such as Music (Sanders 199). However, although the use of music in adaptations has received detailed research for screen-based media (e.g. Brown; Cooke; Hurtgen; Kalinak), Opera Studies has not yet succeeded in making a significant imprint on theories within Adaptation Studies or Intermedial Studies, let alone more generally within English Studies. Despite the existence of numerous works on the relationship between literature and music/libretti (e.g. Dean “Opera”; Gier *Das Libretto*; Hibberd; Schmidgall *Lit. As Opera*; Smith; Stevens et al.; Wilson), some theorists in Adaptation Studies often provide only general discussions about the operatic medium within a more open musical context (e.g. Sanders 36-43, 199-200) or dispersed amongst discussions of various medial forms (e.g. Hutcheon *A Theory of Adaptation*).

As will be demonstrated, the minimal influence that operatic adaptations have had is unusual if the similarities in the overall creative process involved in operas and in films are considered, although it may be understandable because of the specialised knowledge required to understand the notated forms involved in the operatic medium. The research documented within this dissertation therefore initially focusses on comparing operatic adaptations within an intermedial context involving numerous categories of media and subsequently within an intramedial context of operatic sub-categories. In order to allow for these intermedial and intramedial comparisons, quantitative data was collated using a visual comparative representation¹. The findings challenge theoretical frameworks that have evolved regarding adaptational processes and provide further evidence that extends other concepts defined in

¹ The full methodology and specific detail of the visual comparative representation is contained in *Part II – Chapter 1*.

the field of Adaptation Studies by Hutcheon in 2006 and more recent work in Intermedial Studies by Elleström (*Media Transformation*; "Beyond Media Borders"; "Media Borders").

In addition to the focus on operatic adaptations, this dissertation reassesses the predominantly qualitative-based research methods in both Adaptation Studies and Intermedial Studies through the creation and analysis of quantitative data created from 75 adaptations of Shakespeare's *Macbeth*. The decision to use *Macbeth* as the source text for this research was made based on factors such as the availability of adaptations for analysis across multiple medial forms, the comparative short length of the source text, and the wealth of previous qualitative research into intermedial adaptations that could be drawn upon to highlight the need for reassessment. The results of the analysis demonstrates the need within these two fields for a shift in the way that the creative phases of adaptation are discussed and investigated, particularly by combining the structural conventions that define each text-type/medium² with comparative observation-based analyses which currently correlate *fidelity to a source text* to the aesthetic properties of adaptations.

Although "most current research considers fidelity discourse as no longer viable" (Bruhn et al. 5), comparative discussions regarding sources and targets are nevertheless undertaken. The results of the comparative analyses contained within this dissertation suggest that there is still knowledge to be gained from such discussions, but that whenever fidelity discourse is used, the realignment of the way that it is applied to adaptation research should involve a division into three separate forms of fidelity. The first form, fidelity to the textual structures of the source text, will be referred to as *textual fidelity*. The second form, fidelity to the structural conventions of a text-type and/or medium, which will simply be referred to within this dissertation as *medial fidelity* (Howard "Hail to Thee") relates mostly to the target text-types³, as will be discussed. The third form, fidelity to the aesthetics of a source text, referred to simply as *aesthetic fidelity*, essentially encompasses observation-based analyses of productions involved in qualitative research.

As will be proposed and supported by various case studies, the overall process of *product creation* ('adaptation') consists of four phases, as shown in Figure 1. Two of the proposed forms of *fidelity* relate to the *mediation* phases: *medial fidelity* is observable in the *adaptation/composition* phase, and *aesthetic fidelity* following the *production* phase. The product creation process includes the reception process because of the potential for reception responses from people during the other phases, not only the intended target audience. It is also possible for the responses of intended audiences to affect the re-mediation³ of the adaptation in secondary media, such as DVD releases of cinematic films.

² The – often overlapping – structural conventions are defined in *Part II – Chapter 1*.

³ These are conventions within the usage of Elleström's "basic media", which are discussed in detail in *Part II – Chapter 1* (e.g. the formats, tenses used, etc.).

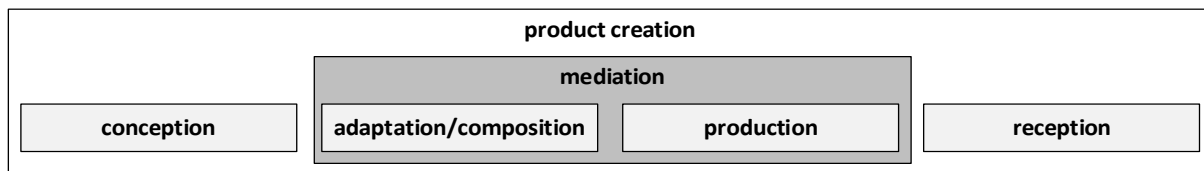


Figure 1: The four phases of the product creation process

Adaptation research to date has mostly been focussed on the results of the *production* phase, as will be demonstrated through various analyses and discussions of the findings. The findings of the quantitative evidence and the qualitative research are also discussed with regard to Hutcheon's work within Adaptation Studies and Elleström's work within Intermedial Studies. However, the main focus of discussions relates to Linda Hutcheon's theoretical constructs of *adaptation as process* (*A Theory of Adaptation* 18-22), *adaptation as product* (*A Theory of Adaptation* 16-18), *modes of engagement* (*A Theory of Adaptation* 22-27), and *knowing and unknowing audiences* (*A Theory of Adaptation* 120-128).⁴ As will be seen, Hutcheon's theory involves conceptual frameworks that are simple to understand yet not able to incorporate all of the intricacies of the media involved in the research. Therefore, additional proposals related to the extension of these concepts are presented, such as a more detailed form of *adaptation as process*.

As mentioned above, this dissertation calls for a reassessment of the concept of fidelity. Various stages of research into adaptations have been dominated by the combination of fidelity to a source text (e.g. Cardwell 1; Hutcheon *A Theory of Adaptation* xv, xxvi; MacCabe 7-9) and the "historically dominant approach" (Cardwell 10) of comparative case studies, particularly with a focus on novel to film comparisons (e.g. Cardwell 10; Elleström "Field of Media" 114; Hutcheon *A Theory of Adaptation* xiii, xxvi; McFarlane 8-9). The basic premise of their combination is that "the idea of "fidelity" to that prior text is often what drives any directly comparative method of study" (Hutcheon *A Theory of Adaptation* xv). The interpretations of a source text's meanings contained within the adaptation have often been in the foreground of discussions (Cardwell 1), with a source being valued or privileged above its adaptation in the background "according to some imagined hierarchy of medium or genre" (Hutcheon *A Theory of Adaptation* 3). This is what has formulated debates around "the aesthetic primacy of literature or film" (MacCabe 7). However, fidelity to a source text is no longer considered by some academics to be a valid basis for research and criticism and has declined in use (Bruhn et al. 5; Cartmell "Cont. Dilemmas" 9; Cartmell and Whelehan *Impure Cinema* 73; Elliott "Theorizing" 22; Hudelet 45; Hutcheon *A Theory of Adaptation* xxvi; MacCabe), with fidelity also now being treated as "a shared scapegoat for the failures of adaptation studies" (Elliott "Theorizing" 23). Nevertheless, related tasks within the educational side of academia still involve "the choice of one book/one film [which] also limits the range of approaches and seems to encourage the traditional 'compare and contrast'

⁴ Each of these concepts is presented in more detail in *Part I – Chapter 2*.

technique that often leads to a descriptive tendency and a return to traditional hierarchies between the source text and the adaptation copy" (Hudelet 42), a carry-over effect supported by Andrew, who links such tasks and "the cultural critic" ("Economics of Adaptation" 30-31). Although there are still researchers who at least suggest various necessities for fidelity in research (e.g. Andrew "Economics of Adaptation" 32; Elleström "Field of Media" 115; Stam 14), other researchers include "newer non-comparative analyses" (Cardwell 1). Other theoretical methods have taken more complicated and inclusive frameworks, such as the polysystem method, which "allowed scholars to study adaptations in a more consistent way" while discarding fidelity and foci on individual source texts (Cattrysse 11), but which did not "[suggest] ignoring the potential importance of fidelity" (Cattrysse 306). MacCabe "avoids... any notion of a literal fidelity" when he rephrases the concept as "true to the spirit" (MacCabe 7). The mixed levels of acceptance between academic, educational, and critical practice demonstrate that the fidelity debate is not over, but that views about the concept are varied.

It is argued here that the fidelity debate has actually been misdirected not only because of the failure to separate the phases of adaptation but because of the synonymous use of terminology based predominantly within the screen industry. Hutcheon mentions that the term adaptation is used "for the process and the product" (*A Theory of Adaptation* 15), but this may not truly be the case if the adaptation is actually, for example, the screenplay and not the film itself, as is proposed here. A film's faithfulness to its contract-related screenplay is normally not taken into consideration, but its faithfulness to the source text is. The use of 'adaptation' as an umbrella term to describe a single overall process in which the phases of *adaptation/composition* and *production* occur combined with the synonymous use of other terminology with overlapping meanings has hampered the theoretical understanding of 'adaptation'. These two separable mediation phases can be seen in a description of medial creation by Elleström, where "media products can be said to be *produced* by the producer's mind" but that "producing a media product does not necessarily mean fabricating it materially" ("Beyond Media Borders" 15). However, in this dissertation, the 'producer' portrayed in Elleström's description is involved in the *adaptation/composition* phase (the adapter) and the material fabrication in the *production* phase (the director for *directed* adaptations, the publisher for *printed* adaptations, if indeed published).

As was mentioned above, this dissertation proposes new types of fidelity, textual fidelity, medial fidelity, and aesthetic fidelity, which align to separate phases of the overall creation process. The most common research focus to date, aesthetic fidelity, has been applied primarily to the processes within production, where the written textual forms are mediated into visual and/or auditory aesthetics, which are then discussed following the process of reception. It is therefore argued here that the concept of fidelity has failed to be acceptable in Adaptation Studies at least partly because it has been applied to

the reception of the production process and rarely to the direct results of the adaptation process, which involves the transferral of information from one set of structural conventions to another. For these reasons, this research argues that, firstly, the premise under which fidelity has commonly been understood is founded on ill-defined or ill-separated processes, and secondly, that medial fidelity has been neglected in discussions to date despite the need for this distinction already having been recognised: e.g. “common denominators across media and genres can be as revealing as significant differences” (Hutcheon *A Theory of Adaptation* xvi). Certainly within the process of adaptation, these “common denominators” are still to be fully defined (Elleström “Field of Media” 115), a goal towards which this differentiation of medial categories aims.

Medial fidelity is intended as a concept that demonstrates the creative processes within the adaptation/composition phase before the process of production occurs and is a way of ascertaining whether an adapter – not a director – has altered a source text’s meanings because of the (general) conventions of the text-type and/or medium: i.e. did an adaptation involve an interpretative change because of a structural convention of the text-type or even a perceived need to conform to medial conventions? It is not intended to be “the ‘fidelity’-based discourse in adaptation studies” which “is generally limited to the source (con)text, and... promotes or judges faithfulness instead of describing it” (Cattrysse 206). Instead, it is a quantitative method that permits assessment of whether an adaptation/production conforms to the medial patterns of the text-type and/or medium in which it is situated.

Comparative case studies based under the premise of fidelity usually define differences over two normally separable processes – *adaptation* of a source into a ‘text-type’ and *production* of the text-type to a ‘product’ – as if they are one. Some theorists have skirted the boundaries of the two processes but not developed them within their theories. For example, “the most common shift... from the printed page to performance in stage and radio plays, dance, opera, musical, film, or television” (Hutcheon *A Theory of Adaptation* 35) identified the difference between a source and director, but failed to directly represent the difference between “printed page” (text-type/medium) and “performance” (from a production). Cartmell describes “[t]he difference between film adaptation and ‘filmed performance’” and “productions” (*Interpreting* 23-24), but fails to discuss the difference between the production for stage (from the source text) and the production for film (from the screenplay adaptation). Even establishing “procedures for distinguishing between that which can be transferred from one medium to another (essentially narrative) and that which, being dependent on different signifying systems (essentially, enunciation)” (McFarlane vii) did not prevent the two separate processes from being joined under the auspices of ‘adaptation’. Sherry identifies this issue in her writing about teaching practices, where “processes of adapting” are also overshadowed by “comparative case-study analysis”

(87). Elliott specifically – yet indirectly – discusses this separation of processes when she mentions “another way to study the aesthetics of adaptations: the way of *doing* adaptation, in which the aesthetic practice of producing adaptations functions as a form of criticism – even theorization” (“Doing Adaptation” 74).

Perhaps the closest separation of the processes to those proposed within medial fidelity here are those by Elleström. Firstly, that “medium” is “a conventionally distinct means of communication” (“Beyond Media Borders” 57), “media” has three separate forms known as *basic* [the elements used, such as text and images], *qualified* [various contexts related to the content, such as culture and technology], and *technical* [the physical media which are accessed], all of which are described in detail in the following chapter. Secondly, “mediate” which is “the process of a technical medium realizing some sort of media content” (“Field of Media” 119)⁵ and “transmediality”, which involves “the general concept that different media types share many basic traits” (*Transmedial Narration* 5)⁶, which is confirmed by the summaries and analyses of medial categories in *Part II*. The process of “transmediate”, however, is described as occurring when “media content is mediated for a second (or third or fourth) time by another technical medium” (“Field of Media” 119). Aspects of these definitions are discussed later in *Part I* and also in sections of *Part II*, as the processes and phases proposed link to many of the concepts within Elleström’s intermedial research.

The difference in the way these processes and phases are discussed across medial forms is critical in the differentiation of medial patterns, because terminology has shrouded differences and similarities. The difference between understanding of film and opera as media highlights this problem. In operatic circles, a *production* of an opera is generally not discussed as if *it* is an adaptation. An adaptation is considered to be a musically-notated score and a production is (usually) a series of performances of the operatic adaptation.⁷ During the production process, changes are made to the music to assist with the stage direction, yet these changes are not discussed as if they are part of the adaptation process. The case studies in this dissertation display the necessity for this re-understanding of the concept of process: an operatic adaptation (e.g. notated score) is then potentially subject to numerous productions (e.g. theatre performances). As opposed to this use of terminology within the operatic medium, research into screen-based adaptations discusses a film as if *it* is an adaptation, but not as if it is a production of an adaptation. This is even though screenplays are accepted by a *producer* in a

⁵ As will be discussed in *Part I – Chapter 3*, this definition by Elleström will be defined as *secondary mediation* (the production phase) in this dissertation.

⁶ Elleström also states: “As a rule, the term adaptation is reserved for transmediation of specific media products” (Field of Media 128). The differentiation proposed in this research is that *adaptation/composition* is involved in creating the text-types and *production* is involved in media, as will be discussed.

⁷ This is one of the key differences to Elleström’s descriptions of mediation and transmediation: the libretto and the musically-notated score are both considered to be “submedia” (Field of Media 128).

production company, which then creates a screen-based *product* from the screenplay. This distinction is clear in the terminology for the structures of the film industry, but has been lost in a terminological matrix that has been conflated within the theory and practice of adaptation. This is perhaps because a screenplay is considered not to be “a literary form, it is a mere blueprint for a film” (Krevolin 11). The cultural importance constructed around ‘composer’ allows this process separation more easily than the constructs surrounding ‘screenplay writer’, a role which is all but overlooked in preference for the ‘director’ of the aesthetic qualities of a product. As will be seen in the case studies of operatic adaptations, particularly those of Koppel and Bibalo, visual aesthetics belong primarily to production, with aspects of auditory aesthetics belonging to both. Had earlier theorists recognised and defined this separation between structural interpretation in the process of adaptation and aesthetic interpretation in production, the understanding of adaptation may have differentiated aspects within each phase more clearly, as well as “the (interpretative) consequences” (Dörr and Kurwinkler 6)⁸ of intermediality.

The difference between text-type and media described here is that the text-types (adaptations) are created in written or printed form and technical media (productions/publications) make them accessible. Therefore, the adaptations and productions analysed for this research are separated into two basic groups. The first group, that of *printed* adaptations, involves images and/or text, and the second, *directed* adaptations, visual and/or auditory productions.⁹ The separation of text-types and media is consistent with the terminology used in the Common European Framework of Reference for Languages [CEFR] (Council of Europe), which highlights the natures of the two distinct categories of target texts. For example, “cinema films” and “print; manuscript” (94) are shown as media, and “drama, shows, readings, songs” as spoken forms of texts, and “books”, “fiction”, and “comic strips” all fall within the “written” text-types (95). This segregation into categories has been overlooked in adaptation theories to date, which have not only involved comparisons of text to media (e.g. novel to film) instead of text to text (e.g. novel to screenplay) but have formed the understanding of fidelity and its acceptance on the results of these empirically-developed comparisons. The use of ‘text-type’ avoids the less specific theoretical concept of any work generally being referred to as a ‘Text’ (Barthes 57). As will be shown, the distinction between these two categories also permits a clarification of the overall process. As separate comparisons are not made between source and target text-type (screenplay) and subsequently screenplay to target medium (film), the complications that have resulted in what fidelity could actually mean have distorted its potential. This does not mean to imply that previous research is not valuable or not worthy of consideration, but that it is mostly related to a

⁸ „den (interpretatorischen) Konsequenzen“.

⁹ As research that still focusses on what is proposed here as separate processes is being referred to under one banner, that of ‘adaptation’, the products that are analysed all fall within this term – also as it is used by many practitioners in the field.

(chronologically) secondary mediation process that should perhaps be considered as part of an overall process, *product creation*, but not necessarily part of the specific adaptation process into text-types as discussed here.

As “the number of variables involved in any adaptation from the linguistic form of the novel or short story to a film’s matters of expression approach infinity” (MacCabe 8), this research has reduced the variability by instead focussing on 75 adaptations/productions that predominantly use the original text of one stage play, Shakespeare’s *Macbeth*.¹⁰ In doing so, the structure of the play’s script becomes the focus, with descriptive elements of the writing, for example in novels, eliminated from the variables as well as the majority of reporting verbs. A large database was created and is used as the basis for more complicated and thorough quantitative analyses in order to place adaptations into these contexts, particularly concentrating on the goal of considering the different types of fidelity that are proposed. As will be shown, the main benefit of this approach is that it provides a greater overview of adaptations than “the endless accumulation of *ad hoc* selected case studies” (Cattrysse 11) alone can offer. As the collation of data for large numbers of adaptations of any canonical work requires extensive research with a repeatable methodology, the research undertaken for this dissertation is formed by using a visual comparative representation (vcr)¹¹. The database constitutes the visual representation of *Macbeth*, with the findings then compared to aspects of Linda Hutcheon’s *A Theory of Adaptation* as mentioned above. The rationale behind comparing such a large number of adaptations/productions against each other is that, unlike comparing only two or three against each other, the structural conventions of the text-types/media themselves should be observable. 75 ‘original text’ adaptations of *Macbeth* that span numerous categories are therefore the focus of the intermedial analysis in *Part II*, which is necessary for the medial patterns of operatic adaptations to be differentiated from other medial forms. Every ‘full’ *MACBETH* opera that was accessible was included in the overall research, although many were only able to be included in the intramedial analysis and the case studies due to not involving ‘original text’ or literal translations¹² of the original text within the libretti.¹³ Following the operas being placed within a comparative context with all medial forms, the intramedial analysis then further defines the medial patterns within sub-categories of operas and their libretti. As considerable research already exists for the *MACBETH* operas by Verdi (e.g. Clausen *Macbeth Multiplied*;

¹⁰ Full definition of the methodology is provided in *Part II – Chapter 1*. The text-type of novel was not included due to the reverse potential for variability.

¹¹ The abbreviation here is used in lower case due to the existing VCR (video cassette recorder) that could be mistaken within a medial context.

¹² This term is often known as ‘literary translation’, but will be referred to in this dissertation as literal translation to avoid any confusion due to the contexts of ‘literary adaptation’. As defined here, a literal translation maintains the meaning and the structure of the source text as closely as possible. A full definition is included in the *Glossary*.

¹³ A full list of adaptations analysed (and not analysed) is included in *Part II – Chapter 2*, including the operatic adaptations.

Kramer; Rosselli; Toye; Verdi et al.) and Bloch (e.g. Forbes; Fregosi; Kramer; Layer) and other minor research is available for other *MACBETH* operas, the qualitative research that is tied into the quantitative findings focusses on many of the operas that have little or no information available.

Transferring information from a source text, in this case a stage play, to other forms of media via target text-types should result in certain patterns appearing due to the conventions that have been formed both by and for those text-types and/or media. As will be seen, the results of the data analyses confirm this, with clear distinctions between the usage of certain types of structural elements observable in some text-types/media but not others. Some conventions appear to link certain medial forms to others, confirming that “there is no such thing as autonomous or pure medialities” (Bruhn and Gjelsvik 4) and that “[o]ther forms of transfer and transformation between media have been widespread since the dawn of history, and the media of film and written literature, like all media, share significant similarities and differences with other media” (Elleström “Field of Media” 114).

Within the database, there are also two ‘categories’ involving “equivocal” adaptations – those which cannot easily be categorised *unequivocally* into standard media forms – and documentation of outliers that could potentially be placed in various categories is also provided. Although the equivocal adaptations/productions most likely relate to the impact of *convergence*, where the effects of “the flow of content across multiple media platforms, the cooperation between multiple media industries, and the migratory behaviour of media audiences” (Henry Jenkins *Convergence Culture* 2) have resulted in a mix of medial conventions into new forms, this dissertation does not intend to investigate the reasons behind their equivocal categorisation. However, the differentiation of each text-type’s structural conventions should highlight whether each adaptation maintains any medial fidelity or whether there is evidence of such convergence. Furthermore, this may actually highlight that the concept of medial convergence is actually a mix of structural similarities and differences, not purely technological, technical, or aesthetic ones. This research focusses on an approach that is similar to what is known as *medium-specificity*, which has recently returned to discourse because “the downsizing of the borders between media has been done to the extent that important differences seem to be forgotten” (Gjelsvik 247). As opposed to defining the medial forms from a point of view of reception, as Gjelsvik then suggests, this dissertation focusses instead on similarities and differences in adaptation processes in what could effectively be called *text-type specificity*. This concept could incorporate the conventions of each text-type, such as those listed in *Part II – Chapter 1*, which documents many of the structural conventions within text-types that can be used to separate the medial forms. In other words, whereas medium-specificity focusses on the differences and similarities of the media-based product, text-type specificity would focus on the textual aspects that are used as the basis for creating the product: in essence, medial fidelity.

The other main purpose of this dissertation is the comparison of the quantitative and qualitative findings against the concepts presented by Hutcheon in 2006. Her description that “[a]s a product, adaptation can be given a formal definition, but as a process – of creation and of reception – other aspects have to be considered” (*A Theory of Adaptation* 15-16) will be questioned with regards to two elements: a) that an adaptation does not always infer a product, nor that all ‘products’ are ‘adaptations’ but that some are only ‘productions of adaptations’; and b) there are (at least) four main phases of the overall *product creation* process that should be considered separately, not adaptation as a single overarching process. It is not questioned that there is a difference between the processes involved in creation and the processes involved in reception, both of which will be discussed throughout various stages of the dissertation. However, many aspects of her theory, which has been described as “more pastiche than system, with unclear borders and boundaries whose fluidity some scholars welcome and others find unsatisfying” (Elliott "Theorizing" 30-31), will be reviewed against the contexts and findings of the research.

To support the re-assessment of fidelity through a new understanding of the separation of adaptation and production processes, the four-phase process of product creation (Figure 1 above) is proposed, consisting of *conception*, *adaptation/composition*¹⁴, *production*, and *reception*. As will be discussed, the second phase involves adaptation and/or composition, depending upon the text-type being set. For example, the creation of an operatic score (text-type) may consist of both parts within this second phase: *adaptation* within the primary text-type (libretto) and *composition* of music in the second text-type (notated score).¹⁵ These may also occur simultaneously, constantly overlap, or be reversed in order (e.g. composers adapting the source text to the libretto as they compose, or through a translation of the libretto after composition), as will be shown in the case studies. With other processes potentially running in parallel with these phases, such as collaboration and management, there are considerably more processes involved in product creation than are currently researched in Adaptation Studies. As will be shown during the case studies in *Parts IV* and *V*, this phase-based breakdown of the overall product creation process assists with determining whether it is the adaptation/composition phase leading to a text-type or the aesthetics and the interpretations within a production that are the aspects being investigated.

Hutcheon also proposes a three category concept that she calls *modes of engagement*. This concept, which will be critiqued in far greater detail in *Part I – Chapter 2*, effectively attempts to define the methods of reception within *telling*, *showing*, or *interacting* (*A Theory of Adaptation* 22-27). While the findings of this research assist in defining problematic elements of the concept, it is its simplicity of

¹⁴ Composition here refers to musical composition.

¹⁵ The music may also involve influence and/or adaptation of previous source music.

construct that leads to the proposal for re-defining fidelity. Comparative research using fidelity in this case would be focussed on the aesthetic perceptions of source material (telling) and visual/auditory representations (showing). For example, why would research increase the number of variables by comparing a novel (telling mode) with a film (showing mode)? In order to reduce the variables, methodologies would be strengthened by comparing the same telling mode (e.g. novel and screenplay) instead of also changing modes (e.g. novel to film), by avoiding complications of production processes interfering with adaptation processes. By reducing these variables, perhaps fidelity would become more acceptable in academic spheres. After all, a film is not ‘based on’ the source text, but produced from a screenplay which is ‘based on’ the source text.

Separating the two processes of adaptation and production is also important because there are several ‘layers’ of knowledge involved in reading or viewing, such as an awareness of the textual and medial conventions. As Stam states: “little has been written about the reverse sequence, when the spectator sees the adaptation before reading the novel” (14), showing that the interplay between source and product deserves further definition. If an adapter or director¹⁶ changes something because of their expectations of a reader or audience member’s medial-based expectations, then Hutcheon’s concept of *knowing and unknowing audiences* (*A Theory of Adaptation* 120-128) could be more complicated than what is effectively only relevant during the *reception* stage of adaptation. MacCabe discusses the lack of consideration of how “the cast and crew talk about making an adaptation” in research about “the performativity of adaptation” (7). As will be seen in the case studies, the knowledge levels of cast and crew plays a major role during the reception phase of product creation. The research therefore also proposes extensions of Hutcheon’s concept to include *(un)knowing adapters*, *(un)knowing directors*, *(un)knowing performers*, (etc.); extensions which will be detailed with evidence from the examples of *MACBETH* adaptations/productions.

The comprehensive nature of the research means that the scope of discussions cannot account for every possible avenue of debate. However, through the combined approaches that the quantitative evidence permits, the research aims to focus on the process of product creation as a whole. In order to support the proposals and hypotheses that are within the scope, discussions and data collection are structured within this document across five parts.

Part I discusses the overall theoretical situation within Adaptations Studies that has been mentioned above in more detail (*Part I – Chapter 1*). A description of the elements of Linda Hutcheon’s *A Theory of Adaptation* and the theoretical difficulties that they present regarding the findings of this research is then presented, as is a review of the theoretical concepts defined by Elleström within Intermedial

¹⁶ Included here are editors and other crew members that alter the intentions of the screenplay.

Studies (*Part I – Chapter 2*). *Part I* concludes with an in-depth discussion of the terminological problems within Adaptation Studies and practitioners of adaptation in the field (*Part I – Chapter 3*), including the details of the terminology as used within this dissertation.

Part II documents the methodology that was followed during the data collection stage that was completed as part of this research and further documents the relevant medial conventions that are proposed as part of the concept of medial fidelity (*Part II – Chapter 1*). The intermedial findings that are highlighted by the visual comparative representation are also collated (*Part II – Chapter 2*) in both statistical and observation-based forms.

A discussion of the historical and musicological aspects of operas that are critical to this research as well as the findings related to intramedial differences evident in the operatic adaptations of *Macbeth* is undertaken in *Part III – Chapters 1 to 3*. Further implications of and for the translation of operatic libretti and the dilemma facing operatic adapters concludes *Part III*.

The five chapters of *Part IV* contain three separate individual case studies of operatic adaptations respectively, focussing particularly on the processes of the four phases, the literature-music relationship, and reception to the Danish opera from 1968 by Herman D. Koppel (*Part V – Chapters 1 to 3*). Two additional chapters examine the opera by Bibalo, including its relationship to the medium of television, and the libretto created by Frank Marshall for Lauro Rossi's opera, known as *BIORN*. *Part V* contains two comparative case studies, focussing particularly on the two German language operas and two English operas. The case studies incorporate qualitative and quantitative research and are considered in light of the theoretical merits and constraints of the aspects of Hutcheon's theoretical constructs, particularly *modes of engagement* and *knowing and unknowing audiences*.

Following *Part V*, concluding statements are provided, with a focus on the theoretical possibilities that this research has for English Studies and for future research projects. An extensive set of digitalised appendices is also included, including the full visual comparative representation in various combinations and comparative sets of adaptations (within and across various media). Details of the productions are also presented, as well as relevant information which has been tabled as reference tools within parts of the dissertation.

PART I: Theory and practice in adaptation and intermediality

The sheer impossibility of testing fidelity in any tangible way comes to mind when we recognize that many of the so-called 'original' texts we are handling in such circumstances, Shakespeare's plays most obviously, are highly labile, adaptive patchworks themselves. Adaptation needs to be understood as a field engaged with process, ideology and methodology rather than encouraging polarized value judgements. (Sanders 24-25)

Part I of this dissertation comprises three chapters that introduce the research questions and hypotheses of this doctoral research into intermedial and intramedial differences evident in over eighty adaptations of *Macbeth*. The first chapter presents the research goal of comparing theory and practice in adaptation by differentiating the various medial forms and comparing the findings to Linda Hutcheon's previously proposed theoretical frameworks, as well as presenting a new concept of fidelity in which adaptations are considered with regard to their fidelity to the *medium* in which they are situated, as opposed to the heavily debated fidelity to the source text mentioned by Sanders' in the quote above. *Part I – Chapter 2* presents the theoretical frameworks of Linda Hutcheon's 2006 book *A Theory of Adaptation*, critiques problematic elements within these frameworks, and discusses the basic relationship to the research at hand. Aspects of Lars Elleström's work in Intermedial Studies are also presented, particularly his focus on defining 'media' and related terminology. The third and final chapter in *Part I* documents the most problematic aspect of research into adaptation in a multi-disciplinary context: the differing meanings and usages of critical terminology in theoretical and practical spheres which continue to hamper clarity within theoretical discourse in Adaptation Studies. The definitions followed within this dissertation are also contained within *Part I – Chapter 3*.

Part I – Chapter 1: Quantifying structural conventions

In order to differentiate the structures of operatic adaptations of the same source text, at least beyond a superficial overview, a more thorough quantitative premise is required than the results of paired comparative analyses can provide. By demonstrating the differences in the ways that composers (re-)structure the source text through a closer comparison of which scenes, sections, and even which lines of text are transferred into the target adaptation, such a quantification should highlight their approaches in comparison to each other and also in comparison to the adapters of the same source text in other media. In doing so, the understanding of the processes of adaptation may indeed be strengthened, and subsequently the theoretical definitions within Adaptation Studies may also be further defined. Such an undertaking requires a comprehensive amount of data and, therefore, comprehensive discussion, including enough adaptations within each category of media in order to be able to observe the structural differences, particularly patterns that might not be observable without documented evidence. For these patterns to be observable in a documented form, the use of a type of Information Visualisation (InfoVis) is used to create a record of the textual usage within each of the adaptations analysed. Following a general background to the research, this chapter will define the approach and hypotheses that defined the analysis as well as the types of InfoVis that formed the basis for the diagrammatic representations of the structures.

Differentiating structural conventions in various media

The two fields of Adaptation Studies and Intermedial Studies have evolved into distinct yet very much related fields, encompassing a large number of theoretical concepts about the creation, production, and reception of adaptations across various media. Adaptation Studies, which is dominated by screen-based target media, was opened up to other media through Hutcheon's *A Theory of Adaptation* in 2006. However, despite her bringing a deeper awareness of non-screen-based forms into discourses about Adaptation Studies, there remains a hesitancy to approach the relationships between *all* medial forms in the same comprehensive way that occurs in the theoretical advancements of Intermedial Studies academics such as Lars Elleström. Elleström's work, which is reviewed in more detail in the following chapter includes a more detailed theory related to what 'media' actually means.¹⁷ This section not only introduces some of the important concepts that these two figures have brought to the understanding of adaptations, but also the way in which these concepts relate to the differentiation of the structural conventions of various media.

¹⁷ Elleström's *modes and modalities* will not be discussed in this dissertation to any great extent because, as will be shown, the focus of this research is on the transfer of the *basic media*, that of *tactile* and *auditory text*. The focus on the change of how modes and modalities affect and are affected by intermedial changes will be related to Hutcheon's more generalised concept of *modes of engagement*, which is reviewed in *Part I – Chapter 2*.

When Linda Hutcheon released her book *A Theory of Adaptation* in 2006, it highlighted that research in Adaptation Studies had excluded many medial forms that could potentially provide evidence about and additional support for theoretical developments as they stood at that time. By highlighting these medial forms, Hutcheon continued other previous researchers' beliefs that focussing on mass media alone would not provide the answers that Adaptation Studies required if knowledge about the processes and means of adaptation were ever to be fully understood. As Giddings *et al* had previously described in 1990:

Restricting the discussion... only to screen adaptations from literary texts, there are certain specific problems of transfer which require analysis. These include points of view, time, imagery, psychological realism, and 'selective perception'. (13)

It is clear from the dominance of the screen-based academic research available that restricting discussions to these forms of adaptation, as is the case in the quote above, has become the foundation of much of Adaptation Studies' theoretical discourse. In order to strengthen these foundations, however, analysing and documenting the "problems of transfer", as described by Giddings above, as they occur across *all* media is necessary: work which has continued in greater depth particularly in Intermedial Studies (e.g. Elleström "Field of Media"; Elleström *Media Transformation*; Elleström "Beyond Media Borders"; Elleström "Media Borders"; Rajewsky). Correlations between and within all of the media would also be necessary and if undertaken would further strengthen the knowledge base in Adaptation Studies. Narrowed theoretical perspectives, such as focussing too heavily on screen media, risk excluding important processes and concepts that are part of adaptation as a whole. Hutcheon's theory didn't provide, for example, an outline of how the media were different structurally, or indeed how the media maintained their own medial fidelity through their own similarities.¹⁸ By broadening these perspectives, a more detailed understanding of adaptation should be more likely.

In order to comprehensively achieve such a goal, the ways in which information transfer actually occurs from source texts to target texts in many media categories needs to be documented and then analyses be undertaken that incorporate as many adaptations of a source text as possible. Such analyses would present patterns of structural conventions related to the use of the 'original' text in these intermedial adaptations (intermedial analysis) and could subsequently enable comparisons of structural conventions within each medial category (intramedial analysis). These intermedial and intramedial comparisons could highlight the processes and techniques used by adapters to transfer the information into target texts using the structural conventions related to each medium, in turn allowing discourse related to these patterns of usage to be furthered. This discourse, when combined with existing theoretical developments within Adaptation Studies, including the much contended fidelity of

¹⁸ The concept of medial fidelity was discussed in Howard, G. "Hail to thee, adaptations of the Scottish play: Lesser than *Macbeth*, or greater?" in *Literatur in Wissenschaft und Unterricht*, (in press, 2018).

an adaptation to the source text, could result in a deepening of the overall theoretical conception of what adaptation is. Such intermedial and intramedial analyses are the underlying background to this research, for the purpose of differentiating the medium of opera from other adaptation media, as well as defining operatic categories.

The operatic medium involves a performance form that separates it from any other media, despite some obvious similarities to both live stage plays and stage musicals (e.g. Hutcheon *A Theory of Adaptation* 39; Leitch *Film Discontents* 24). The connections between opera and theatre have also changed over the history of adaptation: by the beginning of the nineteenth-century, the convention of individual textual and musical sections (songs¹⁹); from the mid-nineteenth century an increasing reliance on through-composed works, where few moments are provided for theatrical and musical pauses such as scene changes and applause (e.g. Rescigno).²⁰

[O]pera culture and concert culture diverged. Although twentieth-century operagoers behaved quite differently from the riotous crowds of prior eras, the idea that one should stay quiet throughout an operatic act failed to catch on, except in the case of the Wagner operas and most through-composed works that followed in Wagner's wake. The tradition of applauding Mozart and Verdi arias remained. (Ross)

This conventional shift has altered the relationship between the *source text*, in the case of this research *Macbeth*, and the *target text-type* (a libretto). Librettists for the earlier *MACBETH* operas (re-)created libretti that were based on a source text, but were effectively the precursor to what Giannetti defines as "loose adaptation" (485).²¹ Toward the end of the nineteenth century, however, composers began to rely on the source text itself or literal translations of them, as evidenced in the *MACBETH* operas following Rossi and Marshall's 1877 adaptation *BIORN*. Operatic adaptations are anecdotally known for their somewhat flexible use of text and, even more so, for their abridgement of the text itself (Hutcheon *A Theory of Adaptation* 38, 44). However, to date there is no research that places this anecdotal evidence into statistical reality in any form, thereby failing to provide adequate evidence of intermedial differences. This is not surprising when considering that, despite the vast amount of research that has already been done on various aspects within the relatively new academic field of

¹⁹ In Italian: "aria", in German "Lied".

²⁰ An example of the differences provided by Rescigno is that of Verdi, who composed "three distinct sections, even arias and duets as well as choruses" in *OTELLO* which continue "without any possibility of stopping for applause, whereas in *Aida*, Verdi exploits the use of applause and scene change in order to "break the connection for the listener" (107). He also discusses Puccini's *Turandot*, where the composer "left more breaks for applause" (178).

²¹ There are three different formats of 'Macbeth' that are used within this dissertation: 1) the character (Macbeth); 2) Shakespeare's play (*Macbeth*); and 3) adaptations based on Shakespeare's play (*MACBETH*). A fourth also exists but is not referenced in this dissertation: the historical person about whom the Shakespearean play is based (MacBeth) – originally known as "Mac Bethad mac Findláech" (Taylor, Cameron and Alistair Murray. *On the Trail of the Real Macbeth, King of Alba*. Luath Press Limited, 2008/2016.).

N.B.: During quotation of previous authors' works, the style which was used by the author will be maintained and the four versions shown above will not be superimposed into citations.

Adaptation Studies, almost all of the research involved is qualitative and, as mentioned above, predominantly focussed on ‘screen-based’ media.

As mentioned at the beginning of this chapter, the domination of screen-based research in adaptation theories has left a great deal still to be done within Adaptation Studies if other medial forms are to be amalgamated with existing theoretical knowledge, particularly through the combination of both qualitative *and* quantitative methods. Cardwell’s statement that “fundamental beliefs and feelings about literature, film, television, and the process and actuality (in particular the viability and durability) of adaptation form a trajectory through ‘adaptation studies’” (32) highlights the focus on screen-based media that has dominated research to date. Esslin also only considers three types of adaptation media:

[O]nly by starting from an overview of all the aspects of dramatic performance can we arrive at a clear differentiation of those features that each of the separate media – stage, film and television – can claim as specifically their own, as against the much larger number of aspects they have in common. (9)

The knowledge-gaps related to non-screen-based media as well as their relationships to screen-based media, therefore, still leave Adaptation Studies with an incomplete overview of the processes and products of adaptation in practice. This dissertation presents evidence of the intermedial relationships that have mostly been left sidelined by screen-based theories and provides further evidence of the relationship between various categories of media and the structure of the target texts, concentrating on the relationships to operatic adaptations. The key hypothesis of the research is that medial patterns related to the structure(s) of a target text demonstrate links to the conventions of the target medium that are involved in the mediation processes involved in transferring information. These medial patterns subsequently allow for the separation of screen-based and non-screen-based media into categories that can then be compared to each of the other medial categories. Following the statistical findings across the media analysed, the relationships to current theoretical beliefs and the practical applications that these findings have can be more accurately determined.

The approaches to the research

In order to differentiate the medial patterns of operatic adaptations in both intermedial and intramedial contexts, multiple stages of research were undertaken. Firstly, a quantitative study of 75 *Macbeth* adaptations across eleven different categories of media was completed²². The data collected provided a benchmark for various aspects of adaptation in each of the medial forms, including the percentage of text used in spoken or printed form, the number of additions, repositioned sections of text, amendments to the text, and repetitions. From these benchmarks, the operatic adaptations were

²² These categories are documented in detail in *Part I – Chapter 1*.

then placed in an *intermedial* context, as is detailed in *Part II* of this dissertation. Subsequently, the *MACBETH* operas were researched with relation to *intramedial* operatic aspects, in order to determine the differences within operatic forms themselves and to see whether the observations were connected to historical and cultural factors, the details of which are contained in *Parts III* and discussed in *Parts IV* and *V*. In order to reduce the variables in this approach, only adaptations that used the original Shakespearean text were researched, with the exclusion of the operatic adaptations, where every available *MACBETH* opera was analysed. Two sets of data were collected: both *with* and *without* the additional scenes and sections not believed to be in the 'original' source text (Clark, S., in Shakespeare [Arden 3rd] 322) to ensure that this variable could be considered if required.

One of the complications of this approach is that allocating adaptations to a category of 'media' is not always possible without potential drawbacks. Elleström suggests that the lack of clarity in categorising media should preferably be known as "border zones" ("Introduction" 3) because "all forms of art, media, languages, communications and messages have some characteristics in common" (4). Rajewsky also states that:

The question of how a medium should be defined and delimited from other media is of course always dependent on the historical and discursive contexts and the observing subject or system, taking into account technological change and relations between media within the overall media landscape at a given point in time. (54)

She also states that, although categorisation "should indeed be handled with care" there are areas of intermediality where "media borders and medial specificities are indeed of crucial importance" (53). Within the adaptations analysed, there were naturally a handful that were not able to be placed into a specific medial category, due to influences such as heavy abridgement or a 'hybrid' merging of "so-called individual media" due to "[i]ntermediality in the narrower sense of intermedial references" (Rajewsky 53), such as the magician-style illusions in the Folger Theatre stage performance of *Macbeth* (Posner and Teller (dir.)) which thereby prevented it from simply and unequivocally being categorised as a live stage play. Similarly, the Bank Hall performance (Appleby) is heavily enough influenced by other issues such as a long festival dance scene and edited accompanying music as well as the outdoor location of the performance that it cannot be unequivocally categorised as a live stage play. Therefore, these two adaptations have been separated into the first of two "equivocal" categories of adaptations analysed in this research, along with two other similarly equivocal directed products. As mentioned above, the purpose of providing a significantly abridged adaptation suggests that heavily abridged adaptations should also not be considered as unequivocally 'belonging' to one medial form. For this reason, the second of the "equivocal" categories of media have been separated as probable outliers. In these cases, the discussions of the findings included the statistics in the equivocal categories and, where relevant, in the probable categories that the adaptations might be placed.

The approach of creating the quantitative analyses allows various hypotheses to be tested, including the main purpose of this research in juxtaposing theoretical concepts against samples of adaptation in practice, illustrated by the variety of *Macbeth* adaptations in order to foreground potential implications for theorists and practitioners of Shakespearean adaptation. Due to the large number of theories within Adaptation Studies, the main theoretical foci of this dissertation are some of the main concepts within Linda Hutcheon's *A Theory of Adaptation* (2006), with brief consideration of other theoretical constructs by Lars Elleström, particularly through his work since the release of *Media Borders, Multimodality and Intermediality* (2010).²³

Part of the approach to this research is the questioning of how adaptation research has been done to date, particularly related to the focus that has been placed on the reception of adaptations. *Part I – Chapter 3* presents detailed definitions of the terminology as it is applied within this research and questions the general synonymic usage of some of these terms within Adaptation Studies and in practical realms. For example, *abridgement* of a printed text is spoken about as if it is *adaptation*. However, if the order is not changed but only the amount of original text is reduced, can it truly be considered to be adaptation, or does the adaptation occur in the staging of an abridged text? Does the abridgement change the interpreted meaning of the source text and is therefore adaptation and not simply abridgement?²⁴ A similar definitional problem is whether 'adaptation' is really the correct term for what happens when an 'adapter' changes the performer for a line? An example of this is the adaptation by Laberge, which shows "An Adaptation" (front cover), yet does not manipulate the text in any way other than changing the performers for certain lines. These, as well as other issues related to the definitions shown in *Part I – Chapter 3*, may be made clearer through the analyses of dozens of adaptations of the one source text, such as those described and analysed in *Part II – Chapters 1 and 2*.

In order to define the intermedial relationships that form the basis of the approach to this research, the structural conventions of each media are discussed with relation to the constraints and freedoms that they provide to the adapters in *Part II – Chapter 1*. The conventions of operatic forms will then be detailed in order to define the intramedial variations in *Parts III, IV and V*, where the quantitative findings are then discussed within the qualitative discussions of three case studies of individual operas and two comparative case studies of paired operas (*Parts IV and V*). Through the different types of

²³ Although the scope of the project in this case is intentionally restricted to these theoretical concepts in order to constrain the size of the dissertation, the data that is provided is intended to allow for future research which could consider other adaptation theories that currently exist and that are likely to be developed into the future.

²⁴ One of the categories of adaptations analysed in this research involves those which are heavily abridged: "Category 9 – Equivocal² (*printed*)", which is defined in more detail in *Part I – Chapter 1*. These adaptations have been separated into this category because they are not unequivocally able to be categorised into one particular medial form primarily due to the abridgement undertaken.

analysis, the findings provide evidence that support or counter differing aspects of the adaptation theories discussed and suggest development of these theories.

The main hypotheses guiding the research

The overarching hypothesis for this dissertation is that the textual structures of adaptations are influenced by various traditions and conventions that have become established in the various adaptation media as well as the technologies available to their development. As explained in the *Introduction*, qualitative research often focusses on the aesthetics and interpretative qualities of productions, whereas this dissertation focusses on a combination of quantitative and qualitative research in order to define structural conventions in the adaptation/composition phase and other related differences that occur in the production phase.

The purpose and structural conventions of each medium help to define not only what information from the source text is transferred but also *how* (in which structures, formats, grammatical tenses, etc.) it is transferred into the target text-type, including the planning of visual and/or auditory changes, whether they are explicitly or implicitly noted in the primary target text-type. An audiobook aimed for people who are studying the source text in full would therefore be expected to use a considerably greater percentage of the source text than an abridged play, which has the obvious purpose of making a source text simpler for performances by either school or amateur drama groups. Screenplays, which generally have the purpose of mediating descriptive elements within a novel into planned visual elements for a film audience would therefore be expected to have a lower percentage of the source text verbalised than an audiobook, although mediating a play would not normally involve transferring descriptions into visual/auditory imagery beyond any information presented in the scene settings. A professional, traditional live stage version, on the other hand, may have a comparatively high percentage, because the intention may be to present the play in as 'traditional' or 'faithful' a manner as we interpret the original to have been performed, although cost constraints related to performance length may incur a certain amount of abridgement. The quantitative analyses highlights these conventions as they exist in practice and demonstrates what the structural conventions of the media are, thereby either countering or confirming theoretical frameworks.

Because of the statistical basis of the quantitative analysis, there is no implication that the source text, *Macbeth*, is part of "some imagined hierarchy of medium or genre" (Hutcheon *A Theory of Adaptation* 3): instead, it presents objective evidence of how adaptation in practice is formed separately across the categories of media based on the same source text, focussing predominantly on the relevance of *medial fidelity* (in the adaptation/composition phase) and not that of *aesthetic fidelity* (in the

production phase), both of which were defined in the *Introduction*. The analyses are presented in both visual and statistical forms, providing possibilities for both a comparison to the source text and comparisons between each adaptation and each medial form to another. This approach thereby negates Cardwell's criticism that, with relation to film adaptations of novels, "there has existed a widely shared desire to undermine the tendency for comparison to lapse into fidelity criticism that unfairly assesses an adaptation on the grounds of its fidelity to the book, and to the book's author's intentions, and in literary terms which are unsuited to film interpretation" (23). Therefore, providing quantitative research that also allows for a subsequent fidelity approach and interpretation related purely to the media themselves, such as in this dissertation, could be viewed as a necessary step in furthering Adaptation Studies research.

There are many aspects of operatic adaptation that it was hypothesised an investigation into the quantitative findings would shed light on. Primarily, the analysis was expected to confirm the anecdotal evidence that libretti contained a significantly lower percentage of text than other media, although this was not the case for every operatic adaptation against every individual comparison or against each category of media overall, as is discussed in *Part II – Chapter 2*. As the operatic medium is linked to other media through its mixture of theatrical forms as already discussed, it was also expected that there may be other text-based linkages to other media through an analysis of the primary text-types involved. It was further hypothesised that intramedial analyses would demonstrate operatic structures which would not only lead to categorisation but also further display relationships to historical changes that have occurred, particularly due to the increase in through-composed operas beginning around the mid-nineteenth century.

These hypotheses were expected to confirm that the theoretical aspects that are described in the following chapter do not encompass every creative component that exists in practical of operatic spheres, but that certain elements of the textual usage in libretti do conform to the concepts within Adaptation Studies and Intermedial Studies. It was further expected that the components that current theories do not encompass would assist in furthering the understanding of adaptation generally, suggesting other methods and approaches that could lead to a more thorough way of defining the processes of adaptation than the current heavy focus on screen-based theories provides.

The use of Information Visualisation and the hypotheses

Why does writing about adaptation, whether critical or theoretical, and despite concerted efforts to the contrary, tend to end up returning to the methodology of comparison and the related notion of 'fidelity' (faithfulness to the source novel)? [...] The answer lies in deeply entrenched, pre-theoretical notions of what adaptation is, and what an adaptation is – conceptions which are widely held but mostly unstated and unexplored. The durability of these conceptions is a testament to their instinctive appeal on many levels: emotional, intellectual and 'common-sense'. (Cardwell 9)

The predominant form of research in Adaptation Studies is qualitative, predominantly using the comparative methods described by Cardwell above. Despite the wealth of information that has been collated through this method, it has led to a knowledge gap in the overall understanding of medial patterns, because the qualitative research to date has mostly involved pairing two adaptations and looking for the similarities and differences between them. Although these aspects are important, particularly in understanding the importance of aesthetics in adaptations as well as highlighting the interpretative meanings that adaptations are able to present that the source text and source medium do not necessarily intend, analysing two adaptations from various media does not lead to an understanding of medial patterns. Essentially, comparative analysis of two adaptations assists researchers to focus on whether an adaptation maintains fidelity to a source text, particularly with regards to intended meanings.

Adaptation Studies has steered away from fidelity criticism in recent years because, as Leitch states, “[f]idelity makes sense as a criterion of value only when we can be certain that the model is more valuable than the copy (*Film Discontents* 6). However, the value of textual fidelity and medial fidelity is that they permit quantitative studies to formulate comparisons to the structural formations of numerous adaptations of any source text, regardless of the quality of each adaptation and judgements of each adaptation’s perceived fidelity. Without larger scale comparative analyses of adaptations from various source texts, it will not be possible to discuss whether an adaptation maintains fidelity to the medium in which it operates (Howard, “Hail to Thee”). Additionally, analyses involving structural fidelity permit such discussions about medial fidelity exactly *because* they highlight what occurs within each medium, not the differences between two adaptations, which could never allow adaptation to be understood in terms of medial fidelity. The analysis in this dissertation tackles only one source text, and therefore more research of this manner is required to fill remaining quantitative gaps. The statistical analysis provides evidence that can support views formed from practical experience and potentially even highlight aspects that have not been recognised by practitioners.

The main component used to assess medial fidelity in this research is founded in the field of *Information Visualisation*, known generally as Infovis or InfoVis. This field involves, among many other aspects, the visualisation of data. This is not just a visualisation of the findings of data, such as occur

generally in diagrams of various types, but is used to form the data. As is detailed in the methodology section in *Part II – Chapter 1*, this visualisation was undertaken using computer software and was then used to formulate the statistics. It was hypothesised that a visual comparative representation (vcr)²⁵ would allow various aspects of a structural analysis to occur that would permit the numerous individual hypotheses to be tested. These hypotheses include the expectation that the more traditional media (also refer to *Part II – Chapter 1* for complete definitions) would demonstrate a more traditional approach to the structure through a high percentage of the source text, with few additions, omissions, repositions, repetitions, or amendments. Findings in support of this hypothesis would thereby confirm that they maintain a higher level of textual fidelity to the source text than more modern media, particularly screen-media, except where ‘fidelity’ may be culturally expected, for example, in productions made by the BBC. Similarly, it was hypothesised that simplified theoretical constructs about, and the terminology related to ‘levels’ of adaptation, such as Giannetti’s three types of adaptation, “the loose, the faithful, and the literal” (370) would not be clearly delineated and thereby could not be supported by the statistics. It was further hypothesised that possible chronological influences would be observable, because previous directors, productions, or intellectuals influenced the direction of adaptations of *Macbeth*. As is discussed in relation to Herman D. Koppel’s operatic adaptation, such influences also involved the effect that academic discourse had in adaptations, for example, Jan Kott’s *Shakespeare our Contemporary*, which also influenced Marowitz’s *A MACBETH* and Polanski’s film adaptation.

Additional hypotheses included visually obvious and statistically significant patterns demonstrating that partial or full scenes are generally deemed to be unnecessary to the understanding of narrative threads, character development, or overall plot. *Part II – Chapter 2* discusses the most important of these, particularly the lengthy 4.3, as well as the omission of numerous short scenes in Act 5. It was also hypothesised that an adapter’s and/or a director’s experience and background in a specific medial form might influence their use of the text. For example, Bogdanov’s background in Shakespearean theatre might change the structural usage of the text in his television adaptation, and Welles, who in addition to his theatrical upbringing was raised in an operatic environment, might show a more operatic usage of his text. As Esslin states, “many of the best directors and designers work in the theatre, film and television and can switch from one to the other without undue difficulty. And, in my experience, they regard their work in all the different dramatic media as basically the exercise of a single type of skill that can be readily adapted to the specific differences and demands of the different media” (Esslin 34-35). Once again in the main individual case study of Koppel’s opera in *Part IV –*

²⁵ Discussed in detail in *Part II – Chapter 1* and contained within *Appendices A to D*.

Chapters 1 to 3, an example of a director that was unable – or perhaps unwilling – to switch medial forms is discussed.

Some of the intramedial hypotheses related to operatic adaptations include the expectation that operas that do not follow the original Shakespearean text focus more on the musical structure than the original structure of *Macbeth* and that non-English operas deviate from the structure of the source text more often due to the freedoms that breaking from Shakespearean English entails. The latter, as will be discussed in *Parts III, IV and V*, is only true for non-literal translations, those which conform to the more traditional libretto style, as opposed to the more modern form of using the original text or a literal translation thereof that began near the beginning of the twentieth century in the case of operatic adaptations of *Macbeth*. The traditional non-English operas were expected to conform more to operatic structural conventions because they have the freedom of creating verse-based libretti that are more suitable to, for example, arias, than a rarely verse-structured source text.²⁶

A slightly less important hypothesis in the case of *Macbeth*, which uses comparatively little rhyming verse, was that there would be a tendency to omit prose more often than rhyming verse. As is also discussed in the findings in *Part II – Chapter 2*, the results were somewhat unexpected. Although many of the rhyming couplets that exist towards the end of scenes were maintained, many adaptations only verbalised one part of the couplets (e.g the first line but not the second). Specific examples related to the adaptations of *Macbeth* are discussed in the findings.

²⁶ Further research in adaptations of *Romeo and Juliet* may confirm differences to this expectation.

Part I – Chapter 2: A review of relevant theoretical concepts

Relating aspects of theoretical constructs that exist within the two fields of Adaptation Studies and Intermedial Studies to the quantitative analyses that are presented in *Part II* necessitates the omission of a considerably large number of theoretical frameworks that have been created by various theorists. For this reason, the theoretical scope of this dissertation relies heavily on concepts by Linda Hutcheon and Lars Elleström, with their constructs related to the four phases of the overall creation process. The concepts presented by Hutcheon predominantly target the receptive phase, drawing on the difference in responses caused by the way an adaptation is received and by the prior knowledge of the receiver. The other phases proposed here are simply part of what she separates as “creation” (*A Theory of Adaptation* 16). The constructs that are discussed related to Elleström, however, are broader, and also include aspects of the adaptation/composition and production phases: aspects which are of great significance to the concept of medial fidelity as proposed and which are necessary in understanding the categorisation of media as described in the methodology of the quantitative approach to formulating and collating the intermedial and intramedial data. This chapter is separated into two main sections, each containing a presentation and review of the concepts that the two academics have provided, including discussions about the impact that their theories have on the research and that the findings of the research have or may have on their theories.

Adaptation Studies: Concepts from Linda Hutcheon’s *A Theory of Adaptation*

Adaptation Studies has developed significant amounts of research over recent decades, with key theorists such as Linda Hutcheon, Thomas Leitch, Kamilla Elliott, Julie Sanders, Patrick Cattrysse, Deborah Cartmell, Imelda Whelehan, Sarah Cardwell, and Dennis Cutchins exploring territory that had previously remained the domain of Literature theorists. Related areas of research have also been developed in intermediality and transmediality, particularly in Europe and Scandinavia, including by Irina Rajewsky, Lars Elleström, Jørgen Bruhn, and Anne Gjelsvik. It is not the intention of this research to critique each of the theoretical concepts that have been proposed to date, let alone use them all as the foundations for the analysis or discussion of 75 adaptations of *Macbeth*, as a consideration of these and relevant theories from other academic fields that have not yet been amalgamated into adaptation theory to date is outside the scope of this research project. However, there are many theories such as those mentioned, as well as from other fields that require at least mention or future consideration, including various concepts from Translation Theory, Film Theory, Opera Theory, and Psychology.

Sarah Cardwell (e.g. 9-28) presents a progression of adaptation theories that were attempted and discarded over the decades prior to her book. It was only a few years after Cardwell’s work that the key theorist to be critiqued and discussed with relation to the current research, Linda Hutcheon,

released *A Theory of Adaptation*. In addition to her contribution to adaptation theories, she has also researched other aspects of the operatic medium (e.g. Hutcheon and Hutcheon *Bodily Charm*; Hutcheon and Hutcheon *Opera*). Hutcheon's work brought other non-screen media into the awareness of Adaptation Studies research through an introduction of aspects that were relatable to screen-media theorists at the same time as highlighting the flaws in the fidelity debate. In 2004, prior to the release of *A Theory of Adaptation*, Hutcheon had already discussed certain aspects such as the "deeply moralistic rhetoric" (Hutcheon "Art of Adaptation" 109) that automatically placed the value or quality of the source text above the adaptation. In the same article, she also drew attention to the differences in the media, stating that "[w]hile no medium is inherently good at doing one thing and not another, each medium (like each genre) has different means of expression and so can aim at certain things better than others" (109). By the time she had released her theory, she had developed a way of weaving non-screen-based media into her concepts, with specific mention of the operatic medium:

In musical drama, the score too has to be brought to life for the audience and "shown" in actual embodied sound; it cannot remain inert as black notes on a page. A visual and aural world is physically shown on stage – be it in a play, a musical, an opera, or any other performance piece – created from verbal and notational signs on the page. But most theories draw the line here and claim that only *some* dramatic productions merit the designation of adaptation. (*A Theory of Adaptation* 39)

If, as Hutcheon further states, "[o]pera may have been Richard Wagner's idea of the total work of art (the *Gesamtkunstwerk*) that unites all the arts of music, literature, dance, and the visual, but today it is cinema that fulfills this claim" ("Art of Adaptation" 110), then has film indeed taken the same structural concepts that exist(ed) in opera and applied them to the new form of *Gesamtkunstwerk*? If this is the case, then the other aspects of Hutcheon's 2006 theory should also be as relevant to opera as to film.

This dissertation focusses on the relationship that operatic adaptations has with Hutcheon's theorising about the *process* and the *product* of adaptation, presenting a four-phase concept for the overall product creation process, spanning from conception through to reception, all of which are evidenced in the case studies in *Parts IV* and *V*, particularly Case Study 1 (*Part I – Chapters 1 to 3*) and Case Study 3 (*Part IV – Chapter 5*). Additionally, two of her other concepts related mostly to the reception of adaptations, *modes of engagement*²⁷ and *knowing and unknowing audiences*²⁸, are reviewed against the findings of this research, with proposed developments of these concepts provided. Although "epistemological approaches like Hutcheon's that define a given adaptation in terms of its perception as an adaptation" (Leitch "Book Review" 272) do not fully define every aspect of adaptation, these two additional concepts provide this research with a framework that allows for analytical comparison at

²⁷ The majority of this concept is discussed on pages 22-27, 38-52, and 128-133 of *A Theory of Adaptation*.

²⁸ The majority of this concept is discussed on pages 120-128 of *A Theory of Adaptation*.

intermedial and intramedial levels. As will be shown, these two concepts are more complicated than simple either-or options allow, with mixed categories of *modes of engagement* being possible as well as a gradation between knowing and unknowing being possible. The following subsections present summaries of both concepts and then propose more specific forms of how these concepts relate to the media involved in this research, including the visualisation of the concepts and the complications that the binary conceptualisation of both concepts entails.

Product and process

In *A Theory of Adaptation*, Hutcheon presents the term ‘adaptation’ as being separable into the two forms: adaptation as a noun for the *product*; adaptation as a noun for the *process*. Yet, despite confirming that “[a]s a product, an adaptation can be given a formal definition, but as a process – of creation and of reception – other aspects have to be considered” (*A Theory of Adaptation* 15-16), the “other aspects” are not all detailed. Although she provides many examples that connect a ‘product’ with its source, the actual processes through which the source was transformed into the product are essentially not demonstrated. She discusses the “story elements” of the source that are transferred, “themes, events, world, characters, motivations, points of view, consequences, contexts, symbols, imagery, and so on” (*A Theory of Adaptation* 9), but fails to demonstrate the process(es) through which these elements were transferred. In fact, the majority of the theory related to *adaptation as process* is actually focussed on what is proposed here as the *reception* phase, including the other concepts discussed in the following subsections. In addition to receptive processes, Hutcheon’s focus lies in “Creative Interpretation/Interpretive Creation” (*A Theory of Adaptation* 18) including imitation and “making the adapted material one’s own” (*A Theory of Adaptation* 20), and intertextuality (*A Theory of Adaptation* 21-22), the latter of which is also receptively focussed.

McKinnon states that, in the context of learning approaches, “studying adaptation reveals and demystifies the *process* of artistic creation” (57). Without knowing exactly what the process(es) required to conceive, adapt/compose, and produce an adaptation are, however, understanding the process(es) involved in the phases proposed herein would be difficult to teach and to learn successfully. Simple statements such as “adapters are first interpreters and then creators” (Hutcheon *A Theory of Adaptation* 18) provide a general idea of the purpose of adaptation, but few details about how adaptation is actually undertaken are given. Another statement such as “an adapter coming to a story with the idea of adapting it for film would be attracted to different aspects of it than an opera librettist would be” (Hutcheon *A Theory of Adaptation* 19) at least discuss the conception phase as proposed in this research, but also considers neither the details about conceiving an adaptation nor provides examples of how this actually occurs in practical terms. Even when Hutcheon states that “as

a process of creation, the act of adaptation always involves both (re-)interpretation and then (re-)creation; this has been called both appropriation and salvaging, depending on your perspective” (Hutcheon *A Theory of Adaptation* 8), understanding exactly how an adapter (re-)interprets or (re-)creates is not explained.

In order to assist in formulating the processes involved in the transfer of information from the source text to the target media *product*, via what is considered the *process* of adaptation, a four-phase process for overall product creation – first proposed in the *Introduction* to this dissertation – creates the basis for many of the analyses contained within this document. The proposal highlights one of the hypotheses contained within this research that the understanding of fidelity to this point has actually been based predominantly on one part of the overall product creation process, that of the *production* phase. This has occurred at the expense of understanding the *adaptation/composition* phase. As already discussed, the majority of research in Adaptation Studies has focussed on screen-based adaptations and novels, with barely a mention of other medial forms. This has meant that the way that ‘adaptation’ has been talked about as a process is potentially flawed, as it has drawn a focus onto the production of the adaptations as a whole and not the process of adaptation/composition as proposed here. For example, novel and film research considers all aspects of the product creation process to be the process of adaptation, because changes can occur all the way through to the release of the film. However, operatic adaptations are considered to be the notated music score, with any changes occurring afterwards considered as part of the process of production. As can be seen in Figure 2, the difference between the processes of Koppel’s 1968 operatic adaptation (refer to *Part IV – Chapters 1 to 3*) and Kurzel’s 2015 film is not so far removed that they could not be compared at each stage. However, novel to film research would focus primarily on the results of the product through reception and not necessarily the results caused by the adaptation/composition phase prior to the creative input during production. This is an important difference, because the operatic adaptation is normally intended to receive multiple productions, whereas the film industry restricts a screenplay to one production process. In doing so, the focus of research is different: what an adapter does as opposed to what a director does. It is exactly this difference that needs to be researched further and which is the basis of this dissertation: the process(es) involved in transferring to text-types (proposed here as *primary mediation*) and subsequently to media (proposed here as *secondary mediation*).

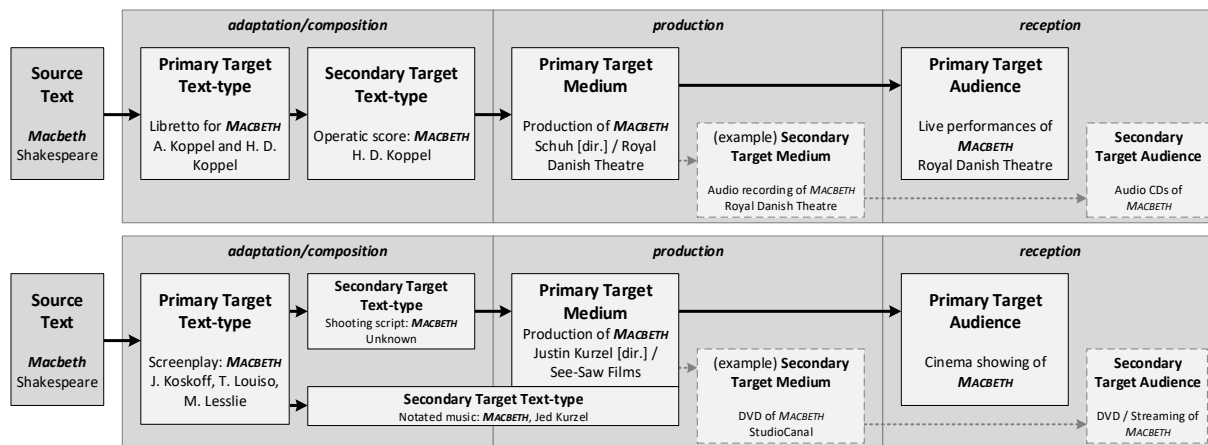


Figure 2: A comparison of the process phases of Koppel's 1968 opera and Kurzel's 2015 film

In film adaptations, the interpretation of the story in written and structural form is the role of the screenplay writer and the aesthetic interpretations that of the director, although the structural aspects can be re-edited, the people fulfilling these roles can be the same, and the separate processes could overlap in some cases. Screenplay writers not only create an intermediary stage (text-type) which directors and other production members mould into the final product (medium), but they are normally also aware of the production processes involved in converting the (printed) written text into a visual and/or auditory medium. This is essentially a symbiotic relationship between the two phases and between the parties involved in completing these phases. The various stages of the overall creative process could potentially result in a variation between the primary adapter's/s' intention and an audience's perception of fidelity. For example, the judgement of a film's fidelity is based on the final screen-based production, despite there being numerous *printed* (images and/or text) target text-types involved during the overall process, potentially resulting in a difference between the intended fidelity of the *primary target text-type*²⁹ (e.g. the screenplay) and the perceived fidelity of the *directed* production (e.g. the film). This is important, particularly if the driving force behind (*directed*) productions is "financial, not aesthetic" (Leitch *Film Discontents* 128), which would suggest that the *adaptation as product* (Hutcheon *A Theory of Adaptation* 16-18) that results from these processes is not necessarily representative of the level of fidelity in a *printed* text-type. Therefore, this dissertation begins the complicated process of separating these phases through a mixture of quantitative and qualitative research.

In order to separate the media, the visual comparative representation and the subsequent analyses are separated into two groups of product: *directed* [audiobook, live stage play, filmed (former) stage play, television, film, animation], which are based on *visual and/or auditory* productions, and *printed* [graphic novel, abridged play, operatic score/libretto], which are *illustrated or directable* text-

²⁹ Defined in *Part I – Chapter 3*.

types/media. The visual representation of the analysis is therefore split into these two groups: *directed* adaptations in the upper section and *printed* adaptations in the lower section of each page. The four-phase process model is also used to compare the differing processes that were involved in the creation of the operas as part of the case studies in *Part IV* and *Part V*. In doing so, it emphasises the importance of the different phases and the different way in which fidelity could be applied to future research into not only operatic adaptations but also any media involving a production phase.

Modes of engagement

Another concept of Hutcheon's theory relevant to this research, particularly the case studies, is that of *modes of engagement*. The intention of the concept is to highlight the different processes related to reception involved with each medial form through three *modes*: "telling, showing, and interacting with stories differ in the kind and manner of engagement of the reader (spectator, player)" (*A Theory of Adaptation* 128). As will be seen, there are a considerable number of problems with this concept, despite the brilliance of its simplicity and its basic premise: that of understanding the differences of receiving information through different types of media. Hutcheon defines the first two *modes of engagement* in order to highlight that a reader has different mental requirements than a viewing audience. She additionally uses the term *interacting* to define stories that involve participation by an audience where the audience at least partly and physically controls the direction of the story (Hutcheon *A Theory of Adaptation* 13). The main focus of these three modes of engagement are the telling and showing modes, particularly as Adaptation Studies has predominantly considered and been developed upon novel to screen adaptations.

Telling requires of its audience conceptual work; showing calls on its perceptual decoding abilities. In the first, we imagine and visualize a world from black marks on white pages as we read; in the second, our imaginations are preempted as we perceive and then give meaning to a world of images, sounds, and words seen and heard on the stage or screen. (Hutcheon *A Theory of Adaptation* 130)

However, there are also numerous problems with the terminology that she uses that require mention, including her regular use of synonyms to replace the names of the modes that she defines, such as the "performance mode" (Hutcheon *A Theory of Adaptation* 23) and the "participatory mode" (Hutcheon *A Theory of Adaptation* 22-23) for the latter two modes respectively. Hutcheon also provides examples that break from the intended premise without providing more detail about why this happens. For example, after discussing a film by Peter Brook and stating that "this camera work, he realized, would not do what a stage production does: engage the viewer's imagination in a way that film, because of its realism, cannot" (Hutcheon *A Theory of Adaptation* 129), Hutcheon does not show that the use of imagination is required even during two media involved in the showing mode. This breaches the

explanation that the telling mode requires reader imagination, whereas the showing mode perception. Although she is referring to the imagination required to match the director's vision in a film to its stage production, it nevertheless shows that imagination and perception cannot always be separated in the receptive processes. In addition to this issue, there are three other additional issues that deserve mention.

Firstly, the definition of *telling* and *showing* within her theory is incompatible with the usage of the terms in Narratology, which uses them to define the manner in which information about an event is presented to an audience within a medium, for example, for a live stage play. In this usage, a character presents the information by either directly or indirectly *telling* the audience about what happened, or the characters involved in the event enact it, thereby *showing* the audience the information (Klauk and Köppe), which aligns with a synthesized analysis of previous theories mentioning that these provide information in *past* and *present* aspects respectively (Branigan 146). Klauk and Köppe explain that these "modes of presenting" are methods of receiving information about a story through "reports" about the information or by "witnessing" the information respectively. An earlier definition discusses telling as "a MODE characterized by more narratorial mediation and a less detailed rendering of situations than SHOWING" (Prince 98). These definitions do not align with Hutcheon's usage, because the definitions of how information is presented within a medium does not align with Hutcheon's mode for the medium itself. The use of the term is further complicated because Bal writes that "[f]ilm is an expository medium: its narrative mode is 'showing'" (44), which conforms more towards Hutcheon's definition than Klauk and Köppe's. Under Hutcheon's definition, a live stage play is a showing mode. However, an audience at a live stage play of *Macbeth* might be told about the murder of the Macduffs by Ross' report to Macduff in 4.3, or they might actually witness it at the end of 4.2 as the murders are enacted. In these cases, the two possibilities used in *Macbeth* conform to the usage of *telling* and *showing* in Narratology. This example shows the problematic association of the terminology between *A Theory of Adaptation* and the usage in Narratology, although it could be argued that the terms would be possible when considering *modes of presenting* (Narratology) as a technique within a performance / an adaptation and therefore the terms are separate to the usage in *modes of engagement* (Hutcheon).

The second of the issues is its wording using "or" instead of "and/or": e.g. "tell, show, or interact with stories" (*A Theory of Adaptation* 22) (22), essentially limiting or segregating adaptations into either the realm of *imagination*, *perception*, or *interaction*, stating that "reading a printed text immerses us through imagination in another world, seeing a play or film immerses us visually and aurally, and interacting with a story in a videogame or in a theme park adds a physical, enacted dimension" (*A Theory of Adaptation* 133). This essentially ignores the possibilities that an audience uses imagination

during a live performance or can interactively influence the direction of at least part of a live performance³⁰. Therefore, to avoid the problematic issues of her definitions, the terminology related to the categorisation of media as discussed in detail in *Part II – Chapter 1* of this dissertation will refer to Hutcheon's *telling mode* as "printed" – in this case categorising adaptations that involve images and/or text – and her *showing mode* as "directed" – adaptations that, although they involve printed adaptations during creative and production processes, have a 'consumable product' that involves 'directed' productions.

The last of the three additional issues is that Hutcheon mentions that "[t]he most commonly considered adaptations are those that move from the telling to the showing mode, usually from print to performance" (Hutcheon *A Theory of Adaptation* 38), but does not detail the difference with regard to adaptations that involve multiple text-types or medial forms and therefore multiple modal changes. As already discussed in this dissertation, films and operatic adaptations at even the most basic form both involve a two-step process moving from print to print and then print to performance. Both text-types/media can contain additional primary and secondary forms, as is discussed in detail in *Part I – Chapter 3*.

Other less problematic issues also arise from the concept of *modes of engagement*. As will be seen, although "narrating, performing, or interacting" (Hutcheon *A Theory of Adaptation* 10) are the defining categories of the modes, whether combinations and/or mixtures of these modes exist as sub-categories needs to be considered more deeply. If telling "requires of its audience conceptual work" (*A Theory of Adaptation* 130), and various media involving a telling-only mode in text-types prior to the production phase such as a printed play, a screenplay, or even a notated opera,³¹ are there different impacts on (specialised) readers in these cases than occurs with reception of the 'final product'? Similarly, if the showing mode converts these directable text-types to produced stage or screen forms, to what extent do the different perceptions required of these varied performance media actually result in different understandings of the source text, and to what extent do the "perceptual decoding abilities" (*A Theory of Adaptation* 130) counter imagination while receiving an adaptation and how this links to the imagination caused by her other concept of *knowing and unknowing audiences*?

Some of the problems are highlighted in the following section, in which individual text-types and media are assessed against the concept of the modes. As will be seen, there are some cases where the modes are well represented by the concept, but others that require considerably more contemplation.

³⁰ One example related to this dissertation is that of the Porter's character. In the Folger Theatre (2008) and RSC (2018) productions, the actors engage the audience directly (Teller and Posner; Findlay respectively).

³¹ These types of text-type are defined under the category of 'printed - directable' in *Part II – Chapter 1*.

Visually representing the modes

If a lineal diagram were able to accurately display ‘pure’ modal positioning, where *telling*, *showing*, and *interactive* modes were placed on the left, in the middle, and on the right respectively, it would provide a visualisation which consists of three possibilities. In order to avoid the terminological complications mentioned above, Hutcheon’s simplified descriptions will be shown to describe the three positions: where *telling* is synonymous with ‘imagination’ for a reader, *showing* is synonymous with ‘perception’ for a viewer or listener, and *interactive* is synonymous with ‘interaction’ for a user or player.³² The simplified representation would result in a three-columned diagram such as that shown in Figure 3.

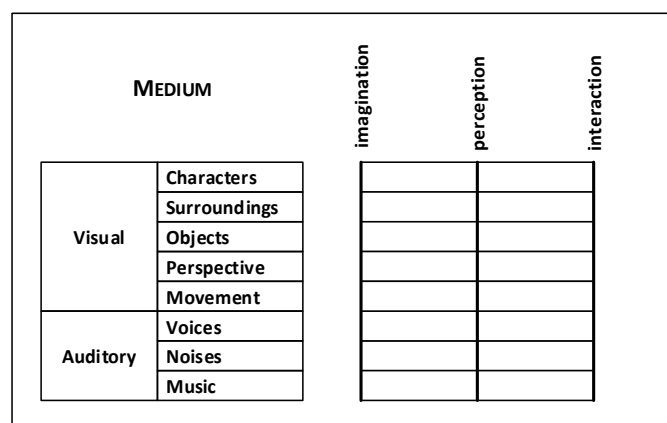


Figure 3: A lineal diagram of the three modes of engagement

This three-column representation is a considerable simplification of which modes an adaptation can involve, particularly as a *showing* mode would not in reality exclude imagination, as mentioned earlier. The representation nevertheless assists in conceptually visualising the differences that the modes – and the media – entail. As will be discussed at the end of this subsection, other ways of representing the modes may be more appropriate. However, these ways would require a shift in the theoretical perspective about how a medium operates within and across modes.

The following eight subsections demonstrate the modal conventions of some media and how they apply the telling mode and/or the showing mode.³³ In order to represent the problematic aspects of the theory in a simple conceptual manner, these modal conventions have been simplified to two sets: visual and auditory. The visual conventions are categorised as *characters*, *surroundings*, *objects*,

³² These terms themselves may entail complications of definitions, particularly in Psychology, but will be used here to ensure clarity between, in particular, Hutcheon’s usage and that of Narratology.

³³ A further visualisation also occurs in *Part IV – Chapter 1*, where the conventions of operatic staging were altered by the director for the premiere of Herman D. Koppel’s 1968 opera *MACBETH* and thereby affected the showing mode in a way that suggests the binary nature of imagination and perception contained by Hutcheon’s concept needs further definition.

perspective, and *movement*. The auditory conventions are shown as *voices*, *noises*, and *music*.³⁴ The eight subsections pass from the *telling* mode in the first subsection to media whose mode is not clearly *telling* or *showing*, and then finally to modes where the *showing* mode is involved. As mentioned above, a reader in the *telling* mode must imagine everything: there is nothing in front of them except printed words and therefore no visual imagery timed to occur with part of the text; there are also no sounds timed to occur in conjunction with a particular part of the text and the voices of the characters are imagined whenever their direct speech or thoughts appear. The difference between *telling* and *showing* modes is the addition of visual and auditory aesthetics in the latter: the result of the production phase.

Printed Stage Plays and Novels: *Telling* mode (imagination)

In reading, we gather details of narrative, character, context, and the like gradually and sequentially; in seeing a film or play or musical, we perceive multiple objects, relations, and significant signs simultaneously, even if the script or music or soundtrack is resolutely linear. (Hutcheon *A Theory of Adaptation* 130)

The quote above discusses the manner in which imagination is developed during reception of a story through the acquisition of information related to various elements. A printed play or novel requires the reader to imagine each of the aspects that Hutcheon mentions through medial conventions that provide visual or auditory information. Even when a printed play gives directions for musical accompaniment or interludes, this could imply a certain level of imagination in readers with regards to the instrumentation and commonly related musical styles for those instruments. Similarly, a direction for a fanfare would naturally signify to a reader that either battles are occurring or royalty is entering, although this would only be possible if the reader is familiar with this tradition. Rendering these elements into a lineal diagram as previously introduced in Figure 3 would result in all of the visual and auditory aspects occurring with imagination, as shown below in Figure 4.

³⁴ More detailed conventional descriptions are provided in *Part II – Chapter 1*.

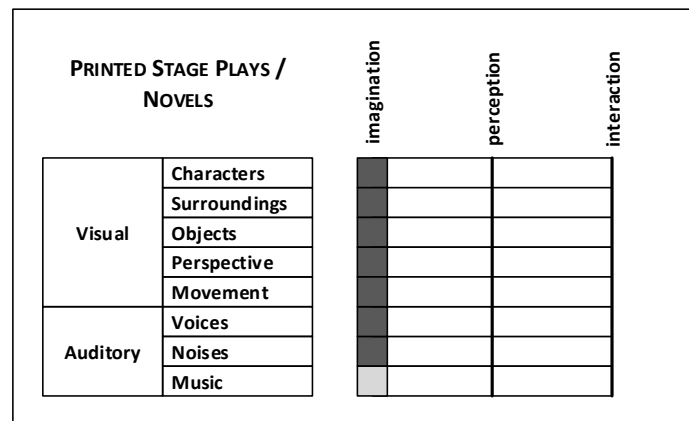


Figure 4: A lineal diagram of (printed) stage plays and novels

Another question that still requires answering related to the *telling* mode and imagination is that of intensity: is the necessary intensity of imagination different across the various media? In novels, the printed form provides considerably more detail than the brief conventional mentions of setting and the style and emotion to be used in the delivery of dialogue that are provided in plays. The use of adjectives throughout novels changes the readers' requirements for imagination. A greater difference in intensity can be appreciated if considering the reading of notated operatic scores, where the level of imagination increases through the need to provide auditory information for the orchestration used by a composer. In this case, the text itself is read in a combined mode in which speed and pitch – amongst all of the musical elements – must be imagined. Yet another problematic area within novels³⁵ is that where the reader decides where the story goes next based on the options provided, for example, deciding which character to be in books such as *Romeo and/or Juliet* (North) or making a character's decision for them³⁶ in the *"Star Wars: Choose Your Destiny"* series (Cavan Scott). In these types of books, there is a certain degree of interaction required, "[w]ith over twenty possible outcomes" (Cavan Scott cover), depending on the choices the reader makes. Although this only involves intermittent interaction, unlike the constant interaction involved in computer games, the interactive changes only occur at the point of decision-making: North describes them tongue-in-cheek as "nonlinear second-person narratives" (North 1). These type of novel are similar in some ways to "all video game narratives [where] there is a beginning and an end, but the way to get to the end may differ from player to player" in what Quijano Cruz then defines as "semi-interactive narratives" (68). However, whereas he states that computer games have a "semi-linear story" (68), semi-interactive novels have linear story options which branch out depending on the choice made by the reader. As is

³⁵ No adaptations of *Macbeth* in the novel medium were analysed in this dissertation. However, the forms discussed here indirectly affect the research due to the potential theoretical implications.

³⁶ e.g. "WHAT SHOULD HAN CHOOSE? / TO LAND THE *FALCON* IN THE JUNGLE, TURN TO PAGE 16. / TO LAND THE *FALCON* ON THE MOUNTAINSIDE, TURN TO PAGE 34" (Scott, Cavan. *A Han and Chewie Adventure*. Disney and Lucasfilm Press, 2018. *Star Wars: Choose Your Destiny*.)

the case with the interactive choices in semi-interactive stories, “the main focus of these games is not character development or plot” (Quijano Cruz 63).

Using such a choice-based system in any adaptation would mean that a three-option choice for modes would not truly represent the reality of reader involvement. In using the three-column diagram, however, this difference would not necessarily be accurate except in the decision-making process for the reader. Depending on the options provided, the reader might have to interact with the elements until they have made a choice and turned to the relevant page, as shown in Figure 5. However, the majority of the receptive process would be involved in the telling mode as they read the sections that have been chosen.

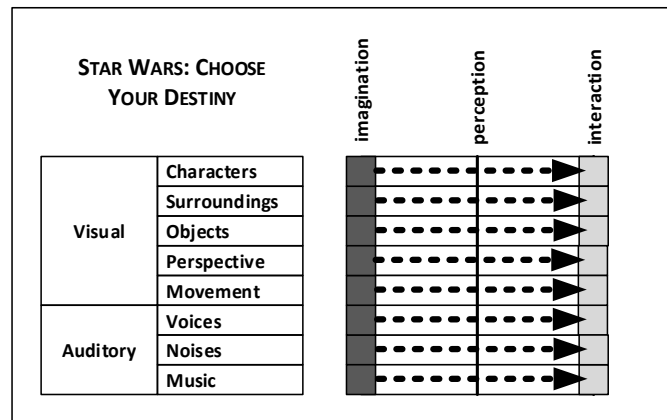


Figure 5: Problematic representations for “Star Wars: Choose Your Destiny” style adaptations

Graphic Novels: *Telling or showing mode?* (imagination or perception?)

Another medium that presents a similarly problematic theoretical framework within the concept of the *modes of engagement* is that of the graphic novel. This medium effectively operates across two modes, where visual information can be perceived, but auditory information must be imagined, as shown in Figure 6. Whether the voices are fully imagined is arguable. With the use of speech bubbles, thought bubbles, and different styles of text such as capitalisation for yelling, graphic novels have the capability to provide the same or more information than a printed play, and also arguably probably the same level of information as the reporting verbs found within a novel, although the combined visual imagery located directly with the text could be considered as altering the information provided.

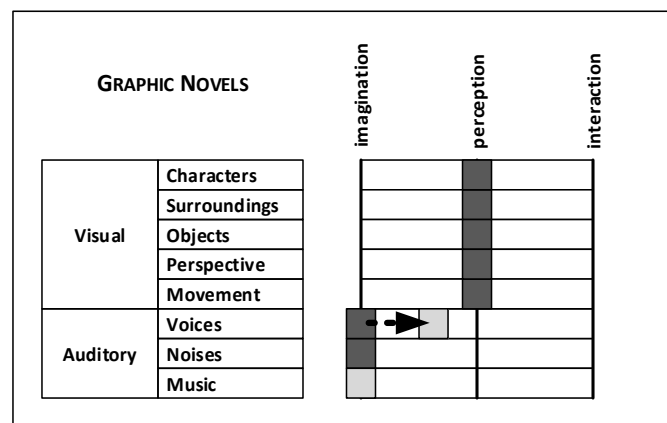


Figure 6: A lineal diagram of graphic novels

Audiobooks and Radio Plays: *Telling or showing mode?* (imagination or perception?)

In some *showing* modes, such as audiobooks, only auditory perception is used for the acquisition of information, as shown in Figure 7. As Hutcheon states:

Adapting a novel to a radio play brings the importance of the aural to the fore, for the aural is everything in this case. The issues common to all dramatizations come into play, with distillation uppermost; because each character/voice must be aurally distinguishable, there cannot be too many of them. For this reason, radio plays concentrate on primary characters alone and therefore simplify the story and timeline. (*A Theory of Adaptation* 41)

However, prior to Hutcheon’s theoretical framework, Esslin had discussed the lack of clarity that some media such as radio create with regard to the difference between visual and auditory stimuli. He states that:

What radio drama lacks is a 'visual' dimension. Yet experience with listeners to radio drama shows that even this dimension is present, simply because the performance in time and acoustic space very strongly conjures up visual images. [...] ...each listener produces his own ideal image... [...] Similarly the noise of battle can evoke a more satisfying visual image in the mind of the listener than even the most spectacular filmed scene.

While many of the visual aspects of drama are also present in radio, its inclusion in the discussion of the many visual aspects of drama on stage and screen might unduly complicate matters.' (30)

If matters are complicated, then it is even more important not to leave such media out. Findings involving auditory-only media could in fact provide key information that could help unlock the meaning of adaptation in other media.

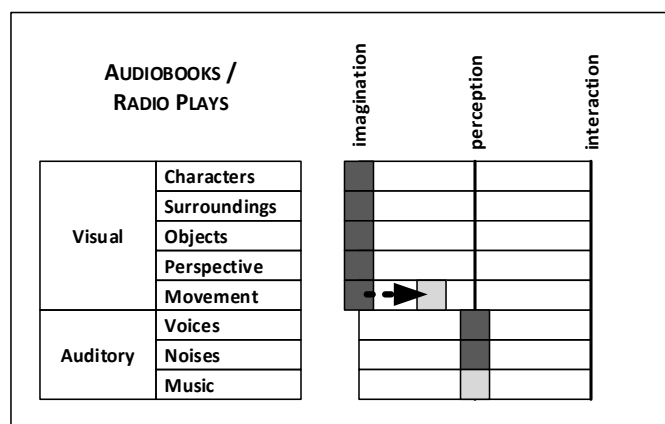


Figure 7: A lineal diagram of (sub) showing mode media such as Audiobooks and Radio Plays

In auditory-only adaptations, whether that be radio plays or audiobooks, listeners are required to imagine the visual imagery at the same time as the auditory input is perceived. This often involves auditory symbolism to stimulate associations, for example, thunder to stimulate audiences imagining lightning light up the sky. As Branigan states with relation to narration in film: "Does the sound of a door opening off-screen tell us, or show us, the door?" (Branigan 147). The mode for movement could be either telling or showing. Text such as "Here comes the good Macduff" (2.4.20b) requires imagination of Macduff approaching Ross, whereas the use of sound effects such as footsteps *without* the text would possibly provide yet another sub-mode where the movement is heard and therefore at least partly imagined. However, audiences would nevertheless still need to imagine the (visual) action of walking. Therefore, to what extent this aspect can be judged is uncertain and therefore does not conform to a three-option system of defining *modes of engagement* in adaptation.

Silent Films: *Telling or showing mode?* (imagination or perception?)

In silent films, audiences were presented with the (black and white³⁷) visual imagery, but were required to imagine the auditory components, as shown in Figure 8. The emotive aspects were in many cases replaced by live pianists who would improvise accompanying music, though the pianists themselves would effectively interact with the visual images. One example is that of the Russian composer Dmitri Shostakovich, who often failed to play the accompaniment to the films due to his reaction to the humorous visual images (MacDonald 28), thereby demonstrating a mixture of *showing* and *interacting*.

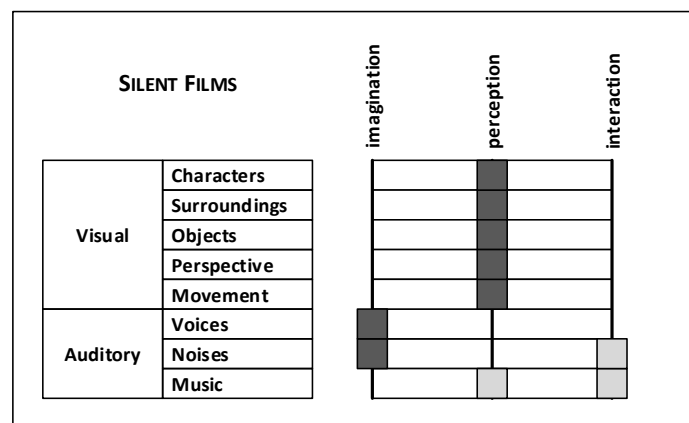


Figure 8: A lineal diagram of (sub) showing mode media such as silent films

The lack of verbalised text in silent films also affects the conceptual relationship of the text for *knowing* audiences, who already have experience of the spoken text. In this case, an audience that is aware of the text itself can relate the visual imagery and actions to the source text. This may be similar to a *knowing* audience viewing a translated adaptation in which they do not understand the target language, but can comprehend what is occurring due to the relationship with knowledge of the source text in the source language. For example, a viewer who does not understand Polish but watches *MAKBET* (Wajda), a Polish television adaptation structured closely to the source text, may experience similar responses and relationships to a viewer who is watching a silent film version of *Macbeth*.

Taking all of these complexities into account, the representation of a silent film among a three-column diagram once again highlights the problem created by discussing a medium as essentially exclusive to a particular mode of engagement. Silent films are yet another form of media that does not work within the theory due to the hybridity across all three of Hutcheon's modes. Similarly problematic would be the subjective weighting of which element relates to which mode(s) and to what extent.

³⁷ In order to maintain the simplicity of the concepts, the complications related to the imagination of colour will not be expanded here.

Ballet: *Showing-only mode?* (only perception?)

Adaptations for the ballet stage not only add a visual dimension but they also subtract the verbal, even when they retain the musical, as they do specifically when adapted from operas. (Hutcheon *A Theory of Adaptation* 42)

Although this research did not analyse the two *MACBETH* ballets that were sourced due to the lack of verbally presented text, the difference between the modal conventions of ballets and other media – in this case that they “subtract the verbal” dimension as described by Hutcheon above – warrants mention. As can be seen in Figure 9, the visual aspects are similar to opera, but the auditory aspect of voices remains in the *telling* mode, as an audience familiar with a story would be required to imagine the text for any particular section being represented through human movement on stage. As with silent films, this complicates the binary notion of the *modes of engagement* for a *knowing audience* due to their knowledge and expectations of the source text.

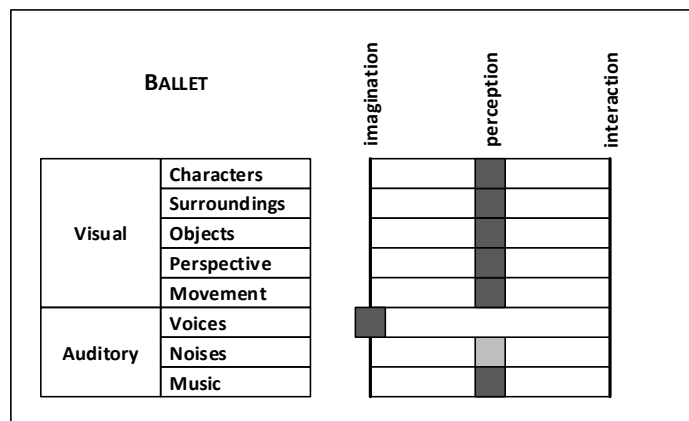


Figure 9: A lineal diagram of ballets

As with silent films, *knowing* audiences would probably imagine the text that is being represented, or at least attempt to match their knowledge of the text with the representation. The difference with relation to the text between ballets and silent films is that in silent films short quotes of text might be supplied. Therefore, *knowing* audiences would potentially be affected by both ballets and silent films through these predominantly visual modes because of their cognitive recall of known textual elements.

Live Stage Plays: *Showing mode (perception)*

The adaptation of a novel or short story to the (spoken) dramatic stage also involves the visual dimension, as well as the verbal; with that added dimension come audience expectations not only about voice but, as in dance, also about appearance, as we move from the imagined and visualized to the directly perceived. (Hutcheon *A Theory of Adaptation* 42)

In a (*pure*) *showing mode*, then, visual imagery replaces imagined information with perceived information: what the characters, the surroundings, the movement, and specific objects look like, as well as either a fixed or changing perspective. In addition, auditory elements are added: voices and vocal techniques, background sounds, and if included, incidental music. The diagram would therefore switch to the opposite extremes, such as Figure 10, which simplifies live stage plays.

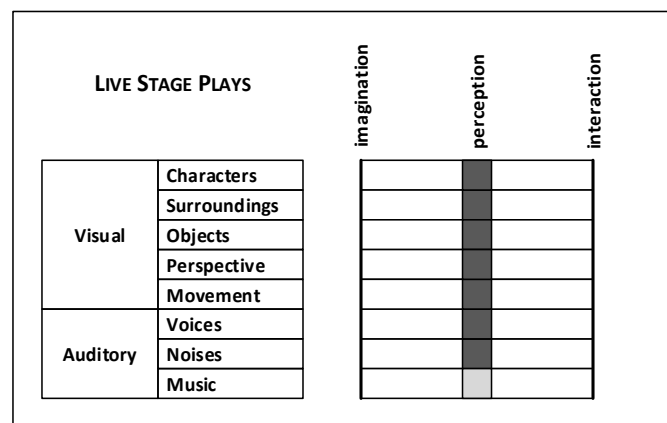


Figure 10: A lineal diagram of live stage plays

Filmed Former Stage Plays, Films, Television: *Showing mode (perception)*

Filmed adaptations, whether that be that of former stage plays, productions shot on location or in studios as 'films' or 'television', involve the presentation of perceptual material with both visual and auditory stimuli. Hutcheon discusses the difference that the viewing situation has with relationship to a form of interaction where the audience can choose to pause, replay, skip through, or halt the adaptation, or more simply stated, "we control how much we experience and when" (Hutcheon *A Theory of Adaptation* 133). However, placing that issue to the side, the *mode of engagement* that dominates these media would be displayed as shown in Figure 11, where all of the material is presented in her definition of the *telling mode*.

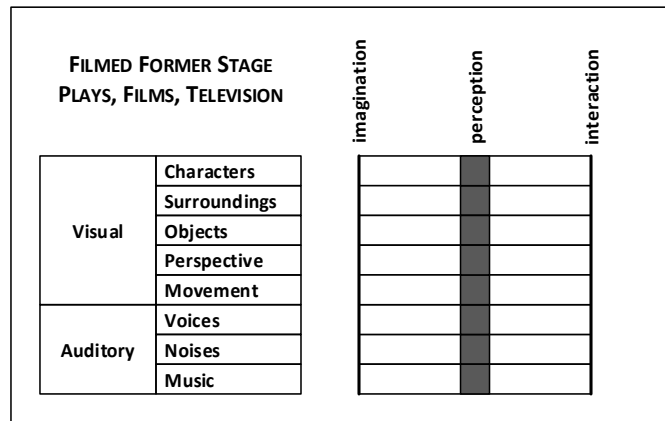


Figure 11: A lineal diagram of screen-based adaptations

Live opera: *Showing mode (perception)*

When operas and musicals adapt literary works, the move to the showing from the telling mode has the usual formal consequences, because condensation is crucially necessary for both plays and novels. (Hutcheon *A Theory of Adaptation* 44)

In the above quote, Hutcheon is referring to the abridgement of the text in order to conform to the conventional lengths of the medial forms mentioned. However, these media involve a simple move from the requirement of imagination to the use of perception. Opera is more complex. It requires the transfer of information from the printed form of the source text into two target text-types (libretto and score), a primary target medium (notated or printed operatic score) through to the secondary³⁸ target medium (live opera). These media and target text types highlight the differences espoused by Hutcheon, in which readers “imagine and visualize a world from black marks on white pages as [they] read” and where audiences’ “imagination are preempted as [they] perceive and then give meaning to a world of images, sounds, and words seen and heard on the stage or screen” (*A Theory of Adaptation* 130). However, in order for the “black marks” to arrive on the notated score in the operas prior to 1900³⁹ a primary target text of libretto is normally created. The mode of this text does not differ from the mode of the source medium, in that it remains in the *telling* mode, as shown in Figure 12.

³⁸ Arguably, a piano reduction is the secondary target medium used for rehearsals and therefore the live performance is a tertiary medium. However, for simplicity, this issue will not be discussed in depth.

³⁹ See *Part III – Chapter 3* for details on the categories of libretto and textual usage in operas.

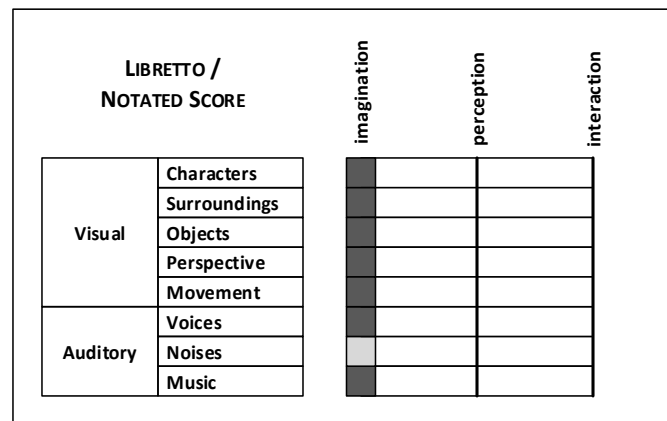


Figure 12: A lineal diagram of libretto and notated score

This primary target text is then transferred into the secondary target text of the musically-notated opera. The notated score remains in the telling mode but, as with a play, transfers into the showing mode when it is performed live. As Figure 13 shows, the “spectacle” (Corse 11) of opera involves perception of all visual and auditory elements.

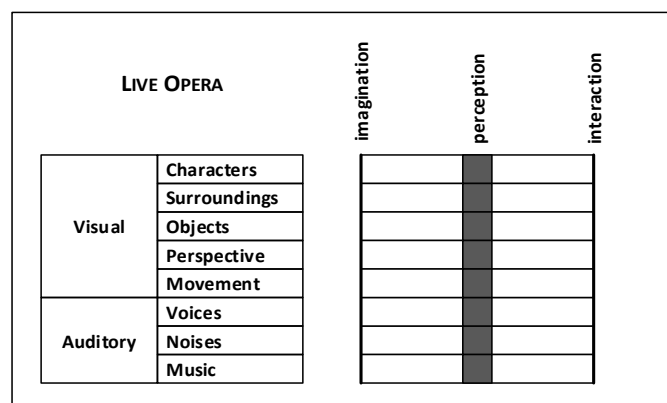


Figure 13: A lineal diagram of live opera

To add to the complication of defining the modes and which media use them, Figure 13 does not take into consideration the mixed effect that the inclusion of surtitles during performances of operas could have involving imagination and perception. The use of surtitles creates parallel *modes of engagement*, a type of receptive duality as it were. The complications that including written forms during a *showing* mode adaptation may cause a type of hybrid mode when surtitles are displayed, as could be argued when using subtitles during films: complexities that are likely propagated by the interference that translations create.

Can the interactive mode really be separated?

To what extent these hybrid modes of engagement exist and what the effect that they create is not the focus of this research. However, there are numerous conceptual issues that they raise that require mention. The main issue is that of interactivity, which “commonly involves new media art technologies and user interfaces” (Quijano Cruz 66). It is difficult to completely remove interactivity from adaptations that are not computer games for various reasons: audience interaction and audible responses, the control of the timings and locations of reception, and the “new electronic technologies” such as those used in 3-D films, which mean that audiences “enter and act within those worlds” (Hutcheon *A Theory of Adaptation* 29), the latter of which was provided by Hutcheon without explanation of how this does not add interaction to the showing mode of films. With regard to operatic adaptations, the issues of, firstly, applause and stage calls for soloists as well as secondly, the inclusion of surtitles further complicates the modes of engagement and are discussed in more detail in *Part III*.

Modes of engagement in its basic concept functions well. However, as has been shown in this section, there are many issues that are far too complicated in adaptation that are excluded from the concept. The following diagrammes provide a conceptual visualisation of the modes of engagement in a more realistic setting. Set in a triangulated form, elements can be positioned in their visual (black square) or auditory (white circle) groupings in their entirety, or can be positioned individually in the respective shapes and colourings shown in the legend on the left and middle of each diagram. The diagrams are purely hypothetical and theoretical, as data that would be required to show these reassessments has not been taken. Their purpose is to demonstrate how the *modes of engagement* could be better integrated into the practical realities of adaptation. For example, in Figure 14, a (printed) play or novel would involve only the *telling* mode, shown in these diagrams once again as “imagination”. This would only be possible in situations where the printed forms have no imagery included and have also not been affected by visual memory from directed adaptations, an issue mentioned briefly by Hutcheon (*A Theory of Adaptation* 29). Novels in which pictures of characters or locations are provided would force those particular visual elements to the right towards “perception”.

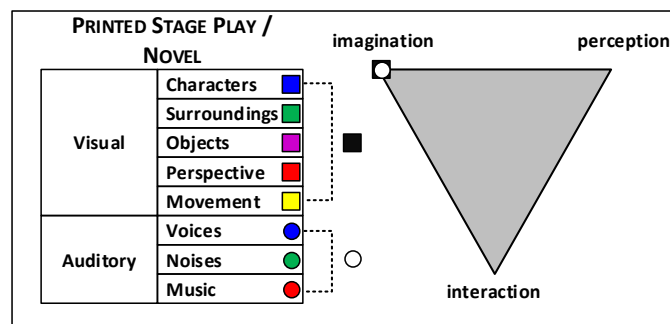


Figure 14: A hypothetical triangulation of a (printed) stage play / novel

When a (printed) play is produced, the reception switches from the 'pure' imagination position across to the 'pure' perception position of the showing mode, as shown in Figure 15. As already detailed, the issues regarding interaction would naturally need to be considered. Performers could indirectly interact with the audience (through responses such as laughter, smiling, concerned or concentrated looks, applause), directly interact through physical contact or proximity changes (for example, when the porter joins the audience in the Folger Theatre performance [Posner and Teller, dir.]), or even draw on an audience member to participate, despite the dangers that this option presents (see, for example, Reich). It is not exactly clear how these possibilities would differ to Hutcheon's version of interactivity, where there is direct physical involvement such as during computer games. However, even physical responses during live performance may warrant inclusion in this mode. Nevertheless, for conceptual purposes, live stage plays are shown here in a 'pure' form without interaction.

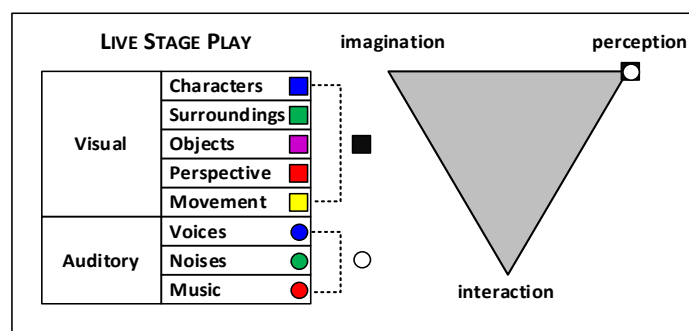


Figure 15: A hypothetical triangulation of a live stage play

For adaptations that are auditory-only performances or recordings, such as audiobooks and radio plays, the two groupings are separated once again, as visible in Figure 16. The issue of interaction is excluded once more to maintain the conceptual basis.

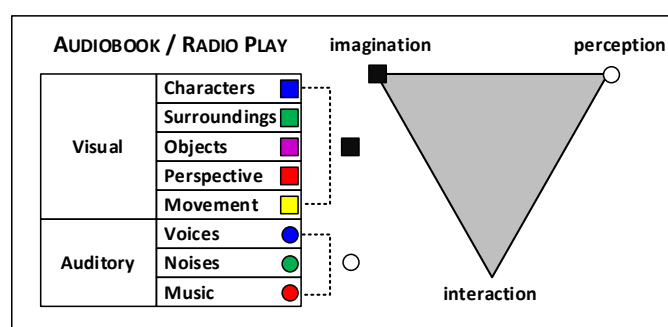


Figure 16: A hypothetical triangulation of an audiobook / a radio play

Where the triangulation becomes more interesting is with the media where partial interaction is involved in some form, be it in the 'hybrid' forms such as semi-interactive novels, shown in Figure 17, ballets in Figure 18, or paintings, as shown in Figure 19. In semi-interactive novels, the majority of the

reception mode is that of imagination, although the regular interactive requirements of decision-making would require some of the elements to shift – at least to some degree – towards the interactive position. With ballet, the detail provided on stage could affect the positioning of aspects such as surroundings and objects, the positioning of the audience member may require perspectival imagination, and the curtain calls for dancers provide some form of interaction in the performance, through the extensions of breaks between parts of the ballet and also the interruption of a performer’s character as they step back to acknowledge their role as performer. Depending upon the painting concerned, a receiver may be able to change perspectival position – particularly important with 3-D paintings that shift their image depending on the angle viewed – or may be able to imagine elements such as movement or the voices of the subjects.

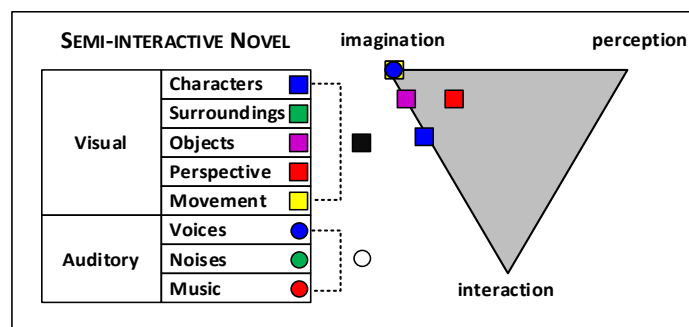


Figure 17: A hypothetical triangulation of a semi-interactive novel

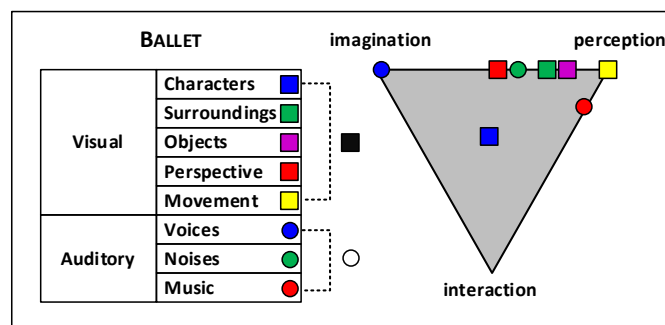


Figure 18: A hypothetical triangulation of a ballet

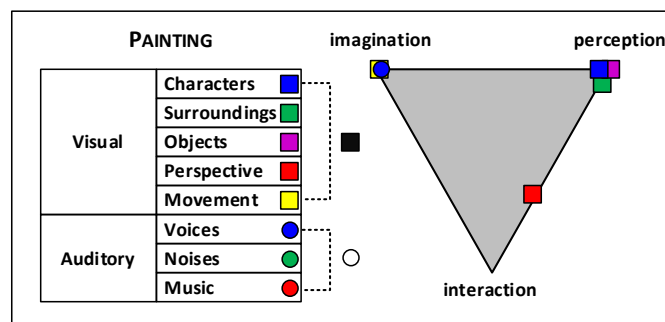


Figure 19: A hypothetical triangulation of a painting

One form of new media that is categorised as interactive in Hutcheon's examples is that of computer games. The diagram for the *modes of engagement* shown in Figure 20 displays the problematic issue regarding the 'forced' positioning of media into only one of the three modes: although a player interacts through physical means, the games also require visual and auditory perception and potentially imagination. The visual and auditory elements can be changed or controlled to a certain extent through the actions and choices made during the game. It may also be possible to switch to imagination requirements when written text is provided.

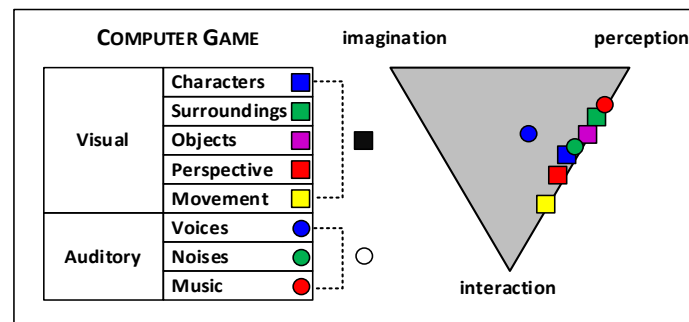


Figure 20: A hypothetical triangulation of a computer game

Additional issues in some medial forms are also apparent: audience interaction in "first-person new media art" (Hutcheon *A Theory of Adaptation* 132) where the person participating becomes the character, and even the changes that Kit Monkman's concept of shifting the audience's perspective in a different way that makes a "collaborative" approach with the audience possible in his green screen filming of *Macbeth* ("*Macbeth*"; "*Green Screen*") are two examples. It can be seen from the details provided in this section that the concept of modes of engagement, despite the simplicity in which it can be understood, requires a much deeper ability to incorporate additional modal issues within adaptation. Many of these issues, including the potential for a more inclusive triangulation-style format, are discussed in the individual case studies in *Part IV* and the comparative case studies in *Part V*.

Knowing and unknowing audiences

Hutcheon highlights the concept of *knowing and unknowing audiences* (predominantly 120-128), which she simplifies into two types of audience that have 'foreknowledge' (Hutcheon *A Theory of Adaptation* 121) of the source text and those who do not. The concept is, once again, focussed on the reception of adaptations: "reading any book, attending any play, looking at any painting, or watching any film allows an audience to test assumptions formed by earlier experiences of books or plays or paintings or films against a new set of norms and values" (Leitch "Adaptation, the Genre" 117). In fact, some adaptations actually require a reader to have foreknowledge in order to be understood, such as *SHAKESPEARE OHNE WORTE: MACBETH [Shakespeare without Words: Macbeth]* (Flöthmann), in which only visual representations of the source text are presented. *Knowing audiences* is generally related to "an audience's awareness of an explicit relationship to a source text" (Sanders 27), although knowing audiences would at some point relate associations to source text(s), whether explicitly marked or not. This awareness allows for judgements based upon "the play of similarity and difference between the original sources or inspiration to appreciate fully the reshaping or rewriting undertaken by the adaptive text, though an experience in and of itself of the adaptation need not require these prior knowledges" (Sanders 57). Knowing audiences, particularly in these announced adaptation contexts, "have expectations – and demands" (Hutcheon *A Theory of Adaptation* 122), and because, as Leitch states, "[f]idelity... will always give their source texts, which are always faithful to themselves, an advantage so enormous and unfair that it renders the comparison meaningless" (*Film Discontents* 16), knowing audiences will always refer adaptations back to 'the original'.

In discussing foreknowledge during reception of a film adaptation, Sanders shows that a "satisfying experience" does not require it, but could in fact "enrich the spectator's experience" (Sanders 28). As will be discussed, this is also the case for operatic adaptations. The case studies demonstrate that the audiences' expectations contain various levels of foreknowledge.

Firstly, those aware of the source text "are likely to fill in the gaps necessitated by the distillation of the plot in the opera or ballet versions", with stories known to an audience assisting overall reception in the case of the additional attentional demands of musical stimuli (Hutcheon *A Theory of Adaptation* 121). The joined cognitive requirements of narrative and musical expectations⁴⁰, particularly during the reception of avant-garde harmonies that break from musical expectations, are further loaded by the necessity to receive the visual aesthetic demands created by the staging. This requirement of

⁴⁰ Although aspects of Music Psychology, such as those defined by Huron, are not the focus of this dissertation, the concepts and cognitive requirements associated with expectation within music itself are very relevant to the acceptance of new operas.

cognitive loads on receptive abilities is of particular interest in the first two individual cases studies, and is related to the use of music in film adaptations, where:

Mood, emotion, characterization, point of view, even the action itself are constructed in film in a complex visual and aural interaction in which music is an important component. Thus when *tremolo* strings are heard, the music is not *reinforcing* the suspense of the scene; it is part of the process that creates. (Kalinak 31)

This is supported by other researchers, such as Brown, who notes that:

Tonal music obviously depends much more on active expectation than on surprise. It might also be noted that the aesthetic concept of active expectation can be applied as well to the other arts, and in particular to a temporally elaborated one such as cinema. Hitchcock's theory of suspense, which involves the viewer knowing that, if not when and how, something horrible is going to happen, definitely involves active expectation. (5)

Further to these issues, an audience also brings – or potentially doesn't bring – foreknowledge of the medium involved as well as expectations of other medial forms, including the source medium in the case of knowing audiences. This issue is barely mentioned by Hutcheon, however, despite the impact that this could have on reception for unknowing audiences:

[H]ow would we respond to an adaptation in the form of a contemporary musical, if we had only ever seen on the musical stage nineteenth-century European operas? What would we make of the amplified voices, the hyperactive choreography, the scaled-down musical resources? (Hutcheon *A Theory of Adaptation* 126)

This issue is worth further consideration in terms of the medium of opera, where the different means of presenting the auditory text could also impact on an audience's understanding of the relationship to the source text. Once again, Hutcheon touches on this different type of knowing without exploring the implications in detail:

What if we are utterly new to the artistic conventions of the adaptation, say, of opera? What if we are unknowing audiences, in other words? I have been arguing that, in these instances, we simply experience the work without the palimpsestic doubleness that comes with knowing. From one perspective, this is a loss. From another, it is simply experiencing the work for itself, and all agree that even adaptations must stand on their own. (Hutcheon *A Theory of Adaptation* 127)

The detail that is missing is explored later in this chapter, particularly with relationship to the multitude of levels of knowing presented, where it is not only the knowledge of the source text that affects an audience, but also these various other aspects. The intermedial impact is also briefly mentioned with regards to knowledge of a director's other work, where "intercultural knowledge too might well impinge on their interpretation of the adaptation they are watching" (Hutcheon *A Theory of*

Adaptation 126). This may also be of relevance to intermedial direction, for example, where Baz Luhrmann became heavily involved with productions at Opera Australia following the release of the film *Strictly Ballroom* (NFSA), both leading to the 1996 release of his film production of *ROMEO + JULIET*.

Hutcheon also discusses the retrospective application of an adaptation onto later exposure to the source text, creating reverse knowledge taken from the adaptation onto the reception of the 'original' (*A Theory of Adaptation* 121). This possibility is supported by Cartmell, who states that "it is becoming increasingly the case that viewers have no prior knowledge of the text or its context" (*Interpreting* 3), thereby permitting subsequent exposure to the source. This is not necessarily a negative aspect, as an audience "not overly burdened with affection or nostalgia" for a source text would allow directors to "have greater freedom – and control" (Hutcheon *A Theory of Adaptation* 121).

By presenting numerous aspects that affect knowing and unknowing audiences, yet not detailing the majority of possibilities that are implied by their existence, Hutcheon's theory leaves many paths that require both development and practical examples. These other aspects, including aesthetics (*A Theory of Adaptation* 123), are theorised in more depth and also evidenced throughout the case studies contained within this dissertation. One part of the theorisation of this concept is what composers of operatic adaptations are confronted with: "[f]or an adaptation to be successful in its own right, it must be so for both knowing and unknowing audiences" (Hutcheon *A Theory of Adaptation* 120-121). This involves not only knowledge of the source text, but knowledge of all of the aspects mentioned above, as will be discussed in *Part III* and shown in the evidence taken from practical spheres in *Parts IV* and *V* of the dissertation.

The simplification of foreknowledge within *A Theory of Adaptation* is problematic on many levels, for reasons that will be defined in a following subsection, including problematic aspects that are very much related to criticisms of the modes of engagement that have been discussed above: the positioning into extremes of an effective either-or scenario and the failure to detail possible situations of audiences – and other roles – that fall in between these extremes. Therefore, the following section will present not only the problematic issues that the concept entails, but also extensions that fill the gaps and widen the possible effects of the theory in practical settings.

Some complications of *knowing and unknowing*

Although Hutcheon's theory could be argued to be a simplification for the sake of forwarding a concept, the issues mentioned above require deeper exploration in order to realise the potential that the concept contains. This section presents discussions about three of these issues, each of which can incorporate the ideas within the other: the intermediate stages of knowing and unknowing, including a "learning audience" stage, first proposed in 2018 (Howard "Hail to Thee"); the constraints and effects of knowledge levels (e.g. professionalism and community productions); and other (un)knowing roles involved in the adaptation/composition, production, and reception of adaptations (e.g. the adapters, directors, critics). These issues appear in the case studies that appear in *Parts IV* and *V*, with further discussion occurring in the relevant sections of those case studies, related to both receptive processes as intended and also in terms of the mediation processes evidenced in the *MACBETH* operas.

Intermediate stages of *knowing and unknowing* and 'learning audiences'

As has been discussed above, audiences come with a variety of knowledge about the source text, the source medium, the target medium, and potentially even the target text-type/medium itself – if they have seen previews or read advertising material. This means that separating people into knowing or unknowing is not only a simplification, but also a definition that does not cover the complexity with which the basic premise could actually assist adaptation and intermediality. The difficulty in breaking from the either-or scenario is that, while 'unknowing' at one end of the scale should be self-explanatory, an assessment of what 'knowing' actually means would be required. Does knowing refer to somebody that has simply read the source text, someone who has studied it in more detail, or a researcher that has written a thesis on every adaptation of the source text, or additionally studied every other work by the source text's author(s)? This would naturally be far too complicated to capture the essence of Hutcheon's concept. However, other terms such as 'expert', 'novice', or similarly graded levels of knowledge should be considered.

The intention of 'learning audiences' in this context is one of being an intermediate position between knowing and unknowing, targeted towards students with source texts such as *Macbeth*. As adaptations are being used in conjunction with source texts in classroom education (e.g. Cartmell and Whelehan "Short History"; Leitch "How to Teach"), this concept has varying levels of relevance and situational context. However, it is not only a connection to a source text where the issue of 'learning' could be applied: learning about a medium, for example that of opera, also changes the level of foreknowledge. With the exception of a class of students who have just been taught the text in the (same) contexts provided by the (same) teacher, it is unlikely that any two spectators would have the same level of knowledge about any adaptation that they are about to see. Even in the case of a class attending an adaptation directly after learning about it, there would be, among many variables, other intertextual

effects as well as differences arising from the students' cognitive abilities and socio-economic conditions at the time. In reality, it is unlikely that even within a class of students that there would be the same level of knowledge about the source text. However, the general concept of a learning audience highlights the necessity for knowing and unknowing audiences to be developed into other areas.

Constraints of professionalism and adaptation theory

In addition to the level of foreknowledge in the reception phase, the issue of knowledge is also applicable to the production phase, particularly when a comparison between professional theatre companies and community-based amateur societies is made. Two of the adaptations analysed, Neill (2013) and Appleby (2016) provide an insight into the differences that might be relevant to the difference between professional, semi-professional, and amateur productions – or indeed casts with mixed-levels of experience as would appear to be the case in these two productions. This could be a demonstration of another theoretical gap in adaptation theories, where the level of professionalism – including constraints related to the production groups, such as finances and venues – could affect the manner in which adaptation is approached, the processes through which it is created, and the effects on the production phase. The use of the term 'professionalism' here is intended differently to knowledge: the amount of time spent in the practice of production/performance processes in the former, the awareness of – in particular – texts and media in the latter.

The difference in the level of perceived professionalism could also be influenced by other essentially uncontrollable external factors such as the outdoor weather conditions that affected the Appleby performance or the number of performances completed prior to performance or recording/filming. In the case of the Dunedin Globe performance (Neill, 2013), the filming is stated as being the final performance in the season, whereas the Appleby (2016) was a single performance. The availability of 'suitable' performers also requires later theoretical consideration, as evidenced in the Dunedin production, where the gender of various roles – arguably unnecessarily – resulted in a significant number of alterations to the text, for example, in order to match the verbalised gender of pronouns to the visually perceived gender⁴¹ of the performer. The issue of professionalism is also visible in the film adaptations of *Macbeth*. The difference between the products available is vast, and – though the purpose of this research is not exclusively qualitative – this result could be an aspect of the theoretical

⁴¹ This use of 'gender' is complicated here, as the pronouns in English (currently) do not truly allow for non-binary genders, and the switching of genders in this case also included name changes (e.g. Malcolm became 'Morag').

side of adaptation that needs to be more deeply considered. This aspect includes not only the casts, but also the elements of production related to the crew.

Without intending to denigrate the performances by productions that involve amateurs, it could be suggested that the varied levels of professionalism displayed in the numerous directed adaptations could also further develop theories of adaptation by including not only Hutcheon's concept of *knowing and unknowing audiences*, especially the different effects the gender/text switching has in the Neill production, but also *(un)knowing performers, directors*, and other members of production teams, such as editors in films. To what extent the level of professionalism and knowledge of the source text, as well as medium conventions, affects these roles and their output is not something that could easily be researched. However, if this could somehow be determined, it could potentially define yet another layer of the already complicated theoretical composition of adaptation. Individual Case Study 1 (*Part IV – Chapters 1 to 3*) provides detail about the failings of a director and stage designer during the Danish opera by Herman D. Koppel in 1970, including a discussion about this issue of (un)knowing.

(Un)knowing adapters, (un)knowing critics

As just mentioned, there are many roles within adaptational processes which are not included within Hutcheon's theory. She applies the concept mostly in a retrospective manner to audience reception, i.e. how an audience brings past knowledge to the present reception of an adaptation. Occasionally noted is the awareness of an audience's receptive processes: "[a]dapters know this; so too do those who market adaptations" (Hutcheon *A Theory of Adaptation* 128). However, there is another level of knowledge which brings past and present knowledge to future situations, not only about the *modes of engagement* that an audience use. For example, an adapter brings their own knowledge of text-types and media into the creative processes. Therefore, further development of similar concepts to those in the previous subsection is warranted: e.g. *(un)knowing adapters*, and even *(un)knowing critics*, the latter applying knowledge to past situations. Combined with their knowledge of the source text is the knowledge of the medium itself, including potential interference between one medial form and another. Screenplay writers, librettists and composers need to understand the implications of what they create for a production in the intended target medium. Screenplay writers without any knowledge of film production would create a primary text-type that would likely require amendments and adjustments before the secondary text-type (shooting script) could be formulated. Librettists that create a primary text-type that is unsuitable for musical composition would likely necessitate amendments before the secondary text-type (notated score) is able to be finalised. The effect that was discussed above with relation to an audience's responses to adaptations based on their knowledge of the source text will nevertheless also be shown to be similarly important with regard to the operatic

adaptations described in the case studies in *Part IV* of this dissertation, as well as adaptations in other medial forms in the findings in *Part II – Chapter 2*.

Case Study 1 (*Part IV – Chapters 1 to 3*), which comprehensively details Herman D. Koppel's opera, portrays these issues with regard to the mismatch between the opera as a creation and the opera as a production, highlighting the interference that a director brought to the operatic stage. The director, Oscar Fritz Schuh, was a *knowing director* with regards to the source text, yet, despite his direction of older forms of opera as described in Case Study 1, made decisions that suggest an *unknowing director* with regards to music drama styles of opera. This is in stark contrast to the Koppel family, who demonstrated knowledge of both source text and medium in so many facets within the adaptation and production of the opera, as is detailed in the case study.

The discussion of Case Study 2 (*Part IV – Chapter 4*), involving Antonio Bibalo's televised opera, highlights the potential for the development of *knowing and unknowing adapters and directors*, particularly in light of the various simultaneous media in operation: stage direction (live audience within the theatre) and television direction (audience through a filmed broadcast). It also considers the potential changes that a composer must undertake when writing for a stage opera as opposed to a studio-based film/television opera: i.e. do the expectations of the medial constraints and freedoms alter the way a composer adapts a source text?

In Case Study 3 (*Part IV – Chapter 5*), an example of a *knowing adapter*, Frank Marshall, who had been heavily involved in the collation of the Henry Irving Shakespeare collection (Boase; [25] Unknown; [26] Unknown), also demonstrated aspects of an *unknowing adapter* with regards to medial knowledge, by providing not only an English text in an era dominated by foreign language operas in London, but one that diverged greatly from the source text and was essentially unrecognisable to *knowing audiences*.

What each of these examples highlights is that there are considerably more levels of knowledge that are possible, as can be seen in Figure 21 below. The Venn diagram shows some of the possible overlaps that could be entailed in this mix when these other roles are taken into consideration – or even when different levels of knowing audiences are taken into consideration. How each of these layers affects the four phases proposed in this dissertation – *conception, adaptation/composition, production and/or reception* phases – could vary greatly depending on the experience(s) of the people involved in each of these phases. Even with the complications of intertextual knowledge removed from this diagram, the possible overlaps of different types of knowing is far more complicated than simply that of a knowing or unknowing audience.

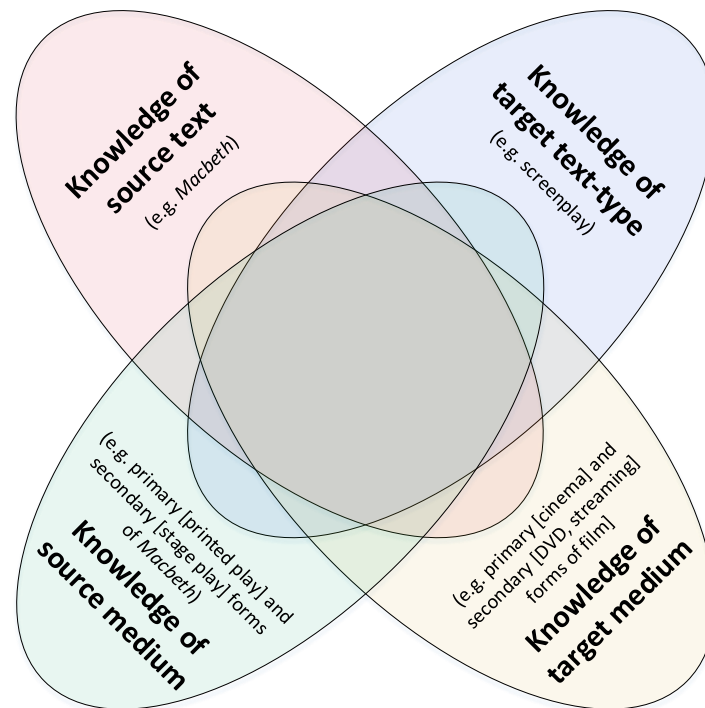


Figure 21: A Venn diagram displaying some complications involved with (un)knowing

Other knowing and unknowing roles in practice: adaptation and intermediality

Geoffrey Wright's 2006 film was performed by actors that had little film experience ("Macbeth" Extras: Cast interviews) and a different level of knowledge of the source text to what could be expected of performers from London theatres. In these examples of *unknowing performers* – at least with regard to 'traditional' performance of the source text – a major contrast to the knowledge of the actors in, for example, the Royal Shakespeare Company (Findlay; Nunn and Casson (television dir.)) is obvious, demonstrating wide varieties of knowledge of both the source text and the media of live stage play and film. With regards to Wright's film, the additional level not shown in the Venn diagram of intertextual and/or intramedial knowledge is yet another way that this issue becomes more complicated. For example, Wright's previous "blood-saturated" (Sheppard 238) work [e.g. *Romper Stomper* in 1992] and previous films by Will Gibson, the cinematographer [e.g. *Wolf Creek* in 2005 (McLean (dir.))], both portray similar levels of violence and visual techniques. Knowledge of the background of these two key crew members and their previous output would also affect expectations of audiences aware of these films – backgrounds not avoided by critics (e.g. Craven; Sheppard). Similarly, appearances by Kim Gyngell and Mick Molloy, both well-established and well-known Australian television dry-humour comedians in the serious roles of gangsters – often unnoted and

unnoticed by critics and researchers (e.g. Craven; Sheppard) – increases the level of complications during reception for knowing audiences, but would go unnoticed by audiences unaware of this intermedial and intertextual reference. It is also perceivable that *unknowing adapters* cause effects amongst *knowing and unknowing audiences* due to their perceived ‘errors’ made with relation to the source text. For example, the few lines of rhyming verse in *Macbeth* – mostly at or near the end of a scene – are often presented without a full couplet, as is visible in the visual comparative representation in the *Appendices*.

As with the discussion about the apparent polarity of knowing and unknowing audiences as a concept, these additional knowing and unknowing types are not ‘either–or’ situations. It would be difficult to justify a polarised concept that would place Dame Judy Dench and Ian McKellen in the same position of *knowing performer* as an actor that has performed *Macbeth* in an amateur theatre production. The concept needs to be considered as some type of range or scale, perhaps including terms such as ‘*learning performer*’ in the same way as ‘*learning audience*’ was discussed earlier as being necessary for people that are in the process of learning about *Macbeth* but are not scholars entrenched in all aspects of a source text. Once again, this could refer to knowledge of the source text and/or the media involved at either end of the creative processes. If the level of knowledge and the expectations that these levels entail are important for the understanding and reception of an adaptation, then this must also be the case for the people involved in conceiving an adaptation and the people producing an adaptation, a hypothesis that is supported by the evidence provided by this dissertation.

Intermedial Studies: Lars Elleström and further defining ‘media’

In a similar way to the effect that Hutcheon has had on Adaptation Studies, Lars Elleström has developed the field of Intermedial Studies, more deeply defining some core aspects within the field, in particular *modes and modalities*⁴² and *types of media*. Intermediality Studies is more broadly focused on relationships between media. In defining the concept of ‘media’, Elleström distinguishes between *basic, qualified, and technical media*, and includes a range of media rarely discussed in the predominantly screen-based sphere of Adaptation Studies. However, Elleström does not consider these medial distinctions to be “three different types of media. Instead, they are three complementary,

⁴² These *modes and modalities* are different from Hutcheon’s concept *modes of engagement*, which is discussed in this dissertation. It is not the intention of this research to critique Elleström’s modalities which are also shown in the figures that follow. However, the adaptations analysed in this dissertation involve predominantly the *sensorial* modality [particularly the modes of “seeing” and “hearing” (Elleström “Media Borders” 36)] and the *spatiotemporal* and *semiotic* modalities, which are issues discussed in Hutcheon’s work without the definition (e.g. Hutcheon *A Theory of Adaptation* 131). Details for these concepts can be found in Elleström’s “Media Borders” 17-24 and “Beyond Media Borders” 46-54.

theoretical aspects of what constitutes media and mediality" ("Media Borders" 12). Essentially, *basic media* are the things that are used to express ideas and the modalities that these elements entail. *Qualified media* are how these ideas are organised into content using the basic media elements and their modalities, combined with the *contextual* and *operational qualifying aspects* ("Beyond Media Borders" 60-64; "Media Borders" 24-27), which will be discussed later in this section. Elleström states that "[b]asic and qualified media are abstract categories that help us understand how media types are formed by very different qualities, whereas technical media are the very tangible devices needed to materialize instances of media types" ("Media Borders" 12). In other words, *technical media* are those which permit the ideas and organised content of basic and qualified media to be realised and displayed to a receiver ("Media Borders" 30).

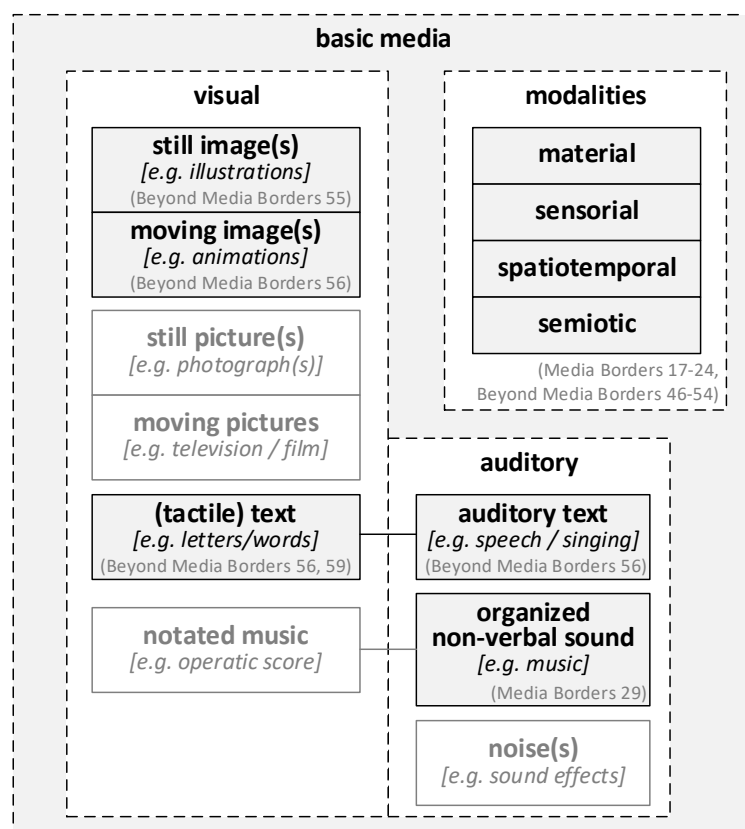


Figure 22: A diagrammatic version of the key aspects of Elleström's concept of "basic media"

As can be seen in a diagram which contains a summary of Elleström's theory for these media types, Figure 22 above, the *basic media* include visual forms, including "still images" ("Beyond Media Borders" 56), "moving images" ("Beyond Media Borders" 56), and static "tactile" text ("Beyond Media Borders" 59), and auditory forms such as "auditory text" ("Beyond Media Borders" 56). It is suggested here that the use of "image" ("Beyond Media Borders" 55) needs to be split into two forms in order to delineate the difference between *created* and *captured* images: created *still images* (e.g. illustrations) and *moving images* (e.g. animations) that require humans to create the image, and captured *still pictures* (e.g. photographs) and *moving pictures* (e.g. films) that require a form of technology to capture an

image. As can be seen in Figure 23, the difference can be seen between the original 'capture' of the landscape in the photograph on the left and then the mediation of this capture into the painted version on the right. This thereby highlights the need for the difference in technology made to form and organise the *basic media*, not just the technology required to realise or display the content in Elleström's *technical media*. It could also be argued that a third type is necessary: computer-generated pictures in both still and moving forms, as the technology available to creators matches the apparent reality of image capture, for example with 'deepfake' technology (O'Sullivan; [51] Unknown).



Figure 23: A 'still picture' of Sandfly Bay (Howard "Sunset") and a painted mediation (Imsdahl)

Elleström also considers the difference in the basic media and their modalities that are able to be noticed in these two media, such as the dimensional differences that the texture of the paint provide. The depth of the image can be seen from an angle, as can be seen in Figure 24. Another aspect that would support the separation of these forms of basic media is the ability of the (digital) photograph to be shown on a screen – or indeed printed on a page such as here – without need for further replication, as would be the case for the painting.



Figure 24: A side angle shot of a section of the wave in the painted version

In addition to the splitting of ‘image’, further types of basic media are shown in Figure 22 two pages earlier. Among the auditory elements of basic media, Elleström defines “organized non-verbal sound” as music (“Media Borders” 29), yet does not distinguish a visual form for *notated music*, a form of basic media which is separate to language-based text due to its production resulting in organized non-verbal sound and not auditory text when either is read, or in the case of vocal music with lyrics, both. Similarly, noise(s), which could potentially be defined as ‘unorganized’ non-verbal sounds, even if added in a qualified media with specific timing, have been added to Figure 22 due to the relevance to many of the adaptations analysed.

The second form of media are those of *qualified media*, which incorporate at least one of the basic media and their respective modalities within what Elleström calls the two *qualifying aspects*. The qualifying aspects defined by Elleström are split into two types: *contextual qualifying aspects* and *operational qualifying aspects*. These involve “the origin, delimitation and use of media in specific historical, cultural and social circumstances” (“Media Borders” 24) in the former type and “aesthetic and communicative characteristics” (“Media Borders” 25) in the latter. As can be seen in Figure 25, qualified media are essentially the means of organising the basic media into formulated *content* within contextual and operational situations.

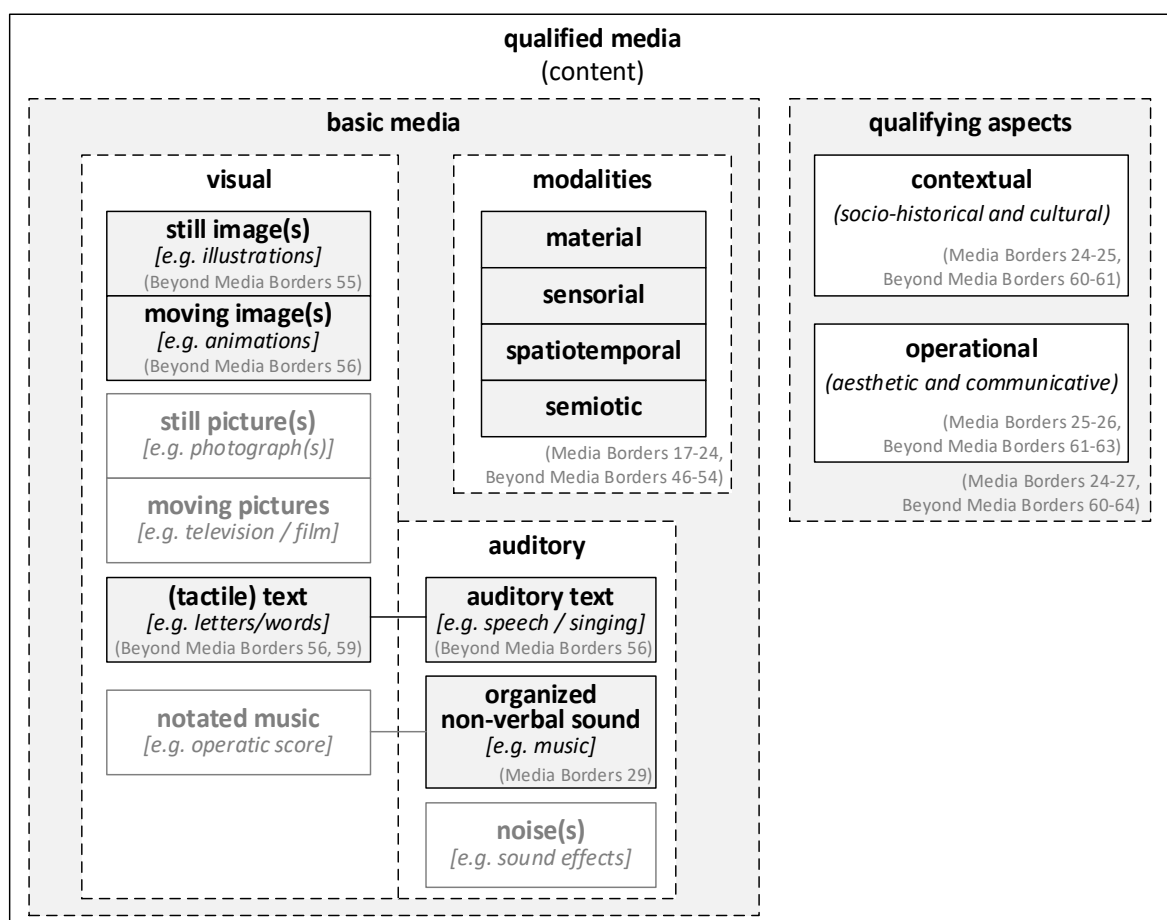


Figure 25: A diagrammatic version of the key aspects of Elleström's concept of “qualified media”

Despite the circumstances and characteristics that are involved in these two types of qualifying aspects, Elleström states that “[a]lthough societies, technologies, cultures, values, habits and communicative expectations change, there is often a natural resistance towards complete metamorphoses of qualified media types” (“Beyond Media Borders” 58). This suggests that the ‘borders’ between the medial categories defined in this research require not only defining for the purpose of categorisation, but also chronological analysis, in order to see whether the borders have been moved over time through these aspects.

In Elleström’s model, qualified media – and therefore their respective basic media – are then ‘realized’ or ‘displayed’ in their form by *technical media*. This part of the theory requires more consideration because as is discussed in this dissertation, the adaptation/composition phase of product creation implies the creation of qualified media and then a *technical medium* (printed as a score or displayed on a screen) in order for another person to receive it, which itself could subsequently be transformed into further qualified and/or technical media in the production phase prior to a ‘final product’ being received. For example, a composer creates a notated operatic score that is received by (a) trained reader(s) before it can be realised in the production and reception phases as stage performance. Similarly, a screenwriter creates a screenplay which must be read and then transformed into a shooting script and subsequently produced into the technical medium of film.

As will be discussed in the following chapter, the definitions of *mediation* processes therefore need further detail, as technical media can be used for a *target text-type* during the adaptation/composition phase (as a *primary mediation* of the ideas) and also for a *target medium* as part of the production phase (as a *secondary/tertiary mediation* into a ‘product’). Elleström states that his three definitions of media are not “types” and are complementary and as the border between qualified media (organised ideas and content) and technical media (in primary target text-types and their subsequent media) is not clear, the interplay between processes and media types needs to be assessed. The specific medial categories that have been created within this research are documented in *Part II – Chapter 1* as part of the defining of the methodology used. Other than assisting the terminological developments in the field, the primary relevance of Elleström’s work – at least in this dissertation – is the adaptation/composition and production phases, as opposed to the receptive phase which dominates Hutcheon’s theory, even though she recognises that “the materiality of the adaptation’s medium and mode of engagement - the kind of print in a book, the size of the television screen, the particular platform upon which a game is played - is part of the context of reception and often of creation as well” (Hutcheon *A Theory of Adaptation* 143).

Part I – Chapter 3: Theoretical terminology in a multi-disciplinary framework

The research described in this dissertation is concentrated on Adaptation Studies and Intermedial Studies within a more global focus of English Studies. It also incorporates and/or affects theoretical aspects from numerous other academic disciplines, predominantly Cultural Studies, Literature, Musicology, Film Studies, Translation Studies, Sociology and Psychology. This presents many terminological challenges because of the varied way that the material is discussed and in some cases theorised. The various terminological differences regarding adaptation within the relevant fields have probably evolved because of the lack of an accepted overarching frame of reference. These differences of definition are most likely part of the reason for the almost synonymic usage of some terms related to the different forms and processes of media, suggested here as part of the reason that differentiating the symbiotic elements of adaptation and mediation has not yet been possible.

In addition to the terminological problems that span the various academic fields concerned with the study and use of adaptation, there are further complications regarding more basic adaptation terminology. These complications are important to understand before engaging with the current research because of the relationship between theoretical and practical realms within Adaptation Studies: the way that academic discourse does or does not reflect the usage of relevant language in productions, reviews, and other documented forms is critical if the development of findings is to be made possible. The way it defines it in theoretical fields are even more important, and avoiding the creation of clear definitions, such as Fischlin and Fortier's statement that:

[a]daptation is not the right name for the work represented... because there is no right name. There are only labels with more or less currency, connection to history, and connotations both helpful and misleading (2)

does not assist in the development of the field. This chapter therefore highlights various terminological issues across academia and throughout the practical spheres of adaptation and subsequently defines the most critical and problematic terms that are commonly used in these fields in as exact a manner as possible.

The somewhat ironic problem that faces this dissertation is that it presents operatic adaptations of *Macbeth* within the definitional framework of Adaptation Studies and not that of Musicology. The other disciplines that engage in adaptation are heavily focussed on screen versions and have adapted and altered terminology from Musicology, whenever analysing screen-based adaptations. As Sanders confirms:

Opera, ballet and musical,... have looked to the Shakespearean canon and to fairy tale and mythology, among many other sources... Musicology has had a longstanding interest in the practice of adaptation and appropriation, and much of the terminology that we have deployed when discussing literary adaptation resurfaces in this context: version, interpretation, replication, imitation, variation. But there are some subtle differences in the semantics that

deserve mention. In the musical context, words that might in a strictly literary sphere be taken to suggest direct copying without alteration undergo a shift of register. [...] In musicology, for example, replication refers not to a simple cloning of a precursor tune or tonal pattern, but to a repetition played at one or more octaves above or below the precursor tone; a musical 'version' is a recognized 'variant' on a previously existent form, musical or otherwise; and 'imitation' means not unproblematic or unquestioning imitation, as it is often assumed to mean in a literary context, but the repetition of a musical phrase in a different pitch. (199)

One example of the lack of concurrence within Adaptation Studies is shown by Cardwell, who believes that calling "an adaptation a 'version' is not necessarily preferable, for the term is commonly used to deny its independence as a text" (Cardwell 21). In addition, the issue of comparative analyses being used as the dominant research focus is criticised because of the failure to release Adaptation Studies from definitional problems:

Comparative writers... offer an insight into the complex relationship between adaptation (process) and adaptation (end-product), yet in doing so... conflat[e] the two things, and institut[e] a vicious definitional circle. (12)

Cardwell's statement underscores one of the critical problems that has plagued Adaptation Studies to this point in time: what precisely is (an) adaptation? Part of the reason for this is the apparent use of the term adaptation by some practitioners for almost any performance, production, recording, or printed version of a source text, no matter whether referring to the process or the "end-product". This in turn most likely occurs because of a similar problem with related terms such as mediation, as well as other terms that will be discussed in following subsections. Terminological intentions are further confused when theorists voice problematic issues such as "adaptation may take place without resulting in an adaptation" (Cardwell 19). As stated earlier, the understanding of the fidelity debate has been based around the misuse of terminology and a failure to separate the phases of the overall process. The breakdown of the process into the four phases proposed here permits a greater understanding of what the product creation processes actually are in each phase, including potential parallel processes such as collaboration and management. As will be seen throughout the following section, many of the terms that are frequently used are not used consistently both within and outside Adaptation Studies, partly because they have changed over history and have assumed a synonymic relationship which hinders the theoretical basis of adaptation. Therefore, the terminological complications combined with the changing meanings is provided, including the specific definitions that will be held within this dissertation.⁴³

⁴³ NB: quoted sources will not be amended to match the descriptions provided in this section.

Key terminology in theory and practice

The defining of “adaptation” within theories to date has resulted in an impasse, where “most end up admitting defeat” (Hutcheon *A Theory of Adaptation* 15). It is proposed here that the ambiguity and the effective misuse of the term as a synonym for ‘production’ has led to decades of misunderstanding that has affected the acceptance of fidelity. The reliance on what is perceived as ‘adaptation’ from, for example, novel to film or stage play to film has misled theories, which have subsequently become involved in far more complicated multi-faceted processes. In writing to future screenplay writers, Krevolin states that screenplays “are not sold on writing quality; they are sold on ideas, concepts, and premises. Hence, yours better be something that makes other people say, “Wow, that would make an amazing film!”” (21). This once again highlights that the screenplay is the intermediary link between source text and target medium, yet the differentiation of the related processes has not been integrated into theoretical understanding of fidelity. Cattrysse’s summary of the polysystem approach mentioned earlier shows that it “focuses on the adaptation-as-process from the point of view of its production process” (309-310), his language further prescribing separate notions. Elliott also states:

“Cinematic” comes from “cinematography”, which represents only one aspect of film art – the camera work. Yet, this one part comes synecdochally to describe the whole – “cinema”. In the early days of film, however, “Screen Play” referred to the entire film. Now it refers only to one part of the film: to the written text on which the film is based. Thus what was once the whole has been reduced to a part (Screen Play to screenplay), and what was once a part has been inflated to the whole (cinematography to Cinema).

These displacing and usurping terminologies extend to critical configurations of the relationship between screenplay and finished film.” (*Rethinking* 82)

The language that is used in this quote highlights so many issues that have conflated the theoretical problems within Adaptation Studies. Firstly, the use of either of these terms to represent the separate processes involved in moving from a source text to a target product (e.g. “finished film”) as if they are one process fails to separate the phases of the overall process. Secondly, “the film is based on” the screenplay also demonstrates the construct where the product is viewed as an adaptation, whereas the adaptation is actually the screenplay and the film is a production of the screenplay. This is similar to the way that productions of stage plays, for example *Macbeth*, are announced as ‘adaptations’ of Shakespeare’s work, although they are perhaps simply productions thereof. To highlight the difference in the way this is spoken of in operatic spheres, the adaptation of *Macbeth* would be the notated score, which is then turned into productions when it is put on stage. Perhaps the difference in thinking has evolved because of contractual relationships resulting in a screenplay leading to only one production (film), whereas in opera there is the desire – and indeed the economic necessity – for multiple productions.

Visualising the progression of terminology: hierarchy, pyramid, echelon?

Due to the multi-disciplinary variation that occurs in the usage of terminology, it is necessary to clarify the progression through which the terminology will be referred. However, trying to find a model that encompasses and incorporates each field's understanding of adaptation and that simultaneously functions in practical terms is not simple, as will be shown. This is even the case with naming the progression that occurs, as terms such as 'hierarchy', 'pyramid', and 'echelon' each have connotative associations which are problematic due to the assumed importance of one text over another that could be suggested, particularly in a field that is unsettled by the mention of faithfulness to a source text. This section presents three versions of a basic model (firstly in Figure 26) that visualises an appropriate progression of terminology without any intended prominence of source over target. However, it is not intended to demonstrate practicality within every medium, but simply show the intended ordering of the terms in the context of this multi-disciplinary dissertation. Figure 27 presents an example of the terminology using some of the film adaptations analysed in this research. However, Figure 28 will demonstrate the difference between *directed* and *printed* text-types and media, by highlighting the difference between the results of the adaptation/composition phase (operatic score) and the production phase (e.g. the films shown in Figure 27) in a version of the terminology model that *does not* correctly correspond to operatic adaptations.

The visualisation displays various aspects of the processes of adaptation, including "economic, legal, cultural, political, and personal complexities of motivation and intention in the process of adaptation" (Hutcheon *A Theory of Adaptation* 95), all of which are shown in each level as "cultural influences" and "creative influences". These influences relate not only to collaborative work within each level of terminology but also potentially across levels. Sanders also considers adaptation to be "a form of collaborative writing across time, and sometimes across culture or language" (60). This highlights the possibility for the levels of progression to occur in parallel. The influences shown can also relate to intertextuality and intermediality in different periods of history, including in the creation of the source text. As Sanders states:

Shakespeare's age had a far more open approach to literary borrowing and imitation than the modern era of copyright and property law encourages or even allows. Imitation was learned and practiced in schools and continued into adult writing careers; Shakespeare would perhaps have expected to be adapted by future ages and writers for this very reason. (60)

Figure 26 shows the progression from the source material through to the productions of *Macbeth*, including the points in which cultural influences (in this simplified usage: social, political, financial, linguistic, and cultural) and creative influences (individual and/or collaborative) play a part in altering the forms. The use of Holinshed as a primary source is affected by all of these influences, with the

additional influences that occur due to the various conventions, constraints and freedoms that were in place at the time of producing *Macbeth* in Shakespeare's intended form. Whenever an adaptation transfers information within the medium of live stage play – potentially even through a simple change of location or historical period – these influences, conventions, constraints and freedoms could affect the adaptation on numerous levels. The levels of genre and sub-genre would most likely be related to terms such as 'historical' or 'modernised' in the former and 'modernised text', 'technological', or the like in the latter. However, as the purpose here is not to create a specific example, but to present the general terminological concept, this will remain undetermined.

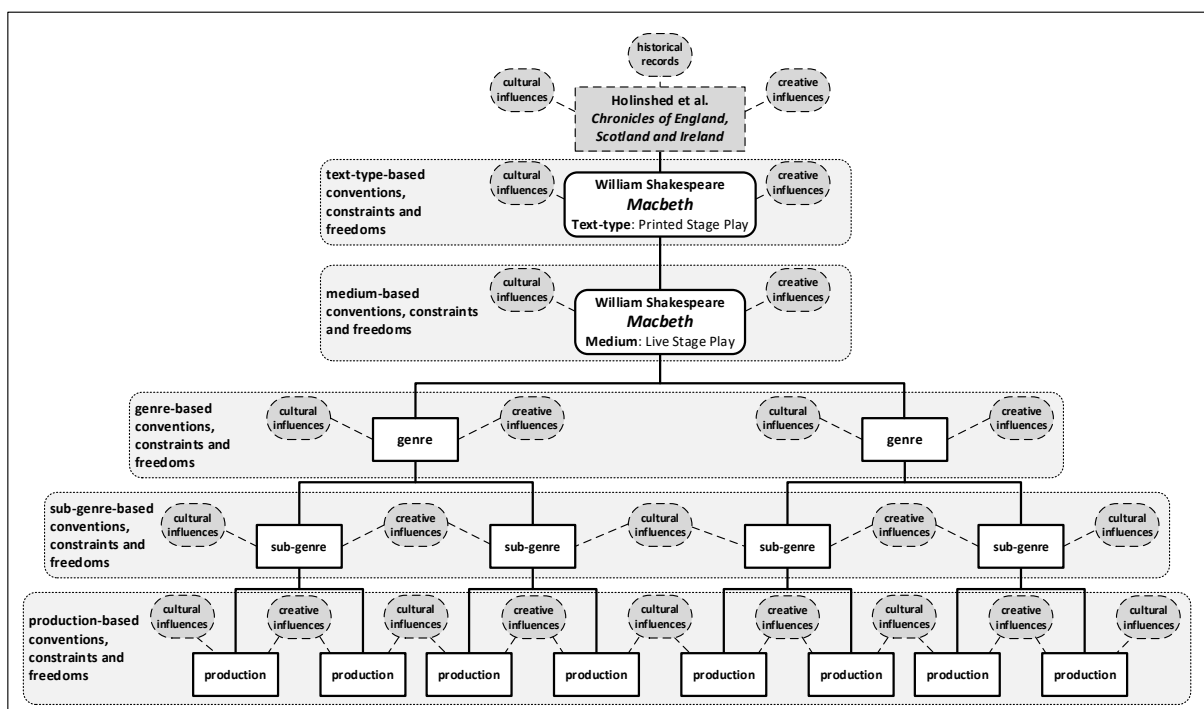


Figure 26: The progression of terminology from source to adaptation

The second version of this model, however, portrays the progression using the *Macbeth*-based film adaptations. If the decision to create an adaptation in the medium of film occurs, there are instantly text-type conventions (format, grammar for actions, font and font size), medium-based conventions (length, filming technology), constraints (time, cost, weather), and freedoms (perspective, distance, locational shifts, post-production editing) which will govern the creation of the adaptation and the direction of the production. In addition, the cultural and creative processes may require or involve different aspects to that of a live stage play or an animated adaptation, for example. The film will subsequently be treated to genre-based conventions (general aesthetics and style, costuming), constraints and freedoms (locations, settings) in addition to the genre-specific creative decision-

making processes. If involved in a sub-genre, this obviously occurs at a much more defined level once more. The film adaptation would then subsequently undergo another transformation due to production-based conventions (direction, specific aesthetics), constraints and freedoms (project finance, shooting time, access to locations, number of actors and extras, availability of and logistical requirements of the cameras and crew).

This simplified model does not directly or explicitly take into consideration the influences that a cinematographer brings from previous work in other media, genres, and sub-genres, but includes them in “creative influences”. It is through this conglomeration of cultural and creative processes and influences that *Macbeth* can be transformed from the (printed) stage play into effectively any produced adaptation. For example, Welles’ 1948 adaptation of *Macbeth* would have followed various paths to its creation that would be significantly different to that of Wright’s 2006 adaptation, despite there being potential similarities due to medium-based conventions and some considerable differences due to genre/sub-genre and production-based aspects. The paths for these two productions, as well as other film productions analysed herein, are shown below in Figure 27.

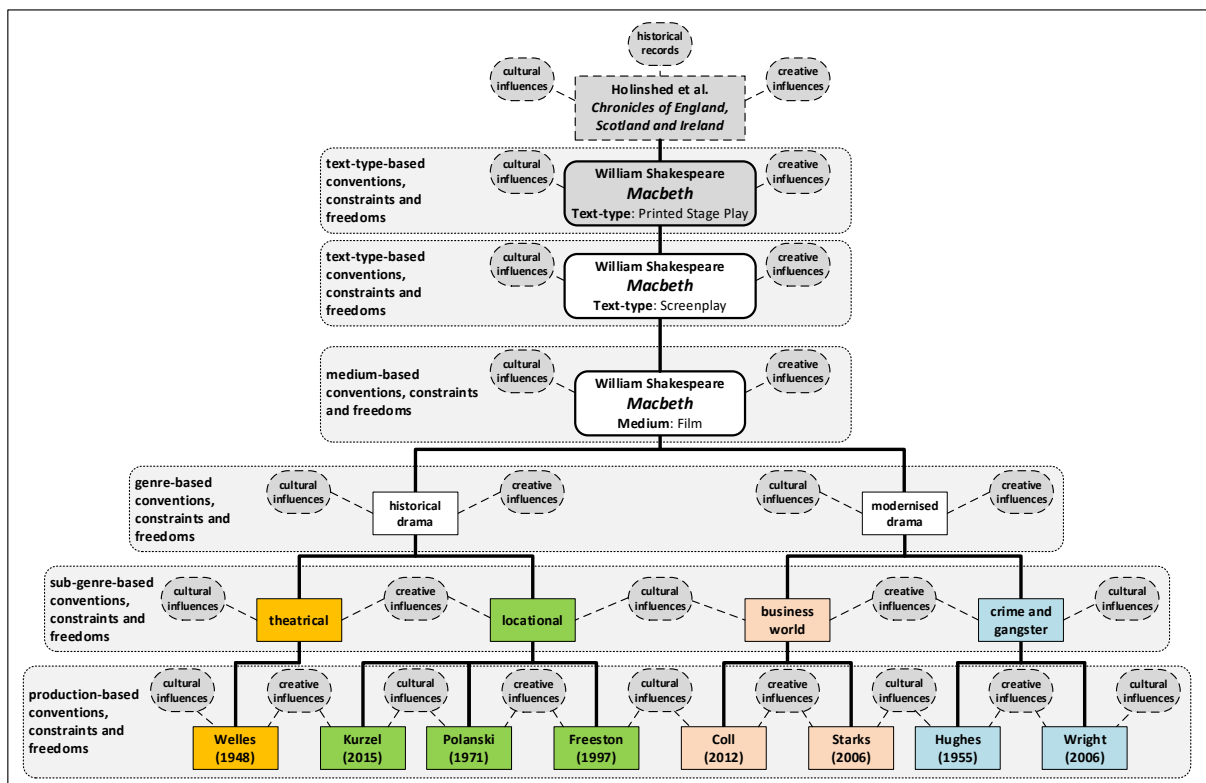


Figure 27: The progression of terminology with examples of film adaptations

As can be seen in Figure 28, visualising the progression of how terminology is used in operatic adaptations is problematic because of the need to separate either historical period within the sub-genre (e.g. the Romantic period), the style of the music (e.g. theatrical or avant-garde), or indeed the type of opera involved (e.g. chamber opera) in order to follow the model. This is because of the difference between the adaptations analysed that was described in the *Introduction*: films (Figure 27) are the result of the production phase, whereas notated operatic scores (as incorrectly grouped in Figure 28) are the result of the adaptation/composition phase before they have been produced. This further demonstrates the problem that has faced the differentiation of terminology across intermedial forms. The inappropriate application of the visualisation to operatic adaptations also highlights the problem associated with applying a theory intended for film productions to a medium where the analysed adaptation is indeed a secondary text-type: further evidence of the need for the separation of *medial fidelity* from *aesthetic fidelity* as proposed in this dissertation.

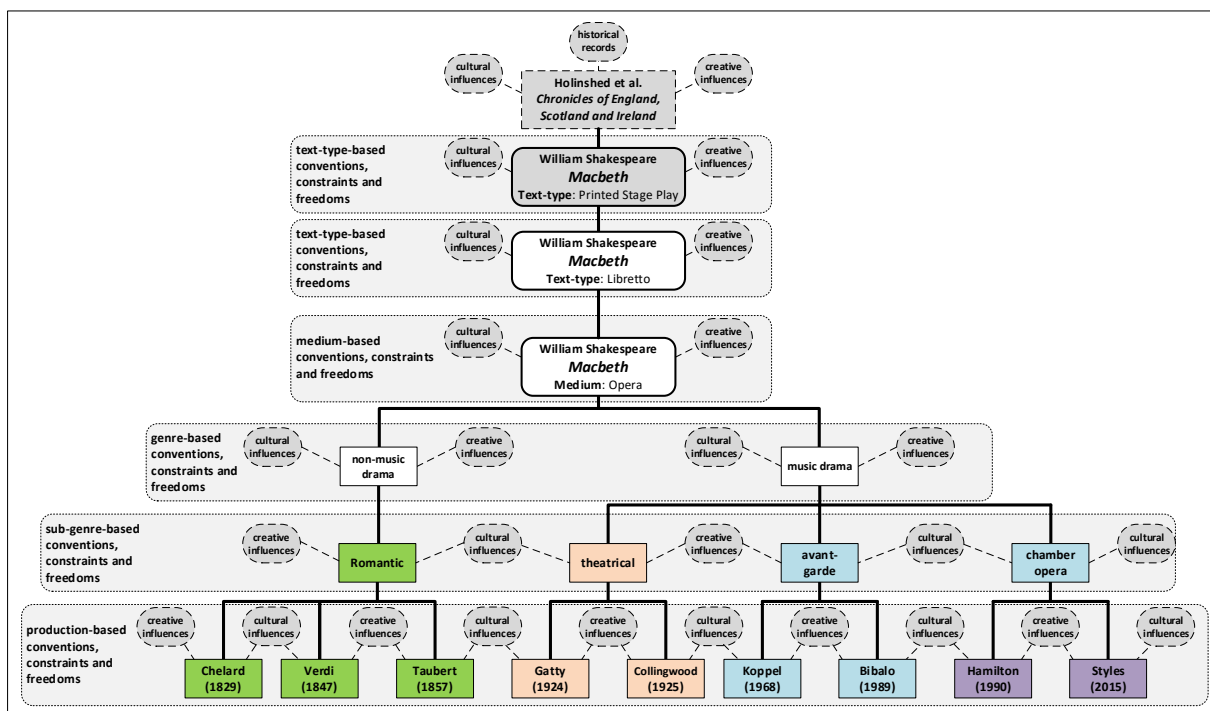


Figure 28: The problematic progression of terminology with examples of operatic adaptations

Relationships between texts: 'source', 'source text', 'target text-type', 'source audience', 'target audience'

Within the fields of Literature, Adaptation Studies, and Translation Studies, there has been a great deal of conjecture about the issue of what a source text really is and what the term can possibly mean⁴⁴ which have challenged the traditional view of literature being more important than adaptation, or as Marcus states, “[l]iterature and film cease to be fixed monolithic entities locked in eternal combat” (Marcus 22). Although it is not the intention of this research to focus on particularly complicated arguments about what textual relationships entail, the frequency with which the adaptations researched are directly related to Shakespeare's *Macbeth* throughout the dissertation requires the issues to be contextualised with relation to *Macbeth*.

Shakespeare's reliance on other sources in the conception and creation of his plays, particularly *Macbeth*, increases the complexity of definitions regarding the use of the term source text. As Sanders posits: “the inescapable fact is that Shakespeare was himself an adapter and imitator, an appropriator of myth, fairy tale, folklore, the historical chronicles of Holinshed, and the prose fiction and poetry of his day, as well as classical texts by Ovid and Plutarch” (59). The treatment of Holinshed's chronicles as an historical source, when indeed events and details purported to be fact have recently been disputed by historians (e.g. Ellis; Taylor and Murray), increases the dilemmas faced by theorists. Holinshed could also be seen as an adaptation or compilation of various sources into a story. That Shakespeare then transformed some of the information from the chronicles into the stage play, which has then in turn been adapted into different media and adaptations, means that there are numerous levels of adaptation at play. Suggesting the possibility that Shakespeare's *Macbeth* could be defined as a primary adaptation and subsequent works 'based on' his adaptation as secondary adaptations would be contentious, as assigning levels of 'adaptation', when Holinshed's chronicles (Holinshed and Fleming, particularly 263-277) are themselves a combination of many – probably intertextual and/or anecdotal – sources and numerous contributors involved in “the process of historical myth-making” (Taylor and Murray 21). Interestingly, they are in fact only translated into English – mostly – by Holinshed, but were originally compiled in Latin by Boetius and then “Scotish speech” by Bellenden.⁴⁵ As will be discussed in *Part III*, the process of translation complicates the theoretical perspectives on

⁴⁴ Various theoretical discussions and summaries of this issue are found throughout texts across multiple disciplines (Allen, Graham. *Intertextuality*. Routledge, 2000. *The New Critical Idiom*, John Drakakis, Colina, Sonia. *Fundamentals of Translation*. Cambridge University Press, 2015, Genette, Gérard. *Palimpsests: Literature in the Second Degree*. University of Nebraska Press, 1982. *Stages*, Michael Holquist et al., vol. 8.)

⁴⁵ This information is taken from an additional, unnumbered page showing “[Original Title.] The Description of Scotland, written at the first by Hector Boetius in Latine, and afterward translated into the Scotish speech by John Bellenden Archdeacon of Murrey, and now finally into English by R. H. [Raphael Holinshed]... Gathered and written in English by Raphael Hollinshead and continued from 1571, to 1685, by others. Taylor and Murray document other initial contributors and other spellings of “Hector Boece” and “Ralph Holinshed” (21).

Adaptation Studies, as theories from Translation Studies begin to become involved: in this case as it is not clear whether Holinshed began translating into English from Latin or the “Scottish speech”. It is of interest here that the chronicles are referred to as “Holinshed’s” and not Boetius’, as it is all but unthinkable that any translations of Shakespeare’s plays would be known as written by the translator without the name of the playwright taking prominence.

As was already discussed, the source text and adaptation relationship that has “haunted” (Leitch “Adaptation Studies” 64) research in Adaptation Studies is that of the hierarchical view of literature being more prominent than its adaptation. In 2008, Leitch brought together numerous views of leading adaptation theorists and wrote one of many works of the period in which Adaptation Studies finally began to break away from a fixation of subservience: “adaptation’s enduring aesthetic and methodological subordination to literature proper” (“Adaptation Studies” 64). This research does not follow a course that contends that the source text and adaptation relationship should be ignored or should dominate Adaptation Studies research generally. However, the findings assist in clarifying the importance of this relationship and highlight the need to assess adaptations both *through* the relationship and *independent of* the relationship. This dissertation proposes a quantitative methodology that can provide data for the former that might assist with the development of approaches that advance “the quest for ostensibly analytical methods and categories that will justify individual evaluations” (Leitch “Adaptation Studies” 65): in this case, specifically for evaluations of adaptations of *Macbeth*. In doing so, the relationships between the adaptations and the literature itself which the methodology provides is necessary.

For this reason, and not because “[c]ultural orthodoxy demands that Shakespeare’s adaptation be regarded as the ‘original’, and that other, later adaptations of this culturally established original be regarded as adaptations” (Cardwell 18), any texts or knowledge that Shakespeare used to create his play will be referred to as *sources*, *Macbeth* will be referred to as the *source text* (ST) and its adaptations as *target text-types* (TT), with “text-type” taken from the definition in the Common European Framework of Reference for Languages (Council of Europe 95), referred to generally in Translation Theory as “target-text” (e.g. Colina 4; Chantal Wright 170-171). The use of “text-type” is intended to avoid theoretical issues with Barthes’ definition of “text” (57) referring to various forms, with “text-type” referring specifically to the written formulation involved in the adaptation/composition phase proposed by this research. For relevant adaptations, the latter term will also be separated into *primary target text-types* (PTT) and *secondary target text-types* (STT), such as in film media where – at least – two types of linked text-types exist in a consequential order (e.g. Hilliard 47-51; Marcus 23), including *screenplays* which are subsequently converted into other forms (Beja 29). These forms will be defined in more detail later in this chapter.

The term 'original' is not used to refer to the source text during this dissertation because of the implications that this has with regards to the First Folio and other versions of *Macbeth*. It is used, however, to talk about the language where 'original text' refers to the actual choice of words in 'Shakespearean English' and not a modernised version. Whenever 'original source text' is used, it refers to the form that Shakespeare created before amendments were made. This is of course used hypothetically, as it is difficult to ascertain exactly what was originally used. However, there are sections that have been documented as additions made in later versions of the play (Clark 322).

Within translation theories, there are other terms involving 'target' which are "commonly used" (Chantal Wright 171). This research will reduce the terms provided by Wright as "target culture [...] target reader, target audience, and target readership" (Chantal Wright 170-171) simply to *target audience* (TA), in this case referring to any viewer or reader of the adaptations being discussed, including (inter)cultural transfers that are involved. This dissertation will also refer to a *source audience* (SA) within the same general context but for the viewers or readers of a source text, with both historical and contemporary reference. In the same manner as described above, these two terms may also be used to refer to source texts and target text-types that involve different levels of audience through the use of *primary source audience* (PSA), *secondary source audience* (SSA), *primary target audience* (PTA), and *secondary target audience* (STA), where different levels of audience may potentially influence the adaptation process of the text-types and media themselves. For example, is a cinema audience (*primary target audience*) different to a home viewing audience (*secondary target audience*) in the way it is reflected in the adapters' process and product? This definition is important when considering whether this alters the creative approach of adapters or only the physical production of the target media, a term which will be discussed in the following subsection.

Transferral processes 1: defining the four phases

One of the main problem areas related to terminology is that of information transfer processes. As terms such as adaptation and mediation are used synonymously across the various fields, they have lost any preciseness of meaning. This dissertation has already introduced the basic intention of the four phase model of information transferral in the overall product creation process. The definition of this model will be presented again here because of the focus of the second of the transferral processes subsections that follows.

The first phase, *conception*, is presumably the shortest of any of the phases, though it may also be more complicated than a simple glance might assume. As experienced in the first individual case study (refer to *Part IV – Chapters 1 to 3*), the conception of Herman D. Koppel's Danish *MACBETH* opera was

actually explained as two possible scenarios: a collaborative effort within the family, and a concept that the composer himself had for a 'ticking time bomb' related to the Cold War period in which it was created. Both options present a complicated situation in which a suitable Danish translation of the source text was chosen, the historical period was tied in, the intellectual writings of Jan Kott were incorporated, the familial ties to the Royal Opera in Copenhagen become involved, and one of the composer's children assisted with the libretto. While the inclusion of a translation makes this phase more complicated, it highlights that the phase is not necessarily simply a decision to compose an opera based on *Macbeth*, as it were.

The second phase is referred to in this research as the *adaptation/composition* phase. The premise here is that the phase actually consists of *primary mediation, adaptation* and/or *composition* within the structural conventions of the target text-type. Composition here refers to both notated musical and written language forms, as the structural and grammatical elements of both music and text are possible. This phase can potentially overlap with the previous and following phases, as the conception is adjusted retrospectively, or the adaptation/composition is adjusted as production constraints and freedoms become known.

One complication of the four phases is that of a *pre-production* sub-phase, which appears to occur at different stages in different media – as part of either the second or third phases or potentially a separate phase altogether – whether due to practical or terminological reasons. The term is used in film productions for preparatory work such as the creation of secondary text-types such as the shooting script. However, this does not usually occur until after a contract has been agreed to for the use of the primary text-type, the screenplay. This suggests that pre-production therefore falls under the production phase. With an opera, however, the creation of a vocal/piano reduction usually occurs before rehearsals can begin, but is often undertaken by the adapter (the composer) before productions are agreed to. This is also important because of the intention to have the opera performed as part of many productions, unlike screenplays, which usually are single-production adaptations. The operatic reductions are also not referred to as being any part of pre-production, suggesting that discrepancies regarding this sub-phase may be expected.

The third phase that is clearly represented in adaptations is that of *production*. This could include not only performance media, but those which are published, where processes such as editing, formatting, and type-setting become the production phase for such adaptations. In the case of films, the production phase is quite clearly defined by the terminology revolving around production companies, and has been split into the sub-phases of pre-production, production, and post-production within the industry. As mentioned above, these sub-phases could be more problematic for other media. Operatic adaptations could actually require a secondary production phase, where the production by an opera

company is separate from the production of a published edition of the opera in notated form. However, in both cases, these processes will be assumed under the production phase, despite the primary or secondary possibilities that exist.

The final phase that is included in the proposed model is that of reception, which is the process that generally receives the most attention within academic spheres. Here, this phase naturally refers to the processes involved with the audiences responding to the adaptations, including the various modal theories and the (un)knowing concepts already discussed in the previous chapter. However, the process of reception is rarely discussed as a parallel part of the production phase, which is also highlighted by the individual case study about Koppel's opera, where cuts were made during the 'pre-production' meetings between the conductor and the composer and also during the production itself, giving evidence that the effects of reception (can) begin before an audience ever attends. In this case, it also involves the enhancement of Hutcheon's concept, as a *knowing musical director* was involved in changing the adaptation for the stage production.

Transferral processes 2: 'adaptation/composition', 'primary mediation', 'translation'

The terminology for the processes involved in this subsection are related to the second phase, that of adaptation/composition. Before these terms are defined as used within this research, it is critical that their relationship to other usages is reviewed, particularly to similarities with other terms used in Intermedial Studies. This is necessary because of the intention to more clearly specify the processes involved in this stage. The general definitions that have previously existed have failed to separate the differences between the transferral of information from source text to the target text-types and the subsequent transfer that occurs from these text-types to the target medium/media, known here as primary and secondary mediation respectively.

Elleström discusses two terms that are related to this issue: *submedium* and *transmediation* (Elleström "Field of Media" 128). The use of *submedium* is effectively intended to be the same as that of *text-type* used in this research, a definition for which will follow as part of the description of the process of *primary mediation*. However, there are some problems with the use of *submedium*, some of which will be discussed here. The first problem is that the term implies the existence of the medium as an 'end-product', which is certainly not always the case for unproduced screenplays, for example. Although the conventions of the visual and auditory transfer that follow contracted screenplays are taken into consideration by writers, a screenplay (text-type) can be created without a film (medium) ever following, thereby allowing it to be a separate entity that is not a part of something else. Secondly, it could be mistakenly understood to have ignored the relationship between other 'sub-media' as if each

is a separate entity. In the case of the screenplay, it is normally transferred to a shooting script during pre-production. Without the screenplay, the shooting script would not exist, thereby suggesting that the shooting script could actually be considered a sub-form of the screenplay, not of the medium. Another problematic issue is that a screenplay may in fact result in multiple media (e.g. cinematic film, DVD, streaming), resulting in a complicated mixture of defining screenplay as a submedium. For example, prior to digital technology existing, screenwriters could not have considered their work as a submedium of DVD, even though they may eventually have been re-released with this media. The final issue with the use of submedium is the – usually – chronological relationship of the text-types and media within the overall product creation process of adaptation. In the case of film, the screenplay, then the shooting script, then the film are created. In the case of opera, the libretto, then the notated score, then the vocal/piano reduction, then the stage production occur, sometimes in overlap or potentially in another order. For these final two reasons, this dissertation includes forms such as primary, secondary and tertiary within the definitions of text-type and media.

The examples provided by Elleström for *transmediation* involve the transfer of the text-types (his submedium) into the medial form: “The existence of various submedia that are designed especially for transmediation is evidence of the great importance of this process” (“Field of Media” 128). He then highlights the third of the ‘submedium’ problems stated above by stating that “the libretto is a qualified submedium with which few people engage unless it is transmediated to the performance of an opera, operetta or musical. [...] Film scripts, screenplays and the like crave transmediation.” While this does not appear to be problematic on the surface level, transmediation is then stated as being replaced by the “general term... adaptation”, once again returning to the cyclical use of terminology. If the process of transmediation is adaptation, then must these terms logically need to be split into sub-transmediation or sub-adaptation?

These two terms are a much better definition of the processes than the simple “creation and reception” approach from Hutcheon, as defined earlier. However, this dissertation has already determined a more detailed process-based model, for which the terminology needs to be further and more specifically defined. The definitions that follow will be based on a more simplified use of *mediation*, in which the adaptation/composition phase will involve *primary mediation* (a first stage of transmediation using the ‘submedia’) and the production phase that of *secondary mediation* (what Elleström refers to as transmediation, but also adaptation), both of which will be more specifically defined. The order of these processes and their general positioning in the four phases is shown in Figure 29 below. In this diagram, it can be seen that tertiary forms of the terminology are possible, although the focus in this section will be on the first two types.

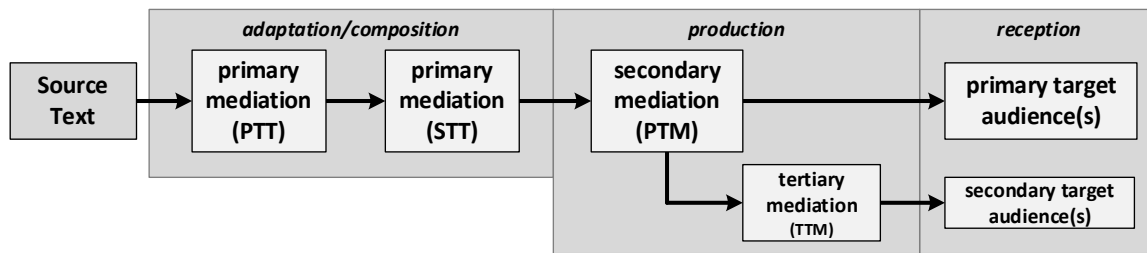


Figure 29: The phases of product creation and the order of mediation-based components

The term *mediation* as used in this dissertation derives from a combination of the Common European Framework of Reference for Languages use of “mediation”, which involves the transfer of information from one text-type to another where “one is less concerned with one’s own needs, ideas or expression, than those of the party or parties for whom one is mediating” (North et al. 106),⁴⁶ Elleström’s definition of mediation as “a relation between technical media and basic or qualified media” (“Media Borders” 32), as well as being related to the English meaning from its use in Psychology of “the interposition of stages or processes between stimulus and result” (OED “mediation” [entry 2.b.]): in this case where “stimulus” is the source text and “result” that of the target text-type and/or target medium. This is slightly different from Elleström’s definition of mediation a decade after the one above as relating to “the display of sensory configurations by the technical medium (and hence also by the media product) that are perceived by human sense receptors in a communicative situation” (“Beyond Media Borders” 39). Two examples of the term *mediation* within Adaptation Studies, which has rarely been used in the field, include Collard’s mention of “techno-cultural mediation” (Collard 84) and Sanders’ referring to “multiple acts of mediation” (Sanders 78), with neither researcher providing specific mediation processes involved.

Mediation will be defined here as a process across the two phases involving text-types and/or media depending on the category of adaptation (product).⁴⁷ Therefore, the separation between *primary mediation* (to a text-type) and *secondary mediation* (from one or more text-types to a medium) is used in the context of this dissertation. These two terms and processes are symbiotically linked because even during primary mediation the adapter is normally aware of other primary mediation processes and the secondary mediation processes. For example, a screenplay writer writes within the structural conventions of the text-type involved with the primary mediation but is aware of the secondary text-

⁴⁶ Its usage normally includes non-literal, imprecise translation across different media in spoken or written forms. The process of translation will be defined more deeply in *Part III*, where its application to the operatic medium is discussed. However, in simplified form, the definition of **translation** is that it is the transfer of information from one language to another, including (inter)cultural aspects.

⁴⁷ This is not intended to exclude forms of media where this does not occur, but allows for what Elleström calls “[t]ransmediated media” (“Field of Media” 128) such as film and opera, where the two stages of mediation occur.

types (shooting script) and other conventions of mediation involved in the production of a film. Similarly, a librettist is aware of various operatic compositional and production-based conventions.

Primary mediation, which involves the mediation of Elleström's *basic media* of 'text', and is where the proposal for medial fidelity could be analysed, is proposed here to involve three types of writing: that of *textual mediation, adaptation, and/or creation*. These are separate to processes in secondary mediation, which could possibly be known as 'aesthetic mediation', where the concept proposed in the *Introduction* as *aesthetic fidelity* occurs: the transfer into Elleström's *technical media*.

Textual mediation will also be used alongside the term *adaptation* (of text) in this dissertation as two conceptually-separable information transfer processes: the former relating to the structural and format-based convention differences between text-types without creative changes and the latter involving creative aspects (e.g. omissions, additions, repeats, repositions, amendments to the text) in addition to these structural and format-based conventions. The difference between the two processes is often difficult to distinguish partly because they usually occur simultaneously, as in the definition of adaptation stated above. If textual mediation is simply viewed as the transfer of narratives from one text-type/medium into another and adaptations are only considered to be the creative reworking of a text into a different interpretation, structure, or other aspect, then it would be difficult to separate the two processes from practice, as both are required. For example, how could a change of text-type from *play to novel* (or vice versa) not involve the necessity for some creativity at some point during the transferral process of the entire text? Structural conventions such as reporting verbs, punctuation for monologues and dialogues, and adjectives for describing aspects taken from the play's source text may need to be created to conform to the conventions of the novel's target text-type. In other words, textual mediation from one text-type to another requires re-forming the text into the conventions of the target text-type.

Whether it is even possible to have a 'pure' form of textual mediation without any level of simultaneous adaptation is debatable due to the reception processes. However, that issue aside, the following example is as 'pure' a form of primary mediation as possible and highlights what is intended regarding the written structural conventions of the reverse textual mediation of that above: a 'pure' textual mediation from a novel to a play.

Novel

As John sat at the table, preparing to eat,
Dave suddenly entered the room.

“Don’t eat the fish!” Dave yelled.

“What?” John asked, looking confused.

“It’s off,” Dave whispered.

“Lucky I hadn’t started,” John laughed.

Play

(JOHN sits at a table and prepares to eat.

DAVE enters suddenly.)

DAVE: *(yelling)* Don’t eat the fish!

JOHN: *(looking confused)* What?

DAVE: *(whispering)* It’s off.

JOHN: *(laughing)* Lucky I hadn’t started.

When this primary mediation into (present tense) play conventions occurs, any neutral-volume and non-emotive reporting verbs are not shown (e.g. *asked, stated*), whereas reporting verbs that suggest volume or emotion are shown as performing directions in brackets (e.g. *yelled, whispered*), as are acting directions (e.g. *looking confused*), all of which are usually shown in italics or other means to identify them as elements that are visual or auditory in a performance and so that a reader can easily separate them from spoken text. Formatting concepts such as indentation and capitalisation of character names are also different in this case, although these may vary from publisher to publisher.⁴⁸

In Figure 30, the differences between the methods of primary mediation – defined here as *textual mediation, adaptation, and creation* – are positioned on a horizontal line. The two extremes show that a hypothetical ‘pure’ textual mediation would involve no creativity and a hypothetical ‘pure’ creation would involve no material taken from any source text(s) with no intertextual references in the creation of a text-type. It should be noted that an adaptation may involve either of the ‘pure’ extremes at any one particular time, yet not both simultaneously, unless two separate sections are performed concurrently in Marowitzesque collage. In between these extremes, adaptation would involve textual mediation and creative aspects to various degrees, depending on how close to either extreme a section of text lies. The process of adaptation could be graded at different positions depending on the level of textual fidelity to the source text: an adaptation more faithful to the original text would be positioned closer to the extreme of ‘pure’ textual mediation than than one that is unfaithful, which would be positioned closer towards the extreme of ‘pure’ creation. This assessment of textual – and medial – fidelity would relate to the number of creative changes such as additions, repositioning, and omissions to the original text, whereas the more aesthetic-based aspects, such as time-period, setting, staging, character, or gender, would be separated from this into an assessment of aesthetic fidelity.

⁴⁸ Further detailed conventions of various text-types are contained in *Part II – Chapter 1*.

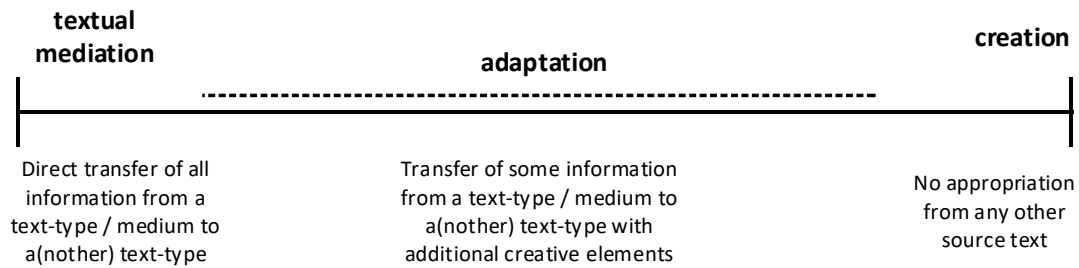


Figure 30: A simplified gradation from 'pure' textual mediation to 'pure' creation

It should be remembered that these forms of primary mediation may occur more than once before secondary mediation occurs. In some cases, the text-types created within primary mediation processes may be able to be used, but only by trained receivers: "A musical score can be enjoyed by specialists, but is usually transmediated to sounding music" (Elleström "Field of Media" 128). This may be the case for screenplays with producers and film composers, or shooting scripts with cinematographers and film directors. As can be in Figure 31, a more detailed version of the process shown earlier in Figure 1 is provided. It demonstrates the essentials of the mediation processes involved in Koppel's 1968 opera (refer to *Part IV – Chapters 1 to 3* for more details) and Kurzel's 2015 film.

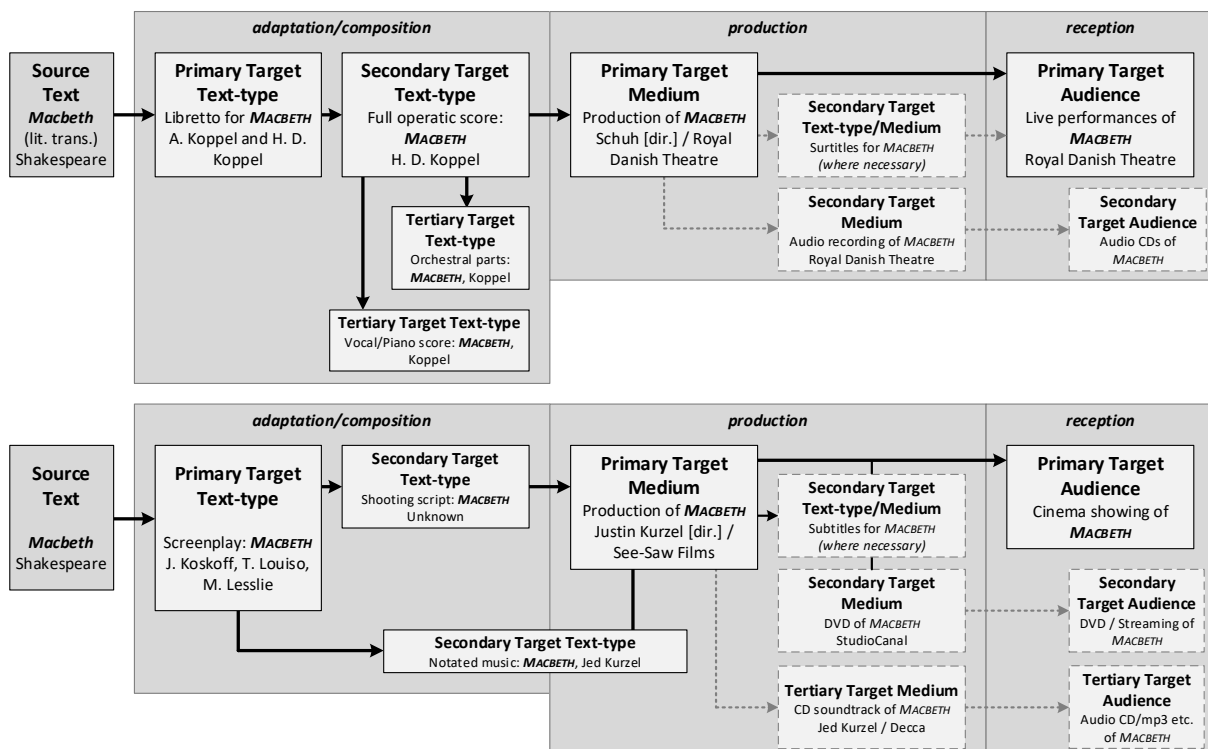


Figure 31: Examples of the basic text-types and medial forms for Koppel's opera and Kurzel's film

A close inspection reveals that the primary mediation stage in the adaptation/composition phase involves multiple text-types in both adaptations and the secondary mediation stage resulting in multiple target media for multiple target audience types. As these medial forms follow similar overall creative processes, this is perhaps not unpredictable. Similarities can no doubt be found between all “transmediated media”, although visual-only and auditory-only adaptations may follow simpler primary and secondary mediation processes.

The following is a summary of the terminology from this subsection. *Primary mediation* (the first stage of mediation) will be referred to throughout this dissertation as the transferral of information from the conventions of one text-type/medium to the conventions of another text-type within the adaptation/composition phase. *Secondary mediation* (the second stage of mediation) will be referred to throughout this dissertation as the transferral of information from the conventions of one text-type to the conventions of a medium, which can potentially occur in the adaptation/composition phase but would normally occur in the production phase. *Textual mediation* is the process of information transferral which simply converts the structural conventions of one text-type into those of another: a pure form of textual mediation would involve neither loss of information nor creation of information. *Adaptation* (the process) is defined here as the transferral of information from a source text to a target text-type in which additional creative input is required through textual means.

Although these definitions separate the two types of mediation process, this still does not solve the definitional issue of what *an* adaptation (the noun: a product) is. Cardwell states that “an adaptation is a text which ‘adapts’ another text” (Cardwell 11). However, whether ‘adapts’ includes simple processes of abridging or repositioning a source text for the purpose of performance while maintaining the same medium as the source text’s intended medium is questionable: can the process of abridging *Macbeth* for a performance on stage with a reduced time period really be considered the same as the process of adaptation? The same can be asked with regards to the *staging* of a work, and will be discussed in the following subsections. Hutcheon presents a summarised concept of what an adaptation is:

In short, adaptation can be described as the following:

- An acknowledged transposition of a recognizable other work or works
- A creative *and* an interpretive act of appropriation/salvaging
- An extended intertextual engagement with the adapted work

Therefore, an adaptation is a derivation that is not derivative – a work that is second without being secondary. It is its own palimpsestic thing. (Hutcheon *A Theory of Adaptation* 8-9)

In order for a work to be “acknowledged”, adaptations are, at least normally, marked with the term “based on”. Leitch questions the validity of this term as a defining marker that highlights a work as an adaptation. Leitch argues that an audience can “identify [a film] as an adaptation purely by generic conventions” (“Adaptation, the Genre” 115). He nevertheless suggests that knowing a film is an

adaptation “invites audience members to test their assumptions, not only about familiar texts but about the ideas of themselves, others, and the world those texts project against the new ideas fostered by the adaptation and the new reading strategies it encourages” (“Adaptation, the Genre” 116). Cardwell also argues that “the seemingly innocuous words ‘based on’ (a book) actually conceal a minefield of conceptual and theoretical problems” (2). Sanders’ work on adaptation highlights other subtle differences that affect theories, particularly related to appropriating a work: “There is a need, for example, to distinguish between direct quotation and acts of citation. Quotation can be deferential or critical, supportive or questioning; it depends on the context in which the quotation takes place. Citation, however, presumes a more deferential relationship; it is frequently self-authenticating, even reverential, in its reference to the canon of ‘authoritative’, culturally validated texts” (6). Issues such as ‘based on’ and whether an adaptation contains quotation or citation, as well as the newer “phenomenon” of “fandom” (Henry Jenkins *Textual Poachers* 6), are considered within this research to be the legal applications of the adaptation and mediation process: they demonstrate how the processes are acknowledged, but are separate to the actual information transferral processes.

The Oxford Dictionaries Online definitions of *adaptation* once again highlights the lack of clarity that the language related to Adaptation Studies has: “An altered or amended version of a text, musical composition, etc., (now esp.) one adapted for filming, broadcasting, or production on the stage from a novel or similar literary source” (OED “adaptation” [entry 4]), and “[t]he action or process of altering, amending, or modifying something, esp. something that has been created for a particular purpose, so that it [sic] suitable for a new use” (OED [entry 5]). These definitions fail to define the difference between, for example, production or staging and that of adaptation, three terms which will be defined in a following subsection. The complications that an adaptation of an adaptation creates are also not discussed. Why is a film considered to be an adaptation but not the screenplay that led to the film? As has been shown, the adaptation should be the screenplay and the film the production, as an opera is discussed in musical spheres. In the normal usage of the terms, the use of ‘adaptation’ has come to mean both ‘production’, in which the medium and structure of the original text is maintained but the aesthetics, location, historical period, and the like may be changed, as well as ‘adaptation’, in which the medium can be changed and the structure and various other aspects may also be altered. These other meanings are why defining what adaptation means has become increasingly difficult. A continued focus on the reception phase within research will not change this difficulty, particularly as new means of accessing media (e.g. streaming) and other adaptation types such as the *Star Wars* films being mediated into Shakespeare-styled plays (Doescher) become more common.

Relationships between media: ‘source medium’, ‘target medium’, “-medial”

[I]t is when adaptations make the move across modes of engagement and thus across media, especially in the most common shift, that is, from the printed page to performance in stage and radio plays, dance, opera, musical, film, or television, that they find themselves most enmeshed in the intricacies of the medium-specificity debates. (Hutcheon *A Theory of Adaptation* 35)

In a similar vein to the terminology discussed in Translation Theory related to source and target text-types above, a further level of terminology is proposed here: that of *source medium* (SM) and *target medium* (TM). A source text follows the structural conventions of a source medium and it presents its information accordingly. For the purposes of adaptation and mediation, the target text-type also involves certain medial conventions, and adapters use the conventions of the target medium to represent the information. In the case of adaptation, however, as will be discussed in the following subsection, the target medium may indeed be the same as the source medium. Figure 32 shows both media as potentially being used to create an adaptation. However, as will be discussed related to the term *performance* in a following subsection, there have been previous theorists who have highlighted the potential for a live stage play to be an adaptation in itself.

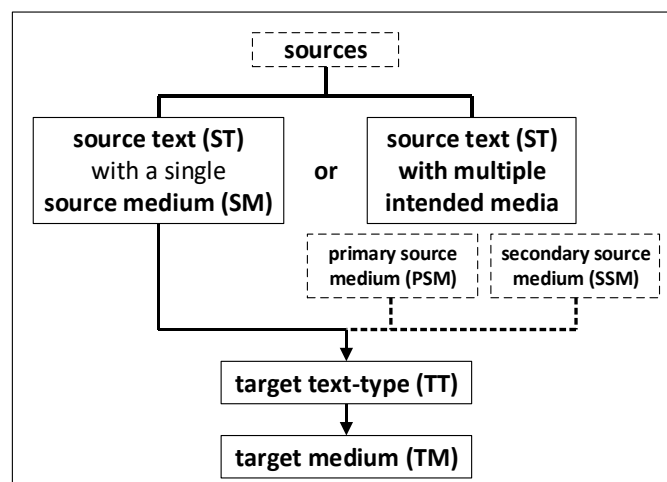


Figure 32: The links from source(s) to target text and target text-type/medium

Figure 33 is included below in order to show the complication about whether secondary text-types occur during the adaptation/composition phase or the production phase. Following the acceptance and contracting of a screenplay, a production company would normally create a shooting script which provides the most cost and time effective means of filming the necessary scenes based on locations. Although this is created in a ‘production’ company, it could easily be argued that ‘pre-production’ should occur in the adaptation/composition phase, as suggested by the prefix ‘pre’. In the case of an opera, the vocal/piano reduction is normally created after the full score but is needed before rehearsals are able to begin, as opposed to a screenplay, which can be used to rehearse lines. It is also possible for the vocal/piano reduction to be the basis for the full score. As rehearsals often occur in

advance of the actual staging of the opera, it could also be suggested that the reduced text-type could be part of the adaptation/composition phase or a pre-production phase, where an argument could also be held that supports the piano reduction rehearsals occurring ‘pre-production’. This suggests that either a fifth phase or a sub-phase might exist, perhaps breaching the gap simultaneously with the phases on either side.

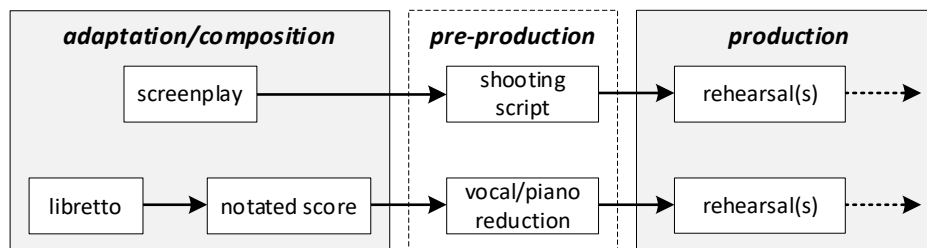


Figure 33: The potential fifth phase of product creation

As can be seen in Figure 34 below, in a visualisation of a play such as *Macbeth*, the definition of source medium would need to be split into *primary source medium* (PSM) and *secondary source medium* (SSM), as there are potentially two ways of proceeding with the analysis. The (printed)⁴⁹ play would be the primary source medium and the live stage play the secondary source medium in this case, both of which are potential source texts for further adaptations. The reason for the defining of these media in this way is the same as with the primary and secondary target text-types described above: the consecutive order. Although Shakespeare may have viewed the primary medium as that of the live performance with regard to importance, the consecutive order requires the printed (handwritten) form before a performance can be made possible. It is also most likely that the primary source medium is the form that most adaptations are developed from, but are not necessarily only influenced by.

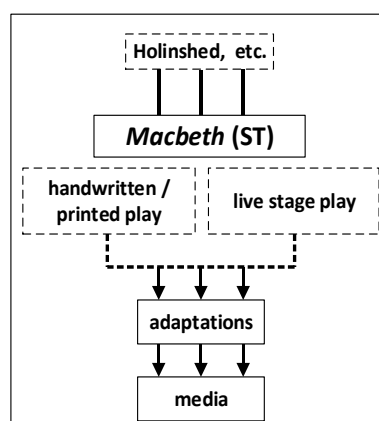


Figure 34: The relationship of terminology for *Macbeth*

⁴⁹ Any adaptation that was initially handwritten is described in this dissertation as “printed” for simplicity.

Similarly, a target medium must also follow this pattern, as there may be the requirement for process decisions related to a *primary target medium* (PTM). An example of this split across differing target media is Leon Garfield’s abridgement of *Macbeth*, which involved (at least) three *secondary target media* (STM): the *Animated Shakespeare: Macbeth* (Serebryakov) and the illustrated play (Garfield and Serebryakov) were both released in 1992, and in 1994 the audiobook (Garfield and Foreman) was released. It can only be assumed that the *primary target medium* was an abridged play that was then subsequently split into the different medial forms, conforming to the definition of transmedial as will be discussed below. It could also be argued that a further level of target medium is possible because of the effects that technology – and consumption – have on adaptations. For example, as can be seen in Figure 35 following the primary and secondary media mentioned above, the original animation made for television broadcast was later released on VHS and, following digitalisation, the DVD sourced for this research (Serebryakov). Whether a *tertiary target medium* (TTM) should be considered within the process of adaptation in this case is questionable, however, the decision-making of the adapters and all involved in the production during the adaptation process would not have been influenced by a technical medium that did not exist.

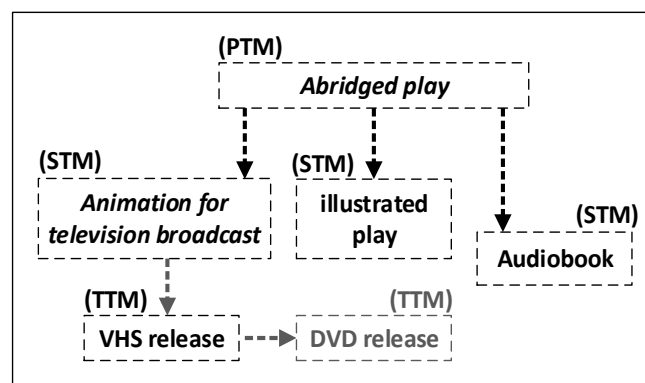


Figure 35: The relationship of media in Garfield’s multiple releases

A further example is where the intended primary target medium of most films would be for projection in a cinema and the secondary target medium of digital viewing of DVDs in private situations. The consumption of both levels of target medium involves changes to the adaptation processes described in Hutcheon’s *A Theory of Adaptation*, as will be discussed in detail in later chapters.

There are two areas of recent theory presented by Elleström that warrant specifying here with regard to the separation of text-types and media: firstly, his division of ‘media’ into “three interrelated dimensions” (Bruhn and Gjelsvik 9), namely *basic*, *qualified*, and *technical*, which were also defined in the previous chapter; and secondly, his definitions of various terminology (*mediation*, *transmediation*, *intermedial*, and *intramedial*) related to the adaptation/composition and production phases as proposed here.

The concept of splitting media into three dimensions assists with considerations of aspects including “media traits that are historically and communicatively situated, in the sense that they must be seen in the light of parameters such as period, culture, society, and aesthetics” (Elleström *Media Transformation* 58). However, these categories are considerably more complicated than the CEFR text-types. The accessibility permitted by media as mentioned above conforms to Elleström’s definition of *mediation* as “the physical realization of entities (with material, sensorial, and spatiotemporal qualities, and semiotic potential) that human sense receptors perceive within a communication context” (*Media Transformation* 12), whereas his further explanation of *transmediation* as “repeated mediation through another technical medium” (*Media Transformation* 14) refers to multiple media version of the same story – or as is proposed, the same adaptation⁵⁰. Mediation, as Elleström describes it, is directly related to production, and only indirectly to adaptation as detailed in this research through the adapter’s knowledge of the “traits” mentioned above. Similarly, depending on whether any textual changes are required in order to conform to the structural conventions of other text-types involved, transmediation would potentially require a secondary adaptation process and a subsequent secondary production phase in order to make other transmediations accessible. Where Elleström’s terminological definitions do align with this research is with the use of intermedial and intramedial. He defines *intermedial* “to broadly refer to all types of relations among different types of media” (*Media Transformation* 3) whereas “[m]edia interrelations between similar rather than different qualified media or between media products belonging to the same rather than different qualified media may be termed intramedial” (*Media Transformation* 89). However, as he also further complicates these definitions by discussing them with regards to the different media types (e.g. *Media Transformation* 92), the definition above is used in this dissertation without the additional complications of the word “qualified”.

Various terms with the suffix –medial are of relevance to this research, with *intermedial/intermediality* of prime importance, particularly as “[a] large number of critical approaches make use of the concept, each with their own premises, methodology, terminology and delimitations” (Rajewsky 51). In essence, *intermediality* will refer to Rajewsky’s summarised definition of “relations between media, to medial interactions and interferences” (51), but more importantly to the first of her “three groups of phenomena”, that of “medial transposition”, which consists of adaptations from a source medium into a different category of target medium (55). In the cases of specific medial transference across two separable adaptation/composition and production phases, the terms *mediation* and/or *intermedial* ⁵¹

⁵⁰ One set of transmediations in this sense are of Garfield’s reworking of *Macbeth* highlighted earlier.

⁵¹ Presumably the technically-correct version in the English language was originally *cross-media*. However, the use of *intermedial*, also used in the German language, has been increasing in usage for approximately the last two decades. Although in recent research the word *intermedial* appears to be more naturally used, it is also its simplicity in combination with the term intramedial that makes it more appropriate for this dissertation.

will be used: noun and adjective for the process respectively. Whenever discussing the general transference of information across numerous media, the term *transmedial* will be employed in this dissertation: e.g. when a theoretical approach discusses adaptation of *Macbeth* into numerous categories of media, as is the case in Figure 35 above. This usage is different to a case when a discussion about the transference between or difference(s) between *two specific* media occurs, such as between the (printed) play medium of *Macbeth* and a filmed television adaptation, and therefore requires this other terminological definition. The use of *intramedial* in this dissertation is comparable to that of *internet* and *intranet*, where usage of the former prefix involves the movement of data between systems and the latter the movement within a system. *Intermedial* and *intramedial* will therefore be used in this manner, specifically with discussions about the intramedial differences within the operatic medium in *Parts III, IV, and V*. Similarly, 'intertextual' and 'intratextual' have been used in literature and film studies: e.g. "Both intratextually and intertextually, the genre film uses the same material over and over again" (Altman 25).

Relationships between genres: 'genre', 'source genre' (SG), 'target genre' (TG)

In film criticism, the concept of genre has emerged as an important tool. Those who use the term usually mean that, in film, broad forms of popular expression are identifiable, each with a specific tradition. They also indicate that the works are related and that this relationship is worth examining. (Kaminsky 1)

This dissertation does not specifically focus on theorising or detailing 'genre'. There will also be no intensive discussion related to genre following the analyses that have been completed. However, it is nevertheless necessary to define this term as to how it relates to the overall concept of the research owing to the difference in meaning generally used in Film Studies and that used in Musicology, both of which will be referred to heavily throughout various chapters. Focussing the traditionally-viewed definition such as the summary by Kaminsky above onto other media is problematic: as he states, his definition in the quote is only "in film". Even within Film Studies, there has been little agreement as to long-term workable definitions (e.g. Altman; Andrew *Concepts in Film Theory*; Beja 313; Hayward 165-171; Meinhof and Smith 12). As the main focus of this research is on defining opera's place amongst the other various media available, and the general placement of the research is that of Adaptation Studies, where a large proportion of the theoretical basis relates to film media, it is therefore imperative that clarity is given to the intended meaning within this paper and that an awareness of the issue is achieved before a true comprehension can be made of the theoretical arguments contained within the dissertation itself.

Because of the theoretical definitions in recent and current usage, the creation of a precise definition of genre – as with adaptation – cannot possibly find acceptance amongst every field of academic study.

These fields have diverged to a point where, for example, film and literary genre studies have become “separate”, forming their “own assumptions,... *modus operandi*... [and] objects of study” (Altman 13). Owing to Adaptation Studies’ heavy reliance on screen-based media, ‘genre’ in this field is traditionally associated with a category defined by certain criteria, e.g. Westerns, war movies. Theorists within this field have debated numerous possibilities over many decades, such as Leitch, who contemplates whether displaying ‘based on’ results in adaptation itself being a genre: ‘If adaptation is indeed a genre, it has been a largely invisible genre, that has flown beneath most observers’ radar, perhaps because it has been an important force in the American film industry” (Leitch “Adaptation, the Genre” 106). Cardwell displays a similar belief that adaptation as a genre warrants consideration (2) and adds yet another conflating level about genre, suggesting that television adaptations should be considered as a separate genre from film adaptations (1).

Other theorists question, for example, whether “the novel-as-film/TV-serial is a separate *genre*” (Giddings et al. xix), and Sanders further entrenches the lack of clarity and consistency in the usage of this term by stating that:

Adaptation is, however, frequently a highly specific process involving the transition from one genre to another: novels to film; drama into musical; the dramatization of prose narrative and prose fiction; or the inverse movement of making drama into prose narrative. It can also involve the making of computer games or graphic novels or be dispersed into modes such as music or dance. (24)

Her use of ‘genre’ in this quote aligns more closely with this dissertation’s definition of ‘medium’ as detailed in an earlier subsection. With such widely spread views on what genre really is, or at least what it could be, even within key Adaptation Studies theorists, there is little hope that a definition will be agreed upon. This divergence from the use of genre as a simple categorising tool creates problematic theoretical obstacles: “If it is not defined by the industry and recognized by the mass audience, then it cannot be a genre, because film genres are by definition not just scientifically derived or theoretically constructed categories, but are always industrially certified and publicly shared” (Altman 16). Other academic fields also demonstrate a variety of usages, examples of which exhibit the overlapping meanings of terms which directly affect this research. The traditional perspective of Literary Studies is that genre is “either an exclusively aesthetic object or... a constraint on the artistic spirit” (Bawarshi and Reiff 23). Cultural Studies view of genre “seek[s] to examine the dynamic relationship between genres, literary texts, and socio-culture” (Bawarshi and Reiff 23). These overlapping usages are further explained by Altman:

Even so simple a question as the meaning and extent of the term *genre* remains confusing, for the term inconsistently refers to distinctions derived from a wide variety of differences among texts: type of presentation (epic/lyric/dramatic), relation to reality (fiction versus non-fiction), historical kind (comedy/tragedy/tragicomedy), level of style (novel versus romance), or content paradigm (sentimental novel/historical novel/adventure novel). (11)

Bawarshi and Reiff summarise the theoretical rift between traditional definitions and modern usages of the term: “the term *genre* itself remains fraught with confusion, competing with popular theories of genre as text type and as an artificial system of classification” (3). What they define as a term “used mainly as a classificatory tool” (4) in more traditional usage is a far simpler definition than the more modern version in which genre is “both organizing *and* generating kinds of texts and social actions” (4). Even Altman’s presentation of the defining principles of genre is subsequently qualified, referring to the lack of concurrence amongst theorists and ‘typical’ justifications:

Genre, it would appear, is not your average descriptive term, but a complex concept with multiple meanings, which we might identify as follows:

- genre as *blueprint*, as a formula that precedes, programmes and patterns industry production;
- genre as *structure*, as the formal framework on which individual films are founded;
- genre as *label*, as the name of a category central to the decisions and communications of distributors and exhibitors;
- genre as *contract*, as the viewing position required by each genre film of its audience.

While not every genre theorist attends to each of these four meanings and areas of generic operation, genre theorists typically justify their activity by the concept’s polyvalence. (14)

With so many incredibly divergent usages and beliefs related to the term genre, it is therefore critical that any reader of this dissertation separates their understanding of two components. Firstly, any theorising within this dissertation will, for the sake of maintaining a separation between the terms that have been described in the subsections above and that of genre, assume the generally accepted traditional definition of *genre* as the categorisation of characteristics of a text-type or, in the case of this research, an adaptation of any medial form. Secondly, any quotations of adaptation-based scholars must be considered with relation to their intended meaning of genre, based on the definitions discussed above.

Descriptions for ‘product’: ‘performance’, ‘production’, ‘staging’, ‘interpretation’

With theoretical developments such as those made by Hutcheon, where, for example, the concept of switching *modes of engagement*, which was reviewed and detailed in *Part I – Chapter 2*, has potentially further complicated the way the language is used. Is Shakespeare’s play, for example, an adaptation when it is performed live on stage because the “showing” mode of engagement has altered the “telling” mode that the written form had previously provided? Is it problematic because, even though the intended form of engagement in the secondary medium *is* the showing mode, only the performers would be engaged in the telling mode while preparing for rehearsals and performances? *Macbeth* was, after all, created in an era before mass production and distribution became important aspects of playwrights’ incomes. Therefore, should a live stage performance really be considered to be an adaptation of the original source text as suggested by Hutcheon: “[E]very live staging of a printed play

could theoretically be considered an adaptation in its performance” (Hutcheon *A Theory of Adaptation* 39), or should it even be considered an adaptation of the primary source medium, in this case an adaptation of a printed or handwritten form of the play? If the argument that suggests an adaptation is an adaptation because it “openly announce[s] its overt relationship to another work or works” (Hutcheon *A Theory of Adaptation* 6), then a live stage play performance of Shakespeare’s *Macbeth* would not be marketed as “based on” *Macbeth* or the text being “after William Shakespeare”, suggesting that it should be a production, not an adaptation. This is further highlighted by operatic adaptations: Verdi’s opera *MACBETH*, in which the composer’s score and marketing material are marked with “after Shakespeare” would not be advertised for audiences as “after Verdi”, even though the structure of the operatic adaptation might be altered for the purposes of a production. The separation of adaptation and production as suggested in this research would contest the belief that:

Performance is in itself an inherently adaptive art; we might even argue that each individual performance is an adaptation. If drama embodies within its own conventions an invitation to reinvention, so the movement into a different generic mode can encourage a reading of the Shakespearean text from a new or revised point of view. Stage plays more usually offer a broader perspective on events than the camera in close-up or a first-person narrator. (Sanders 60-61)

Sander’s use of “adaptation” here would be more closely aligned to Elleström’s definition of “mediation”, as will be discussed in the following subsection.

It is arguable as to whether a performance of *Macbeth* without any changes to the text could be defined as having involved the process of adaptation, as is the case for the simple repositioning or abridging of the source text. If the repositioning does not require any amendments to the text, then is there actually a process of adaptation involved? If what Sanders calls “reinvention” only relates to the staging and not to the text, has the source text really been adapted?

There appears to be a difference within the language used when discussing a performance of a play’s script and that of an operatic score, particularly between different languages such as English and German. When a play such as *Macbeth* is performed as a live stage play, it is often discussed as being an “adaptation” in English. However, for a play or an opera, within the German language it is considered to be “eine Inszenierung” [“a production” or “a staging”], not “eine Bearbeitung” which is the equivalent of “an adaptation”, a term in English often used to define a production or staging of a play. The German director Oscar Fritz Schuh, who is discussed in *Part IV – Chapters 1 to 3*, also refers to “eine Neuinszenierung”(Schuh *So War Es* 52), meaning “a new production” or “a new staging”, inferring that the aesthetic qualities, historical period and/or other aspects have been altered to provide a new interpretation of the text, but that the medium itself remains unchanged.

In English, a series of performances of an opera is a *season* in terms of marketing, and the collective name for the organisation of all of the performances is a *production* or *staging* of the opera. It is not considered to be an adaptation: the adaptation is the composer's score itself. Therefore, at least in operatic circles, the composer and librettist are involved in the *adaptation*, the director, crew, conductor, and musicians are involved in the *production*, and the musicians and crew are involved in the *performance(s)* within the production. However, in film, it appears to be agreed by theorists that at least a large number of people are involved in the adaptation – or more accurately primary and secondary mediation processes – because of the likelihood that secondary target texts and secondary target media will require the creative input of numerous people.

The use of terms that define the process of actually presenting a play in the showing mode, as with many other terms within adaptation, appear to be used as synonyms for what originally were, or what should be separate meanings. The etymological details provided by the Oxford English Dictionary Online provide an interesting insight into the changes that the words have undergone as well as this synonymic modern usage. Approximately five years after *Macbeth* was completed, the first usage of *performance* as referring to “[t]he action of performing a play, piece of music, ceremony, etc.; execution, interpretation” is recorded (OED “performance” [entry 4.a.]). The use of the term *interpretation* as a synonym for *performance* in this context is one of the first signs of ambiguity within language in Adaptation Studies that the definitions in the Oxford English Dictionary highlights. A derivative from this then appears in the late seventeenth century, in which *performance* relates to individual instances of “public appearance” and again demonstrates the dictionary's use of synonym by continuing this definition as “an individual performer's or group's rendering or interpretation of a work, part, role, etc.” (OED “performance” [entry 4.c.]). The entries for *production* also show the change in usage that has resulted in related meanings that can nevertheless be separated. The first, recorded shortly before *Macbeth* was completed, refers to plural artistic products and the second to the action of producing various media (OED “production” [entries 2.b. and 5.a.]) The latter definition in entry 5.a. presents a synonymic form of *staging* within the description of the entry which relates to the “resulting work” despite some of the media examples provided in the entry not occurring on a stage. The entry for *staging* as a noun describes “[t]he action, process, or art of putting a play on the stage; stage-setting” which was first recorded in 1884 (“staging” [entry 2.b.]). Prior to this, the related usage was that of the verb form, with *to stage* referring “to [putting] (a person) into a play;... to represent (a character, an incident) on the stage” as initially recorded in 1602 (OED “stage” [entry 3.a.]) and “[t]o put (a play, etc.) upon the stage” only appeared in 1879 (OED “stage” [entry 3.c.]). All of these options derived from the actual erection of stage or scaffolding (OED “stage” [entries 1 and 2]) and not from erecting scenery upon a stage. The definition of *interpretation* as “[t]he action of interpreting or explaining; explanation, exposition” was first recorded used in 1382 (OED “interpretation” [entry 1.a.]),

but its first use as “the representation of a part in a drama, or the rendering of a musical composition, according to one’s conception of the author’s idea” is not noted as being used until 1880 (OED “interpretation” [entry 2.c.]). The more common usage within Adaptation Studies is that defined by Allen, who states that “[l]iterary texts possess meaning; readers extract that meaning from them. We call the process of extracting meaning from texts reading or interpretation” (1). This dissertation uses these four terms in the specific meanings as shown below in order to avoid the ambiguity of meanings that is highlighted above.

The term *performance* is an individual presentation: a person’s individual performance being related to the quality and manner of their acting of a character’s role. A *production* in any form of theatrical use is considered to be the combined ‘behind-the-scenes’ organisation from the initial decision through to the execution of the performance or grouping of numerous related performances, also known in some circles as a season of performances. In other performance-based adaptations, it refers to the behind-the-scenes organisation of an individual adaptation. Both of these divisions of context include *pre-production*, *performance* and/or *filming*, and where involved, *post-production*. The term *staging* is only used to refer to the organisation of visual and auditory aesthetics that assist during the transfer from the telling mode into the showing mode – as is detailed under the section on Linda Hutcheon’s *modes of engagement* in *Part I – Chapter 2*. These aspects include space, any element used in the presentation of visual imagery and symbolism, and/or any sounds, music⁵² or noises added to assist in an audience’s understanding during the showing mode. As discussed above, the use of ‘interpretation’ traditionally refers to a specific meaning of a textual element such as a word, phrase, or more general situation as described above (OED “interpretation” [entry 1.a.]). This term also appears to be used more generally to discuss the specific meaning of these aspects within the performance and/or adaptation of a source text (OED “interpretation” [entry 2.c.]). Leon Garfield and Michael Foreman’s transmedial work on *Macbeth* including the *Animated Shakespeare* series through to the storybook and audio cassette recording versions mentioned above also present an interesting choice of words that should perhaps be used in theoretical discussions: the audio recording advertises it as a “reinterpretation” on the cover (Garfield and Foreman), not an adaptation. In this case, the term is ambiguous, as Garfield had already produced two medial forms of the same story as shown in a previous subsection. Therefore, the “re” prefix could refer to either a new interpretation of the source text or of the target texts that had already been produced. No matter which relationship the “reinterpretation” has, it is nevertheless problematic, as it is an auditory-only mode which, as was discussed in *Part I – Chapter 2*, splits between the telling and showing modes. Additionally, whether this is an issue of interpretation defined by the first and/or second Oxford English Dictionary definitions

⁵² In the case of operas, the element of music is withdrawn from this definition.

is arguable. For the purposes of separating the definitions within this dissertation, however, *interpretation* is defined as with the traditional Literature definition, where it refers to the understanding and explanation of a specific meaning of a textual element, and is separated from the aspects of *staging* as defined above.

Structural techniques: 'repositioning', 'collage', 'amendment', 'abridgement'

These four simple and unambiguous terms related to techniques used during the phases of mediation require defining not because of any synonymic usage but purely due to their frequency within the data within certain categories of media. These techniques involving the text itself are some of the ways in which the conventional patterns will be shown to exist in intermedial adaptations of *Macbeth*.

A *reposition* involves text that has either been placed in another location within the same scene or in another scene or act. As will be highlighted during the analyses in this dissertation, this particular technique is evidenced to a great extent within the category of film, but is not within filmed former stage plays or television adaptations, suggesting a difference in the conventions of those media. The technique of repositioning is different from that of *collage*, where at any position segments of text have been brought together in a completely new structure that does not represent the structure of the source text. An example of collage in this case occurs in parts of Marowitz's adaptation, where segments from various scenes and acts are brought together (e.g. *A Macbeth*).

Abridgement is not a term that appears to cause any great challenge to agreement amongst intellectuals, and the version shown in the OED where *abridgement* is "[t]he action or process of making a shortened version or abstract of a longer text" (OED "abridgement" [entry 1.b.]) will be the definition used throughout all discussions of this research. The term is mentioned here due to its causal relationship to the other techniques, particularly that of amendment. Whether abridgement by itself is actually a transferral technique is questionable. However, it is included here because of its tendency to occur in conjunction with repositioning, as the two techniques often result in the need for the amendment of a text, as is demonstrated by the statistical analyses that are described in *Part II – Chapter 2*. Abridgement also has a relationship to the 'mediation' process, particularly where transfer occurs across both language and media (e.g. some *Macbeth* operas), where abridgement of ideas and concepts could often be a part of the process in order to conform to the conventions of the target medium.

In the context of this research, *amendment* is considered to be a technique used to adjust the text because of an abridgement or repositioning of text that has caused a potential meaning change, or because a meaning change or the language-based logic no longer applies due to other aspects of the

adaptation such as, for example, the gender of actors and characters not matching. These amendments can be as small as changing a proper noun or pronoun, or can be a relinking through a different conjunction.

PART II: Intermedial differentiation

Part II of this dissertation consists of the methodology for the quantitative research and presents the intermedial findings. *Part II – Chapter 1* outlines the methodology that has been used to define the differences and similarities of and the reasons for the structural conventions of text-types and their related media. The process for the collection of data related to the textual use within 75 adaptations of *Macbeth*⁵³ as well as the methods used to form the statistical and interpretative findings of the intermedial analyses are also presented. As part of the methodological definition, the categories of adaptation analysed are detailed and categorised lists of the specific adaptations analysed are provided, including those disregarded or unable to be accessed during the research. *Part II – Chapter 2* reports on and interprets the intermedial findings related to the structural patterns evidenced statistically. *Part II – Chapter 2* also discusses the effects to the narrative elements evident in the adaptations respectively, focussing on which narrative threads from *Macbeth* are deemed important or irrelevant by practitioners of adaptation. Following *Part II*, intramedial aspects of the statistical analysis are then discussed in detail in *Part III*, with further case studies following in *Parts IV* and *V*.

⁵³ One of the 83 adaptations, Welles' 1948 film, has four different editions that were analysed separately.

Part II – Chapter 1: Methodology

This chapter consists of three main sections that together define the purpose and the method of specifying the text-types and media that are analysed in this research. The first section defines the general methodological process underlying the use of a visual comparative representation (vcr): the reasons for and the creation of the vcr; how the vcr is formed; how the text-types and media within the vcr are used as the basis for the statistical analyses; and how the data was collated from the vcr. The section also contains a discussion of specific complications surrounding the use of *Macbeth* as a source text (e.g. additions to the First Folio) and methodological assumptions about the adaptations that were chosen for analysis. The second section describes how categories are able to be specified through examples that specify the structural conventions, constraints, and freedoms of various target text-types, including related elements of their intended target media. As will be shown, these conventions involve the way in which the *basic medium* of “tactile text” (Elleström “Beyond Media Borders” 56) is structured, which elements are used, in which way they are used within each text-type: all usually formed with foreknowledge of the medial requirements of the target medium. These structural conventions are the foundations of the proposal for *medial fidelity* presented in the *Introduction* of this dissertation. The process described in the second section of this chapter enabled the definition of text-types and media that form the categorisation provided in the final section in this chapter. This final section documents each of the medial categories, discusses the adaptations analysed within these categories, additional adaptations that were either discarded from the analysis or were unable to be accessed for this research, and the reasons why each of these decisions was made.

The methodological process

In discussing research methods in *Adaptation Studies* in 2015, Leitch posed a question: “Should researchers in adaptation be able to predict the appearance and characteristics of future adaptations?” (“Book Review” 274). Although the “appearance” of an adaptation is perhaps difficult to predict due to the variance of visual and auditory aesthetics within the production phase, correctly formulated data collection methods should at least allow for predictions of structural characteristics within the differing text-types that are used to prepare the productions that Leitch discusses. This would allow ‘prediction’ – or at least expectations – of how the textual elements of a source text should be formulated for each type of media: elements of which assist with understanding practical applications of *medial fidelity*. The research described in this dissertation, while limited only to adaptations of *Macbeth*, should therefore provide at least suggestions about whether structural patterns of future adaptations could be predicted. The findings resulting from the visual comparative

representation highlight these medial conventions and permit an overview of structural techniques employed by adapters in each field.

By stating that “there have only been a few serious attempts to understand in greater detail the nature of the theoretical framework into which adaptation must be placed: the transfer and transformation of form and content between all kinds of art forms and media” (“Field of Media” 114), Elleström shows that comparative research is unable to sufficiently define the processes of adaptation. However, the comparisons used in this methodology consist of a more comprehensive approach, simultaneously permitting comparisons across various different media. Because of this approach, the conventions of tactile text use within each text-type are able to be defined, and are able to be connected to the constraints and freedoms of productions that (knowing) adapters consider during the adaptation/composition phase. Adapters, at least knowing ones, are fully aware that “each medium and each mode of engagement brings with it not only different possible kinds (imaginative, visual, physical) and degrees of immersion, identification, and distance but also different critical traditions that have valued one extreme or the other” (Hutcheon *A Theory of Adaptation* 134). The approach undertaken here is more specific than what Cartmell broadly posits: “it is necessary to negotiate the differences... between the original conditions of the drama’s production and those of the film’s construction” (*Interpreting* 5). Here it lies specifically on the processes within the first of the two mediation phases.

The initial stage of research involved researching which adaptations had been produced and created and which of those were available or accessible at the time. Accessing and purchasing the adaptations was then attempted and in the cases where they were received, an assessment of whether the adaptation conformed to the requirements of the methodology was undertaken. The 75 that did conform were added to the visual comparative representation (vcr) using the software program *Microsoft Visio*, except for a few non-English language operas that were not related to literal translations which were later analysed in the intramedial findings. Some other non-English adaptations were also accessed and analysed, although they do not appear in the statistical analysis. The vcr was then used to form the statistical analysis contained in the findings in *Part II – Chapter 2*, with the quantitative research from the analysis being amalgamated into the case studies where relevant. It should be noted that although the sample size of *Macbeth* adaptations is relatively large, the sample sizes for each medial category are low. Although this means findings require patterns to be statistically confirmed by other source texts, observations contained within the findings do, however, provide enough support for the patterns of structural use.

The technical specifications for the visual comparative representation (vcr)

The practical application of Information Visualisation (InfoVis)⁵⁴, defined as a “graphical representation of data or concepts” (Ware 2), opens options for comparative research far beyond what standard adaptation comparisons can offer. The main purpose of the visual comparative representation (vcr) is “to comprehend huge amounts of data” (Ware 3), with the data from the analysis of dozens of adaptations shown together. When an InfoVis design is created with the right context for the targeted end user (Pettersen 3), the most important data should be accessible immediately (Ware 3).

The use of InfoVis complements the other qualitative methods that are undertaken in *Parts IV* and *V*. As InfoVis usually “envisio[n] information” (Tufte *Introduction*), patterns of medial usage literally become visible, as can be ascertained when examining the diagrams that constitute *Appendices A* to *D*. The importance of forming the vcr is that “[t]he very process of visualization is shrinking content for rationalization and presentation with patterns to serve as a basis for thought and practical action” (Damyanov and Tsankov 84). These visible patterns are then easily able to be converted into statistical form and theoretical concepts – such as medial fidelity – are able to be tested across a large amount of data. In addition, the capability of the digitalised visualisations of adaptations to be displayed in a large number of different groupings (e.g. chronological, by medium, comparative media, comparative adaptations) means that various possibilities and hypotheses can be tested visually for patterns.

The vcr was recorded using *Microsoft Visio 2016 Professional* software. A portrait format intended for digital use or A2/A3 size printing was created and each page of the analysis contains one to four scenes, depending on the number of lines within the scenes. The two main groups – *directed* and *printed* – defined later in this chapter were then split on each page, with *directed* adaptations shown chronologically in the upper section and *printed* adaptations shown chronologically in the lower section. A template for the text from the Arden 3rd Edition was situated above the upper category section for each scene. Primarily due to the software requirements involved in creating the vcr, line weightings for the textual structure of the original text required an approach that considered various aspects. Because of these requirements, the method which was followed in the formation of the line-by-line analysis of each adaptation involved applying a weighting of the length of lines taken from the Arden 3rd Edition. Lines were allocated (approximately) $\frac{1}{4}$, $\frac{1}{2}$, $\frac{3}{4}$ and full line lengths,⁵⁵ generally based upon the physical length of the printed lines, but also taking into consideration whether there were separable sections of the line that could be represented. For example, a line with three similarly long parts that was essentially the same length as one that had four clearly delineable parts, both of which

⁵⁴ Also known in abbreviated form as ‘infovis’ and similarly referred to as ‘infographics’.

⁵⁵ Each of the quarter-sized segments for a line of text was formed on one box of the software’s grid when set to the 200% zoom ratio. Each quarter was also able to be split into smaller segments if necessary.

were close to a full line, were respectively allocated a $\frac{3}{4}$ length (3 parts) and a full length (4 parts). The reasoning behind this was that the representation needed to be accessible to future researchers. A decision was made to follow neither the number of syllables nor the number of words, as both of these options involve similarly problematic methodological issues, particularly given that the performance of such lines often skews the actual length in terms of performance time. Lady Macbeth’s “Oh, oh, oh” (5.1.52), for example, often consumes a considerable length of time in performance, despite its short printed length, and performers are able to deliver other visually long lines quickly. When the list of adjectives that are presented by Malcolm are performed [“bloody, / Luxurious, avaricious, false, deceitful, / Sudden, malicious” (4.3.57b-59)], they are often given a great deal of emphasis with regards to the length of their performance. Neither syllable nor word counts take this issue into consideration. Additionally, in a methodology that was based on word count, Lady Macbeth’s three short sounds would also create a count of three words, compared to a word with five syllables such as “voluptuousness” (4.3.61), which would receive only a single count. This is an example where a visual representation provides a more accurate account of the internal structure. Following consideration of these and other methodological issues, a commonsensical balance between the visual perception of the lines’ lengths and the ability to visualise the textual structure within the software’s constraints formed the basis of the vcr. Although no theoretically pure method of measurement was found, the system that was applied to the line length was consistent across all adaptations.

Each adaptation ran from left to right in each scene’s line order and adaptations were separated vertically by one box in the grid at the same zoom ratio, with marks positioned at every fifth line⁵⁶ so that the representation could be traced down from the line numbering at the top for adaptations documented further down the page. The numbering is also used during analysis and discussions. However, for lines that are split between performers, they are shown with additional letters for each part of the line. For example, 1.1.8a, 1.1.8b, and 1.1.8c:

1 WITCH	I come, Gray-Malkin.	(1.1.8a)	
2 WITCH	Paddock calls.	(1.1.8b)	
3 WITCH	Anon.	(1.1.8c)	(Arden 129)

A full legend that defines the elements of the visual comparative representation is provided before the opening scene in *Appendix A*. However, the main colourations and shapes used for each of the various aspects is shown below in Table 1.

⁵⁶ Corresponding to the numbering in the Arden 3rd Edition.

dark grey	verbalised/used/set lines or partial lines
light grey	lines or partial lines that were not verbalised/used/set
yellow colouration	lines or partial lines that were re-positioned, with thick outline around the entire section relevant
- shown with an arrow	within a scene on the same page
- shown with an arrow and a boxed letter	re-positioned to another page
a small yellow circle	to represent word order changes across two lines of text
a yellow diamond	to represent words re-ordered within a line of text
added red elements	additional text
- vertical elements	the additions occur before or between lines
- horizontal elements	the additions occur within a line
purple	represents intentional alterations made due to the re-positions, the re-setting, gender changes and the like (intentional structural and/or textual changes)
a line or partial line split vertically with at least one of the split lines coloured yellow	repeated text
light green	displays a line or partial line where the language has been altered and the approximate meaning is maintained
light pink	an opposite that is used from what is contained in the original
dark blue	text that is not heard but where the player's/actor's lips move to the word and is assumed to be an error within editing or due to the recording technology
light blue	text that was possibly used but due to other noises or music could not definitely be discerned and observation of lip movements was not possible
grey-blue	apparent cuts were made to operatic scores after composition, presumably due to production requirements or revisions made by the composer
jagged lines placed in the foreground	separate lines and/or repetitive text spoken – usually in the auditory background – at the same time.

Table 1: examples of the colouration and forms used in the vcr (Appendices A to D)

The purpose of using the colours and shapes to represent various usages of the text is to highlight the patterns involved in medial fidelity. An examination of the comparisons of each medial category as groups in *Appendix B* reveals the patterns visually. For example, films tend to demonstrate a high proportion of yellow (repositions) when compared to other media, modern *directed* media tend to demonstrate more red (additions) than other media, and graphic novels often demonstrate a speckled pattern, meaning that they often use parts of lines of text and not entire lines of text. Another example is that of audiobooks, which are essentially solid dark grey because of the unabridged purpose of their production, with regular red additions directly before scenes and where characters enter, most of which are additional announcements to assist listeners know who is speaking. Operas often omit the same scenes, which is visible through the shift to light grey in certain scenes involving the English forces within Act 5. Visual examination of certain individual adaptations (e.g. Bloch's opera, Marowitz's *A MACBETH*) contained in *Appendix C* reveals that these adaptations are full of colours and lines, showing repositions and repetitions.

Methodological considerations

As discussed previously in *Part I – Chapter 2*, Hutcheon's concept of *modes of engagement* is problematic due to the necessity for media to conform to one mode or another. The additional constraints of previous research, which is predominantly based on screen media, have combined with theoretical difficulties to create a situation where a fuller understanding of adaptation has been restricted. As Esslin states:

it is important to be able to recognise the essential features that are present in stage, cinematic, television (and perhaps radio) drama so as to be in a position to explore, equally clearly and usefully, the technical, technological and psychological differences that arise from the different modes of conveying those essential dramatic features to their recipients: the public of stage, cinema, television (and perhaps radio). (30)

It is for reasons such as these that this research has included as many adaptations of *Macbeth* as practicable from across as many differing media types as possible. While certain media such as novel adaptations have not been included, there are a considerable number of adaptations that are both screen-based and non-screen-based media, all of which are defined and categorised in the second main section of this chapter. As one of the key hypotheses of this research involves a division into *medial fidelity* and *aesthetic fidelity*, the methodology targets this issue through the collation of data that could be used primarily to assess the differences in the use of the *basic media*⁵⁷ in comparison to the source text, defined as *textual fidelity* in this dissertation. This target involves separation of the processes in the *adaptation/composition* phase and the *production* phase. However, doing this in a singular method is all but impossible because of the availability of the text-types of older adaptations. Therefore, a retrospective analysis during the creation of the vcr for the *directed* adaptations is required: the analysis of a 'product' as if it were the text-type of an adaptation. As the text-types (e.g. screenplays) for many of the productions (e.g. films) were unable to be sourced, the same process of analysing all productions was undertaken in order to maintain the same method for all of the *directed* adaptations.⁵⁸ The methodological considerations that are defined in the following parts of this section include the weight-adjusted line lengths of the parallel statistics, which were necessary due to the differences between the First Folio and the 'additional text', as well as the assumptions made about directed adaptations.

⁵⁷ Elleström's concept as already discussed in *Part I – Chapter 2*.

⁵⁸ The only exclusion is that of Welles' 1936 'Voodoo' *MACBETH*, which is shown directly before his 1940 audio recording and his 1948 film, despite having been formulated from the script – ironically the oldest production, for which a text-type is available. This was done to ensure the comparison between his forms was simpler within *Appendix A* was easier to accomplish in comparison with any other adaptation due to the popularity of Welles within research. As his stage production is also an equivocal adaptation, it is nevertheless included in various statistical tables in *Appendix E*.

Act and scene lengths and parallel statistics: the ‘additional text’ and the First Folio of *Macbeth*

The adaptations analysed within the vcr were based upon – at least predominantly – the ‘original’ text. Other adaptations were excluded in order to minimise any variables that additional influences and effects created by foreign language translations and modernised-English adaptations, particularly where a back-translation into English from the translated target text would be required in order to quantify the text that was used. In the intramedial analysis in *Part III*, foreign language operas were used in order to determine whether there were different usages of the text. However, in the only case [Koppel] where quantification of a foreign language opera occurred within the vcr, the Danish libretto was taken directly from a 1908 literal translation of the original text.⁵⁹

The use of *Macbeth* as the source text presents one crucial aspect that complicated the quantitative data: Hecate. For as “much as we may regret her presence” (Nosworthy 138), academic thought is that there are textual elements related to the character of Hecate that have been added in historical periods following Shakespeare’s life, supported by inconsistencies in the text (Dawson 14). This is despite the conclusion that “Shakespeare himself is ultimately responsible” due to “the allusion to Hecate” (Nosworthy 138) in 2.1.52. The additions are the scene referred to as 3.5 and a minimal number of lines in 4.1.39-43 and from 4.1.124-131 (Clark, ARDEN 322). Although arguments for fidelity would suggest that these sections be removed, there are nevertheless some adaptations that include these lines or, more interestingly, parts thereof. Even a recent Indigenous Australian translation and adaptation “[brought] the goddess of witchcraft Hecate, a minor character usually omitted from performances of the play, to the forefront” (Sebag-Montefiore). As the inclusion of Hecate may be of relevance to some theorists and practitioners in the future and to allow future researchers to assess potential impacts and differences resulting from the additional text, these additional lines of text are also included in the findings: one set of statistics includes the lines, the other discards them. However, the statistically-based discussions of findings in the following chapter will exclude these sections due to the need to reduce variables.

⁵⁹ Further details of considerations in this regard are detailed in *Part III – Chapter 3*. Discussions of the specific issues of analysing in combination with the Danish text are contained within Case Study 1 in *Part IV*.

Following the completion of the vcr, the statistics for each scene and act in *Macbeth* were able to be totalled by combining the total weight-adjusted line count. The weight-adjustments entail a different total to a simple ‘count’ of lines from that in the Arden 3rd Edition because short lines that are counted as a full line in the printed format of *Macbeth* are only counted as partial lines in the vcr, meaning that multiple small printed lines reduce to a lower number of weight-adjusted lines.⁶⁰ From this adjustment, the percentages of each scene are shown below in Table 2 with relation to the percentage of the entire play. The weight-adjusted totals are also displayed for each scene in Figure 36 on the following page.

	1.1	1.2	1.3	1.4	1.5	1.6	1.7	2.1	2.2	2.3	2.4
Weight-adjusted lines (Arden 3rd)	7.00	57.50	123.75	50.25	66.00	27.75	76.75	54.75	67.75	127.75	38.00
Overall percentage	0.389	3.199	6.886	2.796	3.672	1.544	4.270	3.046	3.770	7.108	2.114
Weight-adjusted lines (First Folio)	7.00	57.50	123.75	50.25	66.00	27.75	76.75	54.75	67.75	127.75	38.00
Overall percentage	0.396	3.254	7.002	2.843	3.735	1.570	4.343	3.098	3.834	7.229	2.150

	3.1	3.2	3.3	3.4	3.5	3.6	4.1	4.1	4.2	4.3
Weight-adjusted lines (Arden 3rd)	127.25	49.50	18.25	127.25	22.50	46.00	106.75	7.50	69.50	218.50
Overall percentage	7.080	2.754	1.015	7.080	1.252	2.559	5.940	0.417	3.867	12.157
Weight-adjusted lines (First Folio)	127.25	49.50	18.25	127.25	NA	46.00	106.75	NA	69.50	218.50
Overall percentage	7.200	2.801	1.033	7.200	NA	2.603	6.040	NA	3.933	12.364

	5.1	5.2	5.3	5.4	5.5	5.6	5.7	5.8	5.9	Total
Weight-adjusted lines (Arden 3rd)	61.25	27.25	54.50	18.50	44.00	9.25	25.50	29.75	37.00	1797.25
Overall percentage	3.408	1.516	3.032	1.029	2.448	0.515	1.419	1.655	2.059	100.000
Weight-adjusted lines (First Folio)	61.25	27.25	54.50	18.50	44.00	9.25	25.50	29.75	37.00	1767.25
Overall percentage	3.466	1.542	3.084	1.047	2.490	0.523	1.443	1.683	2.094	100.000

Table 2: The weight-adjusted totals and percentages of scenes in *Macbeth* based on the vcr (Appendix A)

⁶⁰ Although a universally-acceptable system for weighting is unlikely to ever be found, the purpose of the adjustment difference is to permit a structural value more closely aligned with performance length rather than formatted print length or the number of syllables. The weighting also related to the physical and technical aspects of the software program as described earlier in this chapter.

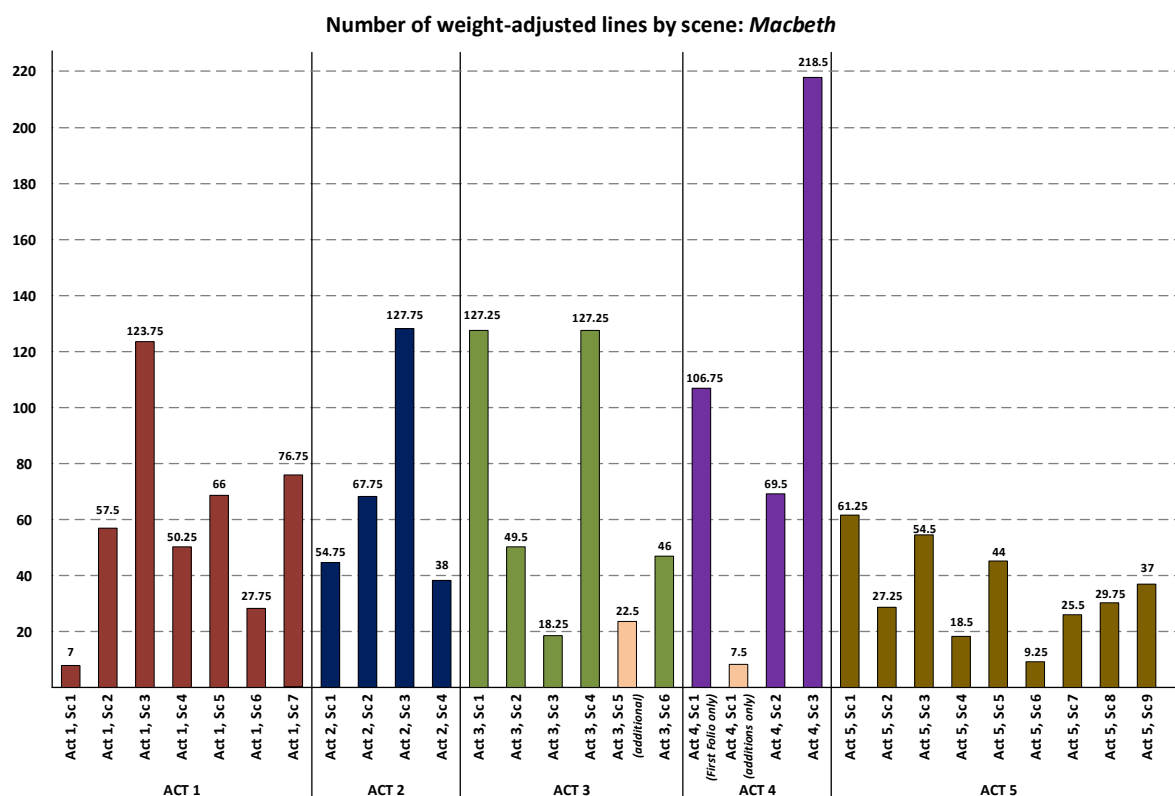


Figure 36: The weight-adjusted totals of scenes in *Macbeth* based on the vcr (Appendix A)

In addition to providing the totals adjustments for each scene, the totals for each act of the First Folio version are also presented in Table 3 below, with both versions presented in Figure 37 on the following page. It should be noted that the First Folio comprises 98.33% of the weight-adjusted text from the Arden 3rd Edition with the additional text being only an increase of approximately 1.7% of the overall weighted-line text within *Macbeth*. Therefore, the removal of the Hecate scene and sections in 4.1 alters only a small proportion of the data, which justifies the use of only the First Folio text in statistical discussions.

	Act 1	Act 2	Act 3	Act 4	Act 5	Total
Weight-adjusted lines (incl. Arden 3rd)	409.00	288.25	390.75	402.25	307.00	1797.25
Overall percentage	22.757	16.038	21.742	22.381	17.082	100
Weight-adjusted lines (First Folio)	409.00	288.25	368.25	394.75	307.00	1767.25
Overall percentage	23.143	16.311	20.837	22.337	17.372	100

Table 3: The weight-adjusted totals and percentages of acts in *Macbeth* based on the vcr (Appendix A)

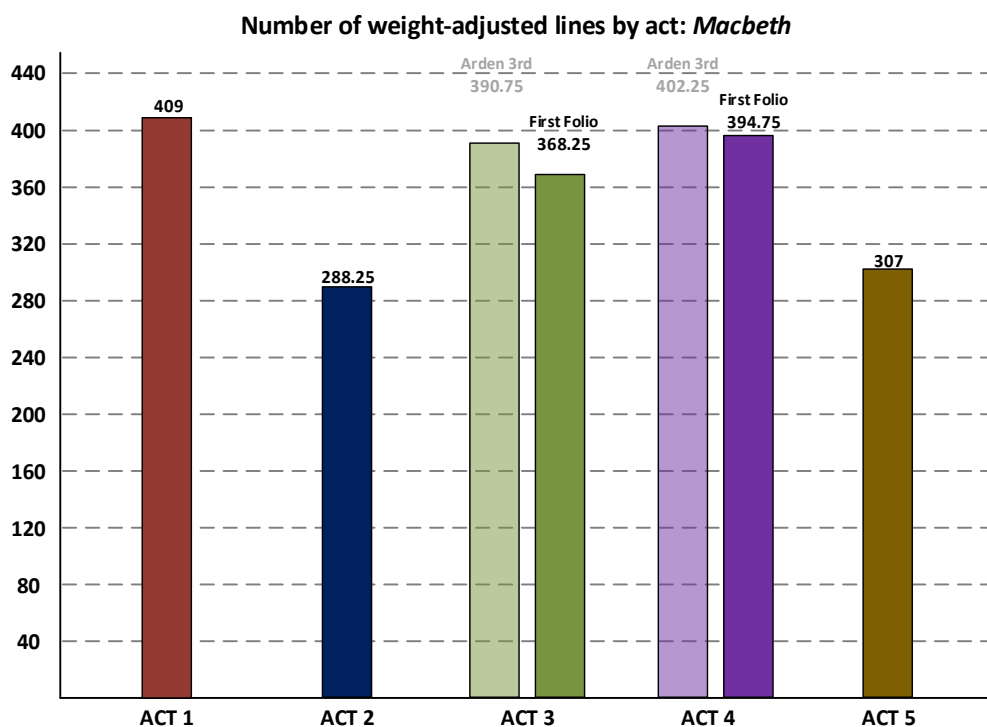


Figure 37: The weight-adjusted totals of acts in *Macbeth* based on the vcr (Appendix A)

Another issue that must be addressed related to quantifying line lengths is that of additions made by adapters. Instances of additional text were noted in the vcr, but their percentages could not be quantified, as the quantification of the text requires a base form and length with which to make proportional comparisons. This difference is important with regards to the percentage of text described in the statistical findings. As the additional text is not included, no matter whether it was only one word or several lines of text, the correlations of length of production and percentage of text are without doubt affected to at least some extent. This is because the number of instances is minimal – or indeed non-existent – within most adaptations, but in some there are instances where significant amounts of text were added. For example, sections that were not contained in the Arden, such as in Nicholas Gatty’s opera, where Fleance discusses his plans prior to fleeing Scotland.⁶¹ Therefore, the overall percentage of an adaptation’s text does not truly represent the true length of every adaptation⁶² and should, in these cases, be considered in combination with the number of instances noted.

Written ‘noises’ such as oh’s, ah’s, and those associated with knocking, bells, slaps, hits, and trumpet fanfares, were not marked as additions in the graphic novels. However, in these instances, there is

⁶¹ Discussed in more detail in *Part III*.

⁶² Theoretically, an adaptation could have more than 100%, such as audiobooks that are already shown as using 100%, but also have additions for the inclusion of the name of a character that has entered.

possibly a difference between the *telling* and *showing* modes of engagement with relation to the difference between written text and any visual and auditory signals which should be considered. Similarly, in performed adaptations, verbal additions such as these were also not recorded as instances of additional text. There are also some minor discrepancies that occur between published versions of *Macbeth* which were not counted as instances of change or addition. Some adaptations include the word “break” at the end of 1.2.26 [“Shipwrecking storms and direful thunders (break)”] which is not included in the Arden 3rd Edition (133), but can be found in other publishers’ versions (e.g. Shakespeare *The Tragedy of Macbeth* 12 [Reclam bi-lingual edition]; Shakespeare and Hodek 923). These were considered as synonyms, as such, and were therefore disregarded.

Necessary assumptions about the text-types and media products

During the analysis, certain assumptions were made in order to maintain consistency across the media and adaptations. It was assumed that the actors and actresses in directed adaptations performed the lines in the order shown intentionally, meaning that no text was accidentally forgotten, repeated, or performed a position other than that of the player and director’s intention. Similarly, the assumption was made that the text used in the ‘product’ was not altered from the original intention of the text-type. This was despite there being obvious faults with the transfer of film and sound data in some of the adaptations.⁶³ Similarly, as mentioned earlier, using the result of the *production* in place of the text-type that the production was based on means that, for example, the quantitative analysis of editing during the ‘post-production’ phase of film productions may not correspond to the screenplay itself. It has been assumed that this was not the case because of the necessity to standardise the method across all directed adaptations.

In order to minimise potential inconsistencies created by the published version of the source text being used, synonyms and minor changes to the word used were assumed to be due to versions being used that differed from Arden, and further assumed not to be due to the director’s intentions to amend the play. However, replacements due to aspects of structural changes and/or resetting issues were noted as amendments.

The quality of performance and the players as well as the quality of the location and recording technology was assumed not to have affected the intentions related to the structure chosen by directors. This assumption was made despite issues associated with the venue, such as those evidenced in the Appleby adaptation performed outside at Bank Hall, where the acoustics prevented

⁶³ These instances are noted in each of the appendices involving the vcr. This issue also relates to the retrospective analysis of product back to text-type discussed earlier.

players from hearing the lines spoken by others, leading to early and out-of-order entries. In these cases, the assumption was made that these instances were intentional, despite the reactions of the players that suggested otherwise. In the case of the production mentioned, this issue resulted in it being presented as an outlier, as the findings were obviously affected by the acoustics of the venue and not the intentions of adaptation.⁶⁴

With regard to editing and post-performance cuts made to the adaptations as presented, the text was represented in the vcr as provided, even though the final 'product' might not have been the original intention of the director and the overall production group. This was the case with all media represented, including printed adaptations where it is possible that pages were missing or incorrectly printed.⁶⁵ Similarly, although the original technology (for example a film adaptation released on VHS tape) may have been replaced by more modern technology (for example, the same film adaptation on a DVD), it was assumed that the digitalised re-release had not changed the structures of the original.⁶⁶

Each adaptation was analysed and then subsequently re-checked. However, it should be noted here that over the period of time involved in the research, multiple forms of technology were used, potentially resulting in discrepancies due to region codes.⁶⁷ Any discrepancy in these cases results from potential censorship of *Macbeth* adaptations within specific cultures, although this issue is not developed further in this research.

⁶⁴ The problem of acoustics was confirmed by Stephen Singleton, who performed the role of Macbeth in the performance.

⁶⁵ No cases were noted where this appears to have occurred, but it is possible in some of the manuscripts of operatic adaptations, such as Bibalo's opera, where additional sheets were attached by the controlling publisher.

⁶⁶ One example where this has occurred is that of Paul Almond's 1961 television adaptation, where it appears that some of the footage from the original rolls was either damaged or did not transfer properly. In any situation where this was notable in any of the adaptations analysed, the vcr notes where this occurs, but cannot quantify how much appears to be missing.

⁶⁷ For example, Region 9, Region 2 and Multi-Region DVD players were all used at various stages.

Structural conventions, constraints, and freedoms of text-types and their media

As the focus of this dissertation is mostly to develop the understanding of the processes involved in adaptations prior to the production phase, it is important to define how the basic medium of tactile text is actually used. This requires a breakdown of the elements involved in writing within each text-type, as each text-type has different structural conventions that need to be clarified. Hutcheon states that “a dance work, a musical, a television show each has its own composite conventions and, some would say, even its own grammar and syntax that all operate to structure meaning for the perceiving audience” (*A Theory of Adaptation* 35). As will be shown, this is literally true, but within the text-types that begin the mediation processes. It is the elements – including the components mentioned by Hutcheon – that are important. For example, the grammar of each text-type is used differently for different circumstances: the actions in novels are (traditionally) written in the past tenses and aspects – at least for 3rd person narration, whereas directions in printed stage plays and “action” lines in screenplays (e.g. for television and film) are written in present aspects. This relates to the belief that “the essential difference between the narrative and the dramatic mode: the narrative, when read is perceived as lying in the *past*, the dramatic, as Goethe and Schiller pointed out in their classic discussion of the matter, creates an eternal *present*” (Esslin 25). Giddings *et al.* also suggest the same: “In moving pictures the visual precision of the image impresses a sense of immediacy, of the here-and-now, which creates a sense of the continuous present. Film is now, as you see it” (xiii). Certain other conventions are also common or different between media, such as what Cartmell calls “cinematic codes” (*Interpreting* 6), providing examples of shifts:

[W]e come to know that ‘fade out/fade in’ announces a passage of time; a ‘cut’ indicates a change in narrative direction, blurred focus prepares us for a flashback or dream sequence. (Cartmell *Interpreting* 6)

Such changes are possible in media that are produced from screenplays, where the terms are used in written form. Novels use other techniques: e.g. space and/or symbols between sections to demonstrate changes in time and/or narrative direction, and reported speech and reporting verbs related to mental activity. Theatre-based media have other effects, such as scene changes, lighting and/or sound effects for time and/or narrative changes, and monologues, asides, and pre-recorded voice-overs for interior actions. Opera additionally has the ability to switch to a different style of singing, a different style of music, or simply a different structure within the same scene such as arias.

All of the issues just mentioned are elements that can be separated from receptive judgements made about the production phase. The visual and auditory aesthetics that drive screen-based media are not definable during the adaptation/composition phase, as the screenplay writers would not (normally) be aware of who would be performing certain roles, nor would they be aware of how or where the director would be likely to set the screenplay. While there are likely to be exceptions that involve close

collaboration between writers, producers and directors during the adaptation/composition phase, the written form would generally contain only simplified versions of what could be visually and audibly expected. Once again, these aspects can easily be related to the reception phase, this time where Cartmell defines “cultural codes, such as set and the historical trappings of the production, influence our judgement. We tend to expect that the more painstakingly accurate the set is, the more ‘faithful’ it is to the ‘essence of Shakespeare’” (*Interpreting* 7).

Part of the reason that some media contain different approaches is the difference between Hutcheon’s *modes of engagement*, as discussed in *Part I – Chapter 2*. Although this concept is problematic for various reasons, the different receptive mental processes necessitated by the requirement for imagination while reading a novel (*telling* mode) and the involvement of perception while watching a film (*showing* mode) mean that certain elements of tactile text are either needed or can be discarded within the text-types. Part of the reason that screenplays involve less text is the ability of its target medium (film) to simultaneously present information for perception:

The screen image can establish diverse relationships between a variety of characters and objects which enable the viewer to make simultaneous judgements on the action and relationships shown; in addition, a great deal of information can be conveyed almost instantaneously by presenting a character or event against a background which can establish a complex of secondary information. The close shot of a character’s face, by which meaning can be conveyed by the slightest movement, and the use of sound to emphasize, prepare, or undercut the screen images are also features which can greatly enhance the narrative. (Giddings et al. 20-21)

As was mentioned above, certain elements are observable in particular media. As the development of new forms involved the incorporation of elements from pre-existing media with newer concepts and/or technologies, this is not surprising. However, something always separates each medial form, despite any similar elements. As will be demonstrated in the statistical findings in the following chapter, one of the separations between media is that of the percentage of text used. This has most likely occurred because of the constraints and freedoms of each medial form, particularly related to production.⁶⁸ There are other intermedial overlaps and observable influences that have been noted in the past. Davies questions whether Welles’ “original stage production governed [his] cinematic realization” (92).⁶⁹ Discussing the historical progression from novel to stage to film, Giddings *et al.* highlight the elements of tactile text that were incorporated into each medial form:

Historically, the novel succeeded the drama, but absorbed some of its qualities (character, dialogue) while adding possibilities of its own (interior monologue, point of view, reflection,

⁶⁸ This issue will be discussed in more detail at the end of this section.

⁶⁹ The visual comparative representation in *Appendix D* presents a comparison of the multiple adaptations by Welles. These would tend to suggest that the stage version and the film version are related only to the aesthetics of production and not the structural decisions of the adaptation/composition phase.

comment, irony). Similarly, film initially followed the basic principles of narrative prose and copied stage drama. (Giddings et al. ix)

Alec Guinness discusses the differences between stage plays and films in terms of his role as an actor being affected by their production processes not being the same. He states that his approach to acting would be different depending upon the structural order of the production, highlighting his experience of the difference between a live performance and an edited form of his performance:

[I]n the theatre you're your own boss. If something has to be cut... then you can mould your performance around that gap, or if something extra goes in, whatever the case may be. Whereas acting for the films, which has its other delights, ah, if something goes you cannot adjust your performance if it's snipped at the end. I mean, I've seen performances of myself on the screen in which the end has been put at the beginning, and vice versa, and if I knew that had been going to happen, I would have performed differently throughout. And so I feel I'm not my own boss. (Guinness and Syms [narr.])

There are many other elements of writing that require definition if medial categories can be objectively formed. For example, that of narration. There are many definitions that have been made about whether narration in literature equates to narration through a camera in screen-based adaptations (see, for example, Schmidt 39). Essentially, in his summary of these definitions, Schmidt concludes that most agree about "the existence of some overall control of visual and sonic registers where the camera functions as an intermediary of visual and acoustic information". It is clear that the "intermediator" is difficult in first person roles, confirmed by Hutcheon: "Attempts to use the camera for first-person narration – to let the spectator see only what the protagonist sees – are infrequent" (Hutcheon *A Theory of Adaptation* 54). Nevertheless, an example such as an episode from Season 7 of *M*A*S*H*, not surprisingly called "Point of View" (Ken Levine) is filmed purely in what the screenwriter calls "subjective camera, as seen through the eyes of Private Bobby Rich". One constraint of this 'first person' intermediary approach is the use of cameras and lighting, particularly due to the size and complexities often associated with the use of television cameras. As can be seen from the small number of examples of similarities and differences above, the definition of elements used within the text-types is necessary before a definition of each medial category is possible. Therefore, the following subsection will provide detail about some of the text-types used in adaptation. The examples used include forms that were not analysed during this research, but are provided because of their relevance to the historical influences mentioned above, as well as the theoretical discussions that have been included in this introductory section. Following this is a brief discussion about the effects of various constraints and freedoms that affect the *production* and *reception* phases, particularly due to financial concerns involving production. These issues are part of what *knowing adapters* are aware of during the adaptation/composition phase.

The conventions of structural aspects: examples of various text-types

The following pages present tables of the conventions of various structural aspects and their elements within the text-types that are involved in the adaptation/composition phase.⁷⁰ These aspects include the layout and formatting, dialogue, and, in the case of text-types that lead to a category of *directed* media, any forms of description related to the visual and auditory aesthetics that are to be employed during production. The text-types of novels and semi-interactive novels, although not contained in the vcr, are included to provide subtle differences to other text-types. This section does not intend to show every type of text-type that is involved in this research, let alone in the phases of creating all media. However, the examples provided are given in order to highlight the specific elements of similarity and difference within the use of tactile text (Elleström "Beyond Media Borders" 56).

The tables that complete this subsection detail similar information. It is possible to see the similar elements in another format. For example, novels and semi-interactive novels both contain the same options for grammatical tense within verbs for action and reporting speech. However, there are other elements that are different, such as the change from chapter to numbered sections in semi-interactive novels.⁷¹ The following tables in this subsection represent the conventions within:

- a) *printed stage plays* (Table 4);
- b) *novels* (Table 5);
- c) *semi-interactive novels* (Table 6);
- d) *graphic novels* (Table 7);
- e) *screenplays for film* (Table 8);
- f) *notated operatic scores* (Table 9).

A brief discussion of television scripts is undertaken following Table 8, and a further explanation of the use of text in notated operatic scores follows Table 9, including explanations of notated examples.

⁷⁰ The information within these tables is collated from decades of professional experience in lyrics, libretto, and composition writing, work as a film composer, playwright and author, and over a decade of teaching writing courses at university, as well as information attained during courses as a student (e.g. Film Studies). Details have not been taken from specific sources unless marked (e.g. the discussion about television scripts following Table 8, which is an area where no professional experience has been attained). There are most likely lists that are more comprehensive than the tables that are available for each of the text-types in other sources. However, for the purpose of this research, the conventions and elements shown in the tables provide enough detail in order for the concepts to be discussed.

⁷¹ It should be noted that the elements do not include major differences. For example, semi-interactive novel adaptations usually require the creation of new storylines not in the source text because of the options that the reader must be presented with. These adaptations usually at least maintain the characterisation and setting of the source text(s), but vary greatly in what occurs.

Printed stage plays [primary target text-type, involves two target media, <i>printed</i> and <i>directed</i>]		
Structural aspect	Element	Convention
Layout and formatting [Note: the general page size of a play varies greatly, and can be in script size (letter / A4) or smaller than a novel size book]	Acts	Acts are usually numbered and can be separated by phrases such as “End of Act 1”.
	Scenes	Scenes are usually numbered and are visually separated through various methods such as new pages, larger, bold font as the scene heading, and endings such as “Exit/Exeunt” or “Curtain closes/falls”
	Speaking character’s name	Styles vary, but these are usually shown in upper case letters, sometimes in bold font, with colons, line changes, or indents before the first line of dialogue.
	Lines of dialogue	Dialogue may begin after a colon, after an indent, or on the next line. If it begins after a colon or an indent, on the second line it may continue directly underneath the speaking character’s name or remain indented. When the speaker changes during a line of blank verse or rhyming verse, the following parts of the line are indented further. e.g.: 1 WITCH I come, Gray-Malkin. 2 WITCH Paddock calls. 3 WITCH Anon. (1.1.8 [a, b, and c])
	Name of characters in performance directions	Action: During performance directions, a character who performs or receives an action is often shown in upper case letters. Inaction: Characters that are not involved in an action but are mentioned are usually not shown in upper case letters. Non-speaking roles: these “extra” roles are not usually shown in upper case letters.
Page markings	Page numbers are usually included. In most styles, the act, scene, and line number of the first line on each left-hand page is usually shown, as is the act, scene and line number of the last number on the right-hand page.	
Dialogue	Spoken text	No quotation marks unless explicit sarcasm is intended to be performed.
	Reporting verbs	Emotion-based: If reporting verbs contain emotional content, they are usually converted into brackets with italicised font as performance directions and are placed between the speaking character’s name and the line of dialogue. Neutral: Reporting verbs that <i>do not</i> suggest volume (e.g. “to say”, “to state”, “to ask”, “to enquire”) are usually omitted. Reporting verbs that <i>do</i> suggest volume (e.g. “to call”, “to yell”, “to scream”, “to whisper”) are converted into performance directions within brackets and in italicised font and placed between the speaking character’s name and the line of dialogue. Adverbs: rarely used to alter the verbs.
	Receiver	If a specific receiver of the line of dialogue is important (i.e. the object of a transitive reporting verb in a novel), their name is placed in brackets (can be in italicised text) as performance directions and placed between the speaking character’s name and the line of dialogue. For example: MACBETH I am a man again. [to Lords] Pray you, sit still. (3.4.106)
Descriptions of any elements of visual or auditory aesthetics	Interiority	Traditional: asides and monologues. Technological: for pre-recorded voice-overs.
	Setting	The setting, if provided, is usually provided in a simplified and general form, often without any adjectives. Formats differ, but often the text can be italicised at the beginning of the scene before any dialogue.
	Lighting and sound	Important lighting and sound elements and motifs are usually mentioned in basic forms within the setting and/or stage directions without detail unless something specific is necessary for audience understanding. Duration of the effect is normally not specified. e.g.: 1.1 <i>Thunder and lightning. Enter three WITCHES.</i>
	Verbs	Any actions that require enacting are written in simple present.
Relation to target medium	Adjectives	Character list: basic descriptions are usually contained to character lists before the play. During: usually only to describe important changes to characters in the scene setting or as performance directions.
	Audience	Perspective: Usually a fixed position directed at the stage. Timing: A fixed (approximate) time with lineal progression as produced.
	Mode of engagement	(For live audiences) Predominantly visual and auditory (<i>showing mode</i>). Arguably, some interaction occurs in traditional settings and can occur in modern formats.

Table 4: The conventions of structural aspects in printed stage plays

Novels [primary target text-type/target medium]		
Structural aspect	Element	Convention
Layout and formatting <i>[Note: the general page size of a novel is roughly 6 x 9 inches]</i>	Chapters	Chapters are usually numbered and/or named.
	Sections	Sections usually begin with a non-indented paragraph, with following paragraphs being indented. They can be marked with sub-headings or time markers (e.g. “ <i>Three years later</i> ”). Sections are often separated by breaks using space or small symbols such as asterisks, stars, or the like.
	Speaking character’s name	Position: there are multiple positions that are possible: with a reporting verb before or after the quotation marks around the spoken line(s). Omission: In some cases, the speaker’s name is not necessary if it is obvious from context. Pronouns: The speaker’s name can also be replaced by personal pronouns if the context makes it clear who is speaking.
	Lines of dialogue	Format: Dialogue may begin after a colon, a comma, or start a paragraph/line. It is signified as being dialogue by the use of surrounding quotation marks. When the speaker changes during a dialogue, a new paragraph is normally begun (Note: in the case of two speakers only, the speaking character’s name is not necessary in every new paragraph that occurs when the dialogue switches speaker.)
	Punctuation	Unlike some languages, the punctuation in English goes inside the quotation marks only, and any question marks or exclamation marks do not require a comma following the quotation mark at the end of the spoken line(s).
	Names during narration	Action: During 3 rd person narration, a character who performs or receives an action is often shown normally: in 1 st person narration, a personal pronoun is used.
	Page markings	Page numbers are usually included. In some styles, the chapter number/name is centred at the top of the page.
Dialogue	Spoken text	Quotation marks are used. Sarcasm and emphasis are italicised. Yelling, upper case.
	Reporting verbs	Reporting verbs are used with a speaker’s name to show who spoke and how they spoke. They are commonly altered through the use of adverbs. Traditional styles involve past tense/aspect reporting verbs, although some more modern forms and some children’s novels use the present tense/aspect.
	Receiver	If a specific receiver of the line of dialogue is mentioned, for example using transitive verbs, their name normally follows the mention of the speaker. For example: “I am a man again,” Macbeth said, before turning to the Lords. “Pray you, sit still.” (3.4.106)
	Interiority	Traditional 1: shown inside quotation marks with reporting verbs such as “to think”, “to ponder”, “to wonder”. Traditional 2: indirect speech can be used to report what the character was/is thinking (without quotation marks). Modern: shown simply in italics, sometimes with additional indentation or other font effects.
Descriptions of any elements of visual or auditory aesthetics	Setting	The aesthetic description of the setting is as detailed as the author desires, with a focus on adjectives and adverbs. This occurs anywhere in the text to describe settings that are new or for any elements of the setting that have just been noticed by a character. Any new object that appears is normally described with an indefinite article the first time it is mentioned and then with a definite article from the second mention – or with a new character’s name from when it becomes known.
	Lighting and sound	Important lighting and sound elements and motifs are usually mentioned as part of the setting information.
	Verbs	Traditional: Any actions that require enacting are written in past tenses/aspect. Modern/Children: The present tense/aspect is used in some modern styles and in some children’s novels. Tense form: simple and continuous used for different reasons (e.g. continuous for long-term actions, simple for a short-term action).
	Adjectives	Characters and any other aesthetic elements are all described using adjectives and adverbs, once again in as much detail as is desired by the author.
Relation to target medium	Audience	Perspective: The reader’s perspective can be changed at any stage, although switching perspectives can lead to confusion if not clearly defined. Narrator can also change between 1 st and 3 rd person forms. Time shifts are also possible. Timing: The reader can start and stop at any time and can read in a different order from that intended by the author.
	Mode(s) of engagement	All aspects must be imagined (<i>telling mode</i>). Some elements may be related to <i>showing modes</i> (e.g. book covers, audiobooks or adapted films already seen).

Table 5: The conventions of structural aspects in novels

Semi-interactive novels [primary target text-type/target medium]		
Structural aspect	Element	Convention
Layout and formatting <i>[Note: the normal page size of a novel is roughly 6 x 9 inches, though semi-interactive novels are sometimes larger]</i>	Chapters	Normally, there are no chapters, but the text is broken up by numbered sections.
	Sections [numbered]	Sections usually begin with a non-indented paragraph, with following paragraphs being indented. They can be marked with sub-headings or time markers (e.g. “ <i>Three years later</i> ”). Sections are often separated by breaks using space or small symbols such as asterisks, stars, or the like.
	Speaking character’s name	Position: there are multiple positions that are possible: with a reporting verb before or after the quotation marks around the spoken line(s). Omission: In some cases, the speaker’s name is not necessary if it is obvious from context. Pronouns: The speaker’s name can also be replaced by personal pronouns if the context makes it clear who is speaking.
	Lines of dialogue	Format: Dialogue may begin after a colon, a comma, or start a paragraph/line. It is signified as being dialogue by the use of surrounding quotation marks. When the speaker changes during a dialogue, a new paragraph is normally begun (Note: in the case of two speakers only, the speaking character’s name is not necessary in every new paragraph that occurs when the dialogue switches speaker.)
	Punctuation	Unlike some languages, the punctuation in English goes inside the quotation marks only, and any question marks or exclamation marks do not require a comma following the quotation mark at the end of the spoken line(s).
	Names during narration	Action: During 3 rd person narration, a character who performs or receives an action is often shown normally: in 1 st person narration, a personal pronoun is used.
	Page markings	Page numbers are usually included and are sometimes the reference number for the next (chosen) section to be read.
Dialogue	Spoken text	Quotation marks are used. Sarcasm and emphasis are italicised. Yelling, upper case.
	Reporting verbs	Reporting verbs are used with a speaker’s name to show who spoke and how they spoke. They are commonly altered through the use of adverbs. Traditional styles involve past tense/aspect reporting verbs, although some more modern forms and some children’s novels use the present tense/aspect.
	Receiver	If a specific receiver of the line of dialogue is mentioned, for example using transitive verbs, their name normally follows the mention of the speaker. For example: “I am a man again,” Macbeth said, before turning to the Lords. “Pray you, sit still.” (3.4.106)
	Interiority	Traditional 1: shown inside quotation marks with reporting verbs such as “to think”, “to ponder”, “to wonder”. Traditional 2: indirect speech can be used to report what the character was/is thinking (without quotation marks). Modern: shown simply in italics, sometimes with additional indentation or other font effects.
Descriptions of any elements of visual or auditory aesthetics	Setting	The aesthetic description of the setting is as detailed as the author desires, with a focus on adjectives and adverbs. This occurs anywhere in the text to describe settings that are new or for any elements of the setting that have just been noticed by a character. Any new object that appears is normally described with an indefinite article the first time it is mentioned and then with a definite article from the second mention – or with a new character’s name from when it becomes known.
	Lighting and sound	Important lighting and sound elements and motifs are usually mentioned as part of the setting information.
	Verbs	Traditional: Any actions that require enacting are written in past tenses/aspect. Modern/Children: The present tense/aspect is used in some modern styles and in some children’s novels. Tense form: simple and continuous used for different reasons (e.g. continuous for long-term actions, simple for a short-term action).
	Adjectives	Characters and any other aesthetic elements are all described using adjectives and adverbs, once again in as much detail as is desired by the author.
Relation to target medium	Audience	Perspective: The reader’s perspective can be changed at any stage, although switching perspectives can lead to confusion if not clearly defined. Narrator can also change between 1 st and 3 rd person forms. Time shifts are also possible. Timing: The reader can start and stop at any time and can read in a different order from that intended by the author.
	Mode(s) of engagement	All aspects must be imagined (<i>telling mode</i>). There is a semi-interactive component in that readers must choose where the next section will be based on options given.

Table 6: The conventions of structural aspects in semi-interactive novels

Graphic novels [primary target text-type/target medium]		
Structural aspect	Element	Convention
Layout and formatting <i>[Note: the general page size of a graphic novel is larger than novels but varies in size]</i>	Chapters	Chapters (or scenes or sections) are usually numbered and/or named.
	Sections	Sections usually begin with a caption, which contains textual information about aspects such as location and time and are usually rectangular in shape.
	Speaking character's name	Character list: the name of each character is normally only confined to the character list (with an image) and if it is used in spoken dialogue.
	Panels	The story is broken into panels that contain still images and normally follows a "left-to-right, top-to-bottom" order of progression. Panels may contain multiple lines of dialogue or thought represented by (multiple) speech and/or thought balloons.
	Lines of dialogue	Dialogue is demonstrated through a (rounded) speech balloon for any part of the dialogue related to a speaker, with a solid linking pointer. Speech balloons can partially overlap or be (partially) split when multiple characters are in dialogue during the one speech balloon. [Speech balloons can be left out if the speaker is obvious from the associated image.]
	Punctuation	As no quotation marks are necessary, punctuation remains as it would normally be shown in any form of English.
	Format	Paragraphs are rare in graphic novels because the amount of text shown is normally short and is within the one panel (separate framed image with its related text). However, one difference is that the text is sometimes shown in ALL-CAPS.
	Page markings	Page numbers are usually included.
Dialogue	Spoken text	Quotation marks are not used. Sarcasm and emphasis are italicised. Yelling, upper case, often with spiked speech balloons for (aesthetic) emphasis.
	Reporting verbs	Reporting verbs are not necessary.
	Receiver	Receivers of a line of dialogue are obvious because they are usually shown through the direction of the speaker's head or the perspective provided by an image.
	Interiority	A thought balloon, usually shown with bubbles as the connector and often as a cloud shape, is shown with the related thoughts. Note: In adaptations of theatrical works, it is not uncommon for a character to stand to the side of other characters in the image with text showing the "aside" without the use of thought balloons.
Descriptions of any elements of visual or auditory aesthetics	Setting	A basic setting is usually shown in the caption where necessary and can include, for example, time and/or location.
	Sound	Sounds are usually shown through separate onomatopoeia, often in all caps with jagged edges (or the like) around them.
	Verbs	Generally not necessary, as the image provides the information visually.
	Adjectives	Characters and any other aesthetic elements are all provided in visual form and therefore adjectives are not generally required. Descriptions are generally left to visual forms, with only dialogue and (basic) captions usually set within the panels.
Relation to target medium	Audience	Perspective: The reader's perspective is fixed. Timing: The reader can start and stop at any time and can read in a different order from that intended by the author.
	Mode(s) of engagement	All aspects must be imagined (<i>telling</i> mode). Some elements may be related to <i>showing</i> modes (e.g. book covers, audiobooks or adapted films already seen). Unlike films, where the showing mode is seamless, and plays/novels, where the <i>telling</i> mode is also continuous (even if each of these media can be broken into shorter sections), graphic novels involve a frozen image which provides a mixture of <i>telling</i> and <i>showing</i> in visual fragments of the story. The frozen image remains while the text continues for each panel.

Table 7: The conventions of structural aspects in graphic novels

Screenplays (film) [primary target text-type, numerous target media options, e.g. cinema film, DVD, streaming]		
Structural aspect	Element	Convention
Layout and formatting <i>[Note: the general page size of a screenplay is normally Letter (approx. A4) size, with standard bindings expected]</i>	Font	The standard font for screenplays is Courier 12pt. This ensures that (on average) a page of screenplay approximates to one minute of film. Therefore, a 90-page screenplay would achieve the 'standard' 90-minute Hollywood comedy film, and a more dramatic style film of approximately two hours would involve a screenplay of roughly 120 pages.
	Margins	Above, below, and right: 1 inch (2.54cm). Left: 1.5 inches (3.71cm).
	TRANSITIONS	CAPITALISED. Entering transitions are left-justified. Exiting transitions are right-justified. Terms such as dissolve, fade in, fade out, and cut, which are generally provided as the conventions for different time and location shifts.
	SLUG-LINES	Slug-lines are CAPITALISED, in bold font, and left-justified. Shows whether external (EXT.) or internal (INT.) shooting is required. Provides basic location type and general time only (nothing specific).
	SUB-HEADERS	Sub-headers are CAPITALISED and left-justified. They are used in later sections of an overall scene often shown as sub-headers (without the use of bold font).
	Action lines	The first action line occurs directly underneath the SLUG-LINE 7 SUB-HEADER. Any action occurring during the scene is written in the present tense. This does not include actions that have already begun such as "is wearing", "is reading". Left justified.
	CHARACTERS	<i>In action lines:</i> The first mention of a speaking role is CAPITALISED, as with important non-speaking roles that are required to interact with the speaking characters. Subsequent mentions of these roles revert to standard letter cases for proper nouns, even if it is normally a common noun (e.g. "baby" as a character name is "Baby" from the second mention onwards. <i>Before dialogue:</i> CAPITALISED with a 2-inch (5.08cm) indent [this is sometimes centred] and additional space above the name (effectively an empty line).
	Dialogue	Normal font, but indented by 1 inch (2.54cm). Bracketed performing directions are less common with spoken lines than in stage plays, as this is normally the director's role. When provided, they are usually above the line of dialogue in brackets. When the same character's dialogue is broken, following dialogue is marked with (CONT.) after their name, which is shown again.
	Parentheticals	Bracketed, usually single words – e.g. simple present tense verb for non-emotional performance directions (e.g. pauses, looks, waits, hesitates, swallows) or present continuous verb/adverbs (e.g. whispering, loudly) that are critical to the story.
	Extensions	Bracketed, abbreviated and CAPITALISED. (O.S.) for off-screen dialogue. (V.O.) for voice-overs. These are ways of showing from where characters speak, and are more related to spatial perception within the story than elements that assist in understanding actions within the story, such as in parentheticals.
Page markings	All pages are numbered. Theoretically, as they are bound, no title is needed in headers or footers.	
Dialogue	Spoken text	No quotation marks shown. Normally no performance directions related to emotions and volumes are provided.
	Reporting verbs	Not usually required unless a specific effect is necessary.
	Receiver	Shown in brackets if necessary to specify in a group context.
	Interiority	Voice-over [shown with: CHARACTER NAME ("V.O.")] is the conventional form. Asides and monologues are also possible but less common. '1 st person' intermediated camera perspective also creates a similar concept.
Descriptions of any elements of visual or auditory aesthetics	Setting	A basic setting is usually shown in the slug-line where necessary and can include, for example, general time and/or location. No details are usually shown unless critical.
	Narration / Camera	Cameras "intermediate" as if 3 rd person, with 1 st person-style films rare. If mentioned, camera movements are usually CAPITALISED.
	Perspective	CAPITALISED, usually followed by a colon. Only for specific perspectives. <i>[Also refer to "Audience: Perspective" on the following page.]</i>
	Objects / Motifs	As with character names that are mentioned in action lines for the first time, important objects (and motifs) are capitalised. Subsequent mentions revert to lower case type.
	Sound	Only effects that are necessary or related to motifs would be shown specifically and would only be in a basic form.
	Verbs	Verbs of action are shown in the present aspect/tense. Reporting verbs not shown unless a specific effect (e.g. whispering) is necessary – see "Parentheticals" above.

	Adjectives	Some adjectives may be necessary in some contexts, but are usually not required. Adverbs that alter adjectives are extremely rare.
Relation to target medium	Audience (usually specialist readers [e.g. a producer])	Perspective: The screenplay reader's perspective is imagined and can shift. However, some aspects of the writing suggest exact positions (e.g. "We see the flames coming towards the house"). The viewer of the target medium is fixed to the camera perspective. Timing: The reader can start and stop at any time and can read in a different order from that intended by the author. The viewer of the target medium varies depending on which medium is involved.
	Mode of engagement	All aspects of the screenplay must be imagined (<i>telling mode</i>) when read, but require a more specialised reader than a stage play or a novel to be correctly understood. In each of the target media, all aspects are perceived [<i>showing mode</i>], although the <i>technical media</i> on which perception occurs varies.

Table 8: The conventions of structural aspects in screenplays (films)

It should be noted that the television scripts (screenplays for television), which will be referred to here as scripts in order to distinguish between the text-types for the two target media, are similar in many regards, but are an 'in-between' form of stage play and screenplay. This is perhaps one additional piece of evidence that suggests why the medium sits between stage plays and television in the statistical analysis, as will be seen in the following chapter. Television scripts visually appear to be more like a stage play than a screenplay for films does. However, there are still differences and variations that are worth noting, which are mentioned as differing "among stations, independent studios, and production houses" (Hilliard 45). The key difference of note is that there are two script format options: one column or two columns. The one-column option "resembles that of a stage play, with only essential character movements added to the dialogue, and virtually no video or audio techniques inserted" (Hilliard 45). This format would be the supporting evidence for the television medium filling the gap between the use of tactile text in live stage plays and films. In the two-column option, "video directions are most often found on the left side and the audio information, including the dialogue, is found on the right" (Hilliard 45). This format links to criticism of the theoretical issues in Hutcheon's *modes of engagement*. As was discussed in *Part I – Chapter 2*, her concept fails to take into consideration the differences between visual and auditory aesthetics that visual-only and auditory-only media highlight. This two-column option within television scripts, however, is evidence that the two aspects of the *modes of engagement* can be separated. Hilliard also provides another comment that provides a clue to the difference between the two mediation phases. As with the conventions in film screenplays, television script writers "cannot be cautioned too often to refrain from intruding on the director's domain" (Hilliard 46). This is a clear indication that the adaptation/composition phase is separate from the production phase in terms of practical application, even if the roles in each of the phases need to be aware of the roles in the other phase.

Notated operatic score [primary target text-type, target media of live opera, recordings of various types]		
Structural aspect	Element	Convention
<p>Layout and formatting</p> <p>[Note: there is no standard size format. However, modern composers tend to set A4-sized paper]</p>	Acts	Notated scores are separated into acts. In the case of older, large operatic scores, these acts were bound together separately or in groups. For example, Koppel's <i>MACBETH</i> is bound in two large books of 50cm x 50cm, each with two acts. Gatty's opera is also contained in two large books.
	Scenes	Scenes are traditionally separated by a break (applause, curtain calls, set changes) which may contain orchestral music where a large set change is necessary. In through-composed operas, the scenes can flow into each other, often without any break for applause.
	Numbers (traditional operas)	Numbers are distinct pieces of music (usually) within traditional operatic settings. They normally begin on a new page with clear directions and naming conventions such as the number and the type of number (e.g. "3. Aria"). They have clear endings marked with a double bar line (thin and thick width respectively) to signal musicians that it ends and traditional cadences (musical progressions) that signal a listener that it is ending and that response is permitted.
	Through-composed	This style of writing is less clear structurally as the new sections are generally joined visually as well as musically. Although musicians will notice the sections (next element) due to visual clues, these are not always as clear to listeners, who may not always be certain whether there are signals for response as with the endings of "numbers" as described above.
	Sections	These can occur in both numbers and through-composed scenes and can be marked in numerous ways, including combinations of: double bar-lines, pauses, figures (letters or bar number references which are usually in boxes above the bar-line), tempo changes (e.g. "Presto") and metronome markings (e.g. "♩=69"), time signature changes, textual forms. Key signatures are also another implicit way that sections can be marked as a visual form for the performers. Various forms of section repetition are signified with symbols and/or text [repeat bar-lines, "Dal Segno" or "D.S." with ♯ (where the music returns to), or "Da capo" or "D.C." (from the beginning), either with "al Fine" and ⊕ (Coda: an ending) or a double bar-line].
	Systems	A page is divided by systems, which are joined groups of staves relevant to a part of music, separated by two angled parallel lines. Systems are read from left to right where the music furthest to the left occurs first. A page involving a full orchestra and singers may include only one system. However, a soloist may be alone in a system if they perform without accompaniment for the duration of the staff length. Smaller groups may be scored in three or four systems on one page.
	Staff (pl. staves)	A staff is a line or group of lines (five lines for modern Western pitched instruments) that is used by instruments or singers, with higher pitched notes represented in higher positions on the staff and lower pitches lower on the staff. Most instruments are notated on one staff. However, keyboard instruments and harps are usually notated with two staves concurrently (as a bracketed sub-system), where the music is mostly a bass staff for the left hand (e.g. lower pitches on a keyboard) and a treble staff for the right hand (e.g. higher pitches), but hands are able to switch across from notation on one to the other. Non-pitched percussion instruments are often notated with a single line.
	Instrumentation	Systems follow clear conventions for notating the instruments and singers in order from the top staff to the bottom staff, depending on which instruments and singers are performing at that moment in the music. If the entire orchestra is playing with the singers, the order is traditionally as follows: Woodwind at the top [from the top: flutes, piccolo, oboes, cor anglais, clarinets, bass clarinet, bassoons, contra-bassoon] then brass [horns, trumpets, trombones, bass trombone and tuba (together)], timpani, percussion, harp, keyboard instruments [e.g. piano, organ, celeste], singers [soprano to bass, highest to lowest, choir usually below the soloists], strings (violins, violas, cellos, double basses, highest to lowest). In most cases, the highest pitch instrument goes first. However, in some cases such as a piccolo, the 3 rd flute player is the traditional part that switches to piccolo or alto flute. Instruments are usually shown in abbreviated form on the left of the relevant staff.
	character names	Before the staff: Character names are usually shown with abbreviated names on the left of the relevant staff (e.g. "Mb").

	(cont.)	Before first notes: Characters that have just entered are normally also shown with a full name (e.g. “Macbeth”) above the staff either at the far left or just before the first note to be performed.
Dialogue [refer to the discussion about the specific positions of text that follows this table]	Unpitched text	In full ‘operas’, characters rarely ‘speak’, as such, although this does occur with Lady Macbeth’s reading of the letter in some of the operas analysed. Some earlier forms of opera do use spoken text.
	Recitative (text sung in spoken rhythms)	This form of singing is effectively a pitched form of spoken text, usually punctuated by occasional notes by the orchestra and/or underscored by chords. The timing of the recitative is often freer than the stricter tempos, and the time signatures that signify the groupings of rhythms are sometimes ignored. This form of singing is often employed for prose and where the dramatic action involves many characters switching quickly in dialogue.
	Musical forms (aria, duet, ensemble)	In these forms, text is employed in numbers in the traditional forms of opera in place of theatrical monologues (arias) or where there is a restricted number of performers in dialogues that can sing together (duets, trios, or small ensembles). In traditional libretto, the text is created to suit the musical forms with elements such as rhyming schemes. In these forms, the tempo of the music is generally maintained more strictly than in recitative and is essentially underscored by rhythmic patterns, counter-melodies and other compositional techniques. The melodies work together with the text to form the rhythm, unlike the recitative forms, where the spoken rhythm dominates the rhythms of the melody.
	Chorus	These are numbers or sections that are written for the non-soloist singers as a group, but also including when they join characters in a scene. Choruses can involve all singer types (e.g. soprano, alto, tenor, and bass) or partial choruses (e.g. sopranos and altos as the witches or combining with Lady Macbeth as her chambermaids, or tenors and basses as the Lords or soldiers. The more modern forms of opera (e.g. those using the play text) often do not include choruses, as the text rarely provides for this option.
	Interiority	Usually a recitative or musical form replicating theatrical monologues and asides. When other cast members are on stage, the cast freezes or continues to do what they were doing as if unable to hear the singing, or simply listen to the song.
Descriptions of any elements of visual or auditory aesthetics	Setting	Setting is usually notated in the simplest of forms for each scene: e.g. “Macbeth’s Castle”.
	Lighting and sound	Only rarely does the notated score mention lighting elements. Sound effects are also usually notated within the orchestral setting, but there are some occasions where more detailed instructions occur. One example is Bibalo’s <i>MACBETH</i> , where a tape recording is performed and instructions are noted in the score.
	Time length	Tempo notation: Time is notated through metronome markings (e.g. “♩=90”, or “♩=140”), musical terminology (often Italian, such as “Allegro”, “Largo”, and “Moderato”), which is also related to the time signatures, which designate how many beats per bar and what length of beats they are. Time length notation: More modern notation can specify an effect to last for a specific length of time, as also exists in film scores. In these cases it is usually notated through simple text located above the staff or system (e.g. “24 seconds”).
Relation to target medium	Audience	Education: A notated operatic score takes training to read the notated score. Perspective: The reader’s perspective is imagined and can shift depending on their role. For example, a conductor may imagine the position of the characters from the position of the conductor’s podium, whereas a singer may imagine a reversed stage-based perspective. Timing: The reader can start and stop at any time and can read in a different order from that intended by the author but would generally follow at the (imagined) tempo of the music. The viewer of the target medium varies depending on which medium is involved.
	Ballet	Many operas contain (a) short ballet scene(s). In these cases, the intermedial overlap mentioned in the discussion about Elleström’s theoretical concepts in <i>Part I – Chapter 2</i> is demonstrated.
	Mode of engagement	All aspects of the notated score must be imagined (<i>telling mode</i>) when read, and require a more specialised reader than a stage play or a novel to be correctly understood. In each of the target media, all aspects are perceived [<i>showing mode</i>], although this would be affected by auditory-only recordings.

Table 9: The conventions of structural aspects in notated opera scores

One aspect not shown in Table 9 is the way that the printed text is shown within the conventions of musical notation. There are a few options that will be shown below, particularly as they separate the conventions of the operatic text-type from all other text-types analysed. Although graphic novels do not always follow left-to-right positioning within panels (e.g. the first speech balloon can be positioned to the right of the second), all of the text-types analysed also follow a top-to-bottom order of text presentation. In stage plays, screenplays, scripts for audiobooks and radio plays, and even novels, the text is always presented to be read firstly left to right from the top line of text on each page, and then from left to right for each lower line of text until the end of the final line of text on each page. This is not the case for operas, where the position of the role presenting text is positioned based upon the conventions shown for instrumentation and characters in Table 9. As Macbeth is a lower pitch voice than that of Lady Macbeth, any lines of text that are performed by his role will be positioned on a staff beneath her lines. This can result in dialogue requiring an upwards shift, as is demonstrated in Figure 38 below. In this case, the three witches are shown on two systems, with each witch notated on a separate staff. In the adaptation below, Witch 3 begins with 1.1.1 and holds her final sound (“n”) as the other two witches sing. Witch 2 then joins (1.1.2), and holds her final sound (“n”) as Witch 1 sings. Witch 1 sings 1.1.3-1.1.4. There is a slight pause before all three sing 1.1.5 together.

Witch 1
Witch 2
Witch 3

When the
In thun-der, light-ning, or in rain?
When shall we three meet a - gain?

W1
W2
W3

hur - ly - bur - ly's done, When the bat - tle's lost, and won. That will be ere the set of sun.
That will be ere the set of sun.
That will be ere the set of sun.

Figure 38: The positioning of text underneath performers in notated operatic scores⁷²

As can be seen in this example, the text still operates in left-to-right order as with any other text. However, the convention of notated music involves the left-to-right timing across an entire system, which in this case means that the text continues a position higher as the scene continues, until all three

⁷² The examples shown in this subsection were adapted specifically for use in this dissertation.
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witches sing together, with the text being shown concurrently in all three staves. Additionally, the position of the text involves the vertical placement of syllables directly underneath the first note that it involves. In the case of multi-syllable words, syllables are separated by a hyphen to signify to a reader that it is part of a word (e.g. the separation of “a-gain?” 1.1.1 in Witch 3’s first line). When a sound is continued beyond its first note, it is shown with a continuous line until the end of the sound, as is shown at the end of Witch 3 and Witch 2’s first lines. Both witches change pitch without changing the ‘textual’ sound in this example.

The final line (1.1.5) in the example is known as *homophonic* texture in music, where the sounds work in the same timing. Another textual usage that distinguishes the operatic medium from others is what is known as *polyphonic* texture. This is not the same as the meaning of polyphonic as it is used in Literature. Both fields use the term to refer to the use of many voices: in Literature, it is where the voices provide different perspectives of the same situation; in music, polyphonic texture is where discernibly different melodies and counter-melodies create a texture of sound. The difference is that in polyphonic novels, the voices occur separately, whereas in polyphonic music they occur simultaneously, with the same or different text. This polyphonic technique is also similar in stage plays such as Marowitz’s *A MACBETH*, where some sections are performed simultaneously. However, there are two key differences between this technique as it is used in these media. Firstly, whereas the speed of text in theatrical forms makes understanding of the text of all parts difficult, the slower timings and the separation of pitches in music makes it more possible to discern the separate voices.⁷³ Secondly, the pre-determined timing within the musical setting is also a difference because the timing of exact parts of the lines (e.g. exact syllables) is not intended to occur at precise moments in plays. This technique is used in the *MACBETH* operas in order to create an ensemble, with an example of this discussed in *Part V – Chapter 1*, which in this case uses different text in each polyphonic line. The example in Figure 39 shows how this is possible, with an example of polyphonic texture that uses the same text (1.1.9).

The image shows a musical score for three witches in 3/4 time. Each witch has a separate melodic line. The lyrics are: Witch 1: Fair is foul and foul is fair Ho - ; Witch 2: Fair is foul and foul is fair; Witch 3: Fair is foul and foul is fair, Ho - ver. The text is positioned directly under the first note of each syllable. The music features various melodic patterns and rests, illustrating polyphonic texture.

Figure 39: The positioning of text underneath performers in notated operatic scores⁷⁴

⁷³ The perception of the individual voices is also affected by the clarity of the sung voice, as discussed in *Part III*.

⁷⁴ The examples shown in this subsection were adapted specifically for use in this dissertation.

Another effect that is simple to control due to the ability to perceive separated pitches is the splitting of text across multiple voices. This effect is evidenced in the operas by Koppel and Bibalo, which are discussed in the first two individual case studies in *Part IV*. The ability to separate words by syllables across different performers is also within a specifically set timing is shown below in Figure 40, which is a broken form of “Lesser than Macbeth, and greater. / Not so happy, yet much happier.” (1.3.65-66). However, the technique has major traps related to the actual performance of the effect. Although the examples in Koppel’s and Bibalo’s works function well due to the sounds that are involved, the splitting of the example below highlights the dangers involved. For example, Witch 1 sings and holds “Mac”, “Not” and “hap”, even though it is physically impossible to maintain the “c”, “t”, or “p” sounds at the end of the syllables. In normal circumstances, singers would hold the vowel sound of these syllables and sing the final sound of the syllable at the end of the held note. However, this order of sounds would result in the first line being performed as “Lesser than Ma-be-, and c- grea- -th -ter”. Therefore, although musical notation permits techniques that are not able to be done in other media, they are not always practicable from a performance perspective.

The image shows a musical score for three characters, labeled Witch 1, Witch 2, and Witch 3. Each character has a line of music with lyrics underneath. The lyrics are split across the characters to illustrate syllable splitting. Witch 1's line includes 'Le Mac', 'grea', 'Not', 'py,', and 'hap'. Witch 2's line includes 'than', 'and', 'hap', 'yet', and 'pi'. Witch 3's line includes 'sser', 'beth,', 'ter', 'so', 'much', and 'er'. The music is written in treble clef with a key signature of one sharp (F#) and a time signature of 4/4. The lyrics are: Witch 1: Le Mac, grea, Not, py, hap; Witch 2: than, and, hap, yet, pi; Witch 3: sser, beth, ter, so, much, er.

Figure 40: The splitting of syllables across characters in notated operatic scores⁷⁵

The constraints and freedoms of the *production* and *reception* phases

In the previous subsection, the elements of textual usage in various forms of media were documented. The elements were the focus of the adapter during the creation of the text-types in the adaptation/composition phase. This section is a discussion of the additional medial considerations that adapters make during that phase. However, these considerations focus on aspects of the *production* and *reception* phases of adaptation. While creating the text-types for any target medium, adapters need to be aware of the constraints of the target medium while simultaneously exploiting the freedoms that they provide. These constraints and freedoms partly relate to what Davies refers to as “priorities”, in this case tied into the issue of Shakespearean adaptation:

Since the natural priorities of the cinema are not immediately compatible with the theatrical priorities of Shakespearean drama, the question that must arise is one of the legitimacy of the

⁷⁵ The examples shown in this subsection were adapted specifically for use in this dissertation.
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film maker's work. How far can the film maker be a creator? To what extent is he obliged to confine himself to being an interpreter? Lurking behind these questions is the assumption of some sort of authority bent upon ensuring that Shakespeare is not profaned. (Davies 3)

One of the key constraints in some media is that of cost. Screen-based media are noted regularly with regard to this constraint. Giddings *et al.* also state that this affects the product that results:

Cinema and television production is highly costly, and to justify this expenditure, audiences must be large; consequently, these commercial pressures, combined with the restrictions imposed by the more overt censorship of these mass media, create different requirements from those experienced by the novelist. (2)

The issue of cost still exists in other forms of media. However, the comparatively high number of crew members needed for film and television production as well as the logistical constraints related to locational shooting and the establishment of studio sets necessitates greater investment than that required in other medial forms. However, opera also necessitates large investment due to similar constraints, which also relate to the inclusion of specialist performers - the soloists and the accompanying orchestra,⁷⁶ as well as the amount of rehearsal time required to ensure live performance occurs smoothly, the maintenance and/or hire of the venue, and the logistical requirements of operating during theatrical performance.

The high costs of film resulted in a balance between expenditure and audience size with a 90-minute film length in the 1940s (Giddings *et al.* 3), which is still a standard for some genres of film. The time-length constraint difference between films and television series is described by Hutcheon, who states that "[t]elevision shares with cinema many of the same naturalistic conventions and therefore the same transcoding issues when it comes to adaptation. However, in a television series, there is more time available and therefore less compression of the adapted text is required" (Hutcheon *A Theory of Adaptation* 47). As will be seen in the following chapter, the length of television adaptations of *Macbeth* is indeed higher in median percentage of text than film adaptations, at least part of which relates to multiple episodes in Almond's five-episode adaptation with Sean Connery as Macbeth. This particular adaptation is an example of another constraint of television, particularly at that time of television's technical development: the need for live broadcast as opposed to the capability for broadcasting edited recordings. These two production types cause vastly different circumstances for mediation, including the ability to transition between scenes, the availability and positioning of cameras, and live timings of television direction. Although the camera technology available is less restrictive than was the case in Almond's time, this is still a cost and a logistical constraint for filming and broadcasting. As was discussed following Table 8 in the previous subsection, the scripts for

⁷⁶ In some cases, contractual obligations in some countries include a 'call rate', which specifies payments based on the number of calls (e.g. a three-hour period). Once productions enter into a second call period, the costs of the performance increase for each orchestral member.

television contain detailed technical requirements, which in the case of live broadcast would be more constraining than in recorded forms where editing could remove some of the transition difficulties. This constraint related to cameras is important because “the point of view of the camera can change many times during a narrative; also cutting and editing can cause frequent and extreme shifts in perspective, just as depth of field, focus, and zooms can specify particular characters or objects, and montage can create mood and emotion” (Giddings et al. 15).

Replacing written forms of narration with the intermediation of camera is also constrictive from a conceptual point of view, which is also a constraint that adapters need to consider. “[F]ilm can show us characters experiencing and thinking, but can never reveal their experiences or thoughts, except through that “literary” device of the voice-over” (Hutcheon *A Theory of Adaptation* 58). As can be seen in the relevant tables in the previous subsection, this is also the same for methods of revealing issues of interiority in theatre and opera, where certain methods and conventions have been established to permit this possibility, such as asides. The separation of exterior and interior forms with relation to the visual and auditory aesthetics of films provides other methods of replacing such forms of narration:

External appearances are made to mirror inner truths. In other words, visual and aural correlatives for interior events can be created, and in fact film has at its command many techniques that verbal texts do not. The power of that close-up, for example, to create psychological intimacy is so obvious... that directors can use it for powerful and revealing interior ironies. (Hutcheon *A Theory of Adaptation* 58-59)

Even “[d]ream-like states... have come to their own visual and auditory conventions in film” (Hutcheon *A Theory of Adaptation* 59), where different transitions and their related effects represent this state. In opera, the transition is usually represented musically, with the visual effects of film replaced by compositional effects in the operatic form. While this can be complemented through lighting and staging effects (e.g. other characters remaining still), film-based effects such as voice-overs are less appealing to live audiences.

There are numerous other constraints and freedoms that involve the reception phase. These relate to technical changes similar to those of the production phase above, including the changes that digital data have caused. Whereas film adaptations were originally only cinematic and television adaptations were broadcast, the gradual transfer to ‘analogue’ video cassettes was subsequently replaced by transfer to digital media such as DVDs and Blu-ray discs, both of which had constraints related to data size. More recently, this constraint in data has changed again. No longer is it the amount of data that is restrictive, but the speed with which the data can be accessed through streaming. How this changes the length and formats of adaptations is still to be seen, but these constraints are gradually disappearing as technology and availability delimits this issue – blurring the ‘media borders’ discussed by Elleström. As “[t]he length of time necessary for a viewer [or reader] to consume the product is also

a significant element in any comparison” (Giddings et al. 4), future research may indeed conclude that no conventional effect to the lengths has occurred. This is especially because the constraints of the production phase will remain high, and therefore the conventions within these medial categories may not shift dramatically. A similar possibility to this, due to the more recent trend of live and recorded streaming of theatrical productions, is that theatre may no longer be constrained by performance time once the freedoms that such technical possibilities present are incorporated into the conventions. Because of historical changes that have occurred in the thirty years since the following long quote was written, a *viewer using a streaming service* could easily be placed where the wording *reader of the novel* is located and is less likely to be involved in the type of cinematic reception of the *viewer of the film*, and the technical issues related to data above are now more appropriate regarding the previous analogue form of *video cassette recordings*:

[T]he reader of the novel is in control of the process: he can pause at will, check back over incidents and facts, and reflect upon the action. The viewer of the film, unlike the solitary reader, is involved in a collective experience, in which the action presses relentlessly on; there is no opportunity for pause or recap. With regard to television, the situation is somewhere between the experience of novel reading and film-viewing; a television adaptation of a novel will often devote several hours to its material, often in weekly serial form, and in addition, the availability of video cassette recordings is now giving the viewer some of the flexibility of consumption previously enjoyed exclusively by the reader: the ability to pause at will and to check forwards and backwards through the material. (Giddings et al. 4)

All of the examples of constraints and the comparative freedoms mentioned above, as well as many others that have not been included, are aspects of the production and reception phases that are linked to the adaptation/composition phase, even if only in the form of awareness. Adapters creating text-types in preparation for any target medium are normally aware of these constraints, adjusting their transferral of information from source to text-type within the framework of these medial considerations while using the existing conventional elements described in the previous subsection.

The categories: text-types, media, and their respective adaptations

This section presents the categorisation of text-types and media contained within the visual comparative representation (*Appendices A to D*) and analysed in the following chapters. A discussion is undertaken about how the structural conventions, constraints, and freedoms that were the subject of the previous section are amalgamated into the categorisation, with some individual adaptations used as examples. All adaptations are subsequently listed within the categories that are defined, as are adaptations that were accessed but not included in the analyses and adaptations that were unable to be accessed for this research.

Esslin states that:

A dramatic text, unperformed, is literature. It can be read as a story. This is the area where the fields of narrative fiction, epic poetry, and drama overlap. The element which distinguishes drama from these types of fiction is, precisely, that of 'performance', *enactment*. (24)

The terminology that is used in this quote highlights one theme that was discussed in *Part I – Chapter 3*: that of synonyms and ambiguity in the way adaptation is discussed. As 'drama' and 'performance' can mean so many things in adaptation, it is important that the terminology that is to be used in separating the media is as clear and representative as possible. This is particularly important as this research involves what are defined here as eleven different categories of *qualified media*:⁷⁷ a term defined by Elleström that contains the *basic media* within contexts ("Beyond Media Borders" 55). In order to distinguish between even more types of media than Esslin describes, the visual comparative representation used for the analysis is split into two main groups: *directed* (visual and/or auditory productions) and *printed* (images and/or text). The reasoning behind the use of *directed* is that in media such as film, "authorship traditionally is attributed to the director, and in rarer cases to the producer, though the legal 'author' of a film adaptation remains the screenwriter" (Collard 85). In all of the adaptations allocated to this, whether they be on stage or edited, the overall performance (production) and the performances (by the actors/players) have involved a director in some form, and the analysis has been based upon the production. As the screenplays that formed the basis for the productions were not available in most cases, the analysis for the adaptations needed to be based on the production. The adaptations placed into the main group of *printed* are adaptations that are or could be printed in some manner, some of which (Type D) can themselves be subject to adaptation or direction. Examples of this are where the abridged play adaptation by Roberts was subsequently adapted into the graphic novel by Moore and all of the operatic adaptations. These two main groups can be found at the top part of Figure 41.

⁷⁷ Refer back to Figure 25 in *Part I – Chapter 2*.

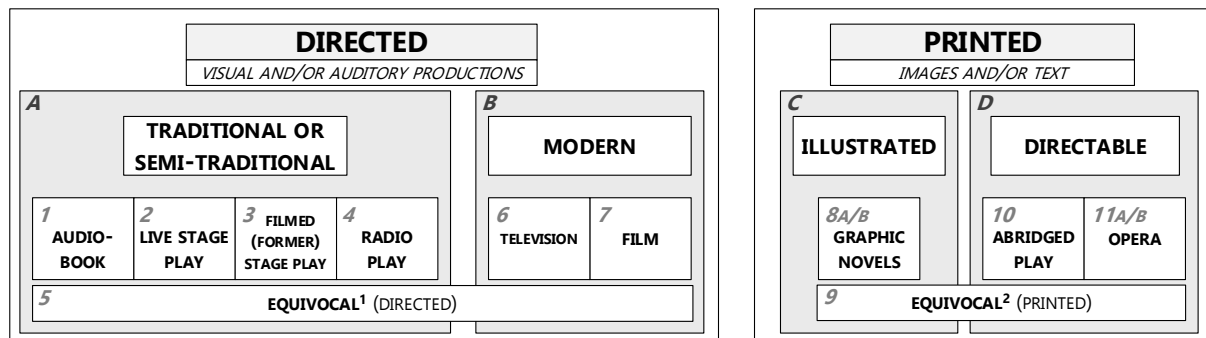


Figure 41: The categorisation of adaptations as presented

Both of the groups of adaptations contains two types. The group on the left, *directed*, contains Type A, *traditional* or *semi-traditional*, which refers to media [Audiobook, Live Stage Play, Filmed (former) Stage Play, and Radio Play] that preserve the textual fidelity of the source text more than those in Type B, *modern* [more recently also known as ‘new’ media (e.g. Bolter and Grusin)], which are media that present an adaptation using more recent technology with their associated medial conventions. The group on the right, *printed*, contains Type C, *illustrated*, which refers to media that are assumed to be intended as a ‘final product’ [graphic novels, although picture books would also be represented in this type if they had been analysed], and Type D, *directable*, which are created to be directed in multiple productions [abridged plays, operas]. The only other categories involve *equivocal* media, with one category in the *directed* group and one in the *printed* group, each spanning across their respective categories of media. These adaptations have mixed borders of medial conventions and purposes not normally associated with a particular medium, or an aspect that stops them from demonstrating medial fidelity in any one category.⁷⁸ This thereby prevents the adaptations from being placed unequivocally into a single medial form. In these cases, the statistics for these adaptations are also presented within any potential or relevant category as outliers, with medians provided that include and exclude the results.

In the *directed* group, Types A and B were separated because of the tendency of modern media to break away from traditional settings because of the constraints and freedoms involved. As will be seen in the following chapter, their level of textual fidelity is lower than those in the traditional types. The differentiation of these categories is not easily determined, with difficulties that first appear – including genre – described by Esslin:

A filmed version of a stage play, whether by Pinter or Shakespeare, clearly is still a drama. But is a film based on an original screenplay drama? Or a situation comedy on television? Or the circus? Is a musical play drama? And if so, is opera drama? Or ballet? Or the puppet theatre? I, for one, am convinced that all these different forms of ‘art’ or ‘entertainment’ are essentially drama, or at least contain an important ingredient of ‘the dramatic’ [...] Drama is unique among the representational arts in that it represents ‘reality’ by using real human beings and often also real objects, to create its fictional universe. (29)

⁷⁸ An example of this is an audio recording that involves only one actor enacting each of the character roles (Tiffany and Goldberg), which in itself could have affected the adaptation.

Although not easily determined, the combination of the *basic media* usage (structural conventions) and the contexts of the *qualified media* (including the constraints and freedoms) assist in separating the adaptations into the groups, types, and categories. For example, the types and categories involving stage plays (categories 2 and 3) have been divided: live stage plays (primary target medium) that were then filmed (secondary target medium). This differentiation is further discussed by Davies, who further separates these filmed former stage plays into two types:

There remain, broadly speaking, two spatial strategies available to the film director who adapts a theatre play for the screen. He can decide to treat dramatic action with the object of preserving its theatrical essence as far as possible, by simply photographing the staged performance on stage space. Implicit in this strategy is the contention that a play produced on the theatre stage is artistically complete, and that cinema is simply a medium for its transmission and preservation. [...] The second strategy is that in which the cinema brings its own spatial potential to bear on the material to effect an entire visual transformation by moving the action from the confines of the theatrical enclosure and creating new relationships between the actor and the décor, between space and time and between the dramatic presentation and the audience.' (9)

For the purpose of this research, Davies' division relates to the aesthetics of production and there does not appear to be any separation in terms of the textual fidelity observed in the analyses that are presented in the following chapter. Davies also presents a link between stage plays and film through the adaptations directed by Welles, whose "theatre production of *Macbeth* is a staging conception of the play which is in essence primed to achieve its aesthetic culmination in cinema" (86). However, this is, once again, an analysis of the aesthetics within the production, as the evidence collated in the visual comparative representation shows that the structural conventions have resulted in considerable differences in the level of textual fidelity. The categories involving stage plays all demonstrate at least some difference to film, described by Cartmell as being "between film adaptation and 'filmed performance'" (*Interpreting* 23). Davies also refers to the musical director from Welles' stage production as acknowledging that performers had difficulty hearing lines due to the musical accompaniment (Davies 85). This is also an issue that resulted in the Bank Hall production (Appleby) being an outlier, as the cues in the widely-spaced open air theatre caused issues in production that were not intended in the actual adaptation. The filming of live stage plays, particularly those not edited from multiple performances, therefore have different variables to those which can involve editing.

Audiobooks (category 1) and radio plays (category 4) may involve similarly-styled scripts, but the constraints and freedoms involved in each allow them to be separated. One of the purposes of audiobooks is to provide a tool for learning the (entire) play whereas radio broadcasts are often time-restricted. The educational purpose of both is arguably a common aspect, as is the inclusion of auditory aesthetics for entertainment purposes, particularly with BBC Radio, which "began very early in its career to broadcast radio versions of classic novels and dramas as part of its responsibility to educate and inform (as well as entertain)" (Giddings et al. 90). These common aspects mean that the key

element that separates these auditory-only media is that of the percentage of text used. However, Hutcheon notes one additional difference, that “in all radio plays, music and sound effects are added to the verbal text to assist the imagination of the listener” (Hutcheon *A Theory of Adaptation* 41-42). This is a clue that supports the separation of visual and auditory aesthetics within her concept of *modes of engagement*, unfortunately not detailed in her work. This is despite statements such as “radio plays are no different from other performance media: as in any dramatization, with the director’s guidance, the performers, who are adapting the script, we might say, must set up the rhythm and tempo and create the psychological/emotional engagement with the audience” (Hutcheon *A Theory of Adaptation* 42), which fails to highlight the lack of visual aesthetics in these adaptations. Both auditory-only categories are also mentioned by Esslin, who relates them to an increase in the popularity of live stage plays:

Dramatic reading of narrative texts has revived in our time on radio and in cassette recordings. And probably under the influence of such dramatic readings on radio the acted performance of narrative material on the stage has become popular and widespread. (25)

Television and film are also two similar categories when it comes to the processes involved in mediation. However, the *technical media* with which they are presented makes it simple to separate them into categories. The division by this concept of technical media is less clear when the secondary target media are taken into consideration, especially when the ‘film’ is projected on a television via digitalised technical media such as DVDs. Although Cardwell states that there has not “been any sustained attempt to distinguish television adaptations from film adaptations, and recognize television adaptations as a distinct form or genre” (Cardwell 1), the analyses in this dissertation does just that. Unfortunately, there is not a large sample size of television adaptations – only four. However, the observations that are made regarding the structural patterns clearly separate the two medial forms because of their textual usage.

One of the comparative sets in *Appendix D* involves the visual relationship of the structural patterns in Welles’ adaptations. His ‘Voodoo’ *MACBETH* and his 1948 film are commonly discussed in academic spheres.⁷⁹ However, as is obvious upon visual examination of the vcr, the film actually resembles the 1940 audio recording in sections far more than the stage play, as already mentioned. This suggests that the analyses of the two outer adaptations relates more to the aesthetic elements than the structural elements. Although the film is “a turning point in the development of Shakespearean cinematic adaptation” (Davies 83), it is also commonly referred to only with regards to the 81-minute studio re-release, which was edited down from the original 114-minute film. For example, Davies posits

⁷⁹ There are numerous mentions in Davies’ book, where he discusses the relationship of the two adaptations.

that “[t]he shortness of the film’s duration is in part due to the substantial cutting of the dialogue”, without mentioning – or perhaps realizing – that there are numerous versions of the film. In fact, four various lengths are presented in the data, highlighting that the observations made without comparative data could create inconsistencies within empirical research that relies on discussions of other versions. Once again, Davies refers to the short film also being caused by “Welles’s use of montage” which “is effectively achieved through cinematic dissolves rather than abrupt cuts, so that the fusion of camera technique with the action of the mist... is sustained in the shift from image to image” (Davies 90). This, however, also is not necessarily the case, as it may be the studio editors that created some of these transitions and not Welles, who was not involved.

Another issue worth noting before the adaptations are listed in their categories is the most recent film, Kit Monkman’s ‘green screen’ adaptation from 2018. There are some aspects that would suggest that a separate sub-category will be required because of the technological techniques used in the production. The elements of visual and auditory aesthetics in the film are clearly different:

Monkman’s film was shot on a green-screened soundstage, and Macbeth’s world was built digitally in postproduction. Monkman creates a floating world for his story, thus making a nod to Shakespeare’s Globe, even as he marries aspects of theatricality with remarkable advances in cinema. (Ue 1)

However, less clear are the effects to textual fidelity and medial fidelity that this form of filming has had that appear to be associated in some parts of the analysis. As “[t]he reduction of many subplots – ... some of the production’s casualties – directs particular attention to the Macbeths” (Ue 2-3), further research into other green screen adaptations may combine with the findings related to Monkman’s film to support the separation of this film from the more traditionally-filmed adaptations, despite their use of technological effects in some cases.

The following tables list the adaptations that were analysed in the formation of the visual comparative representation. The additional operas that were discussed in *Part III* and analysed in the qualitative chapters in *Parts IV* and *V* are also included in category 11a.

Directed

Type A (*directed*): traditional or semi-traditional

Category	VCR No.	Title (Year of release)	Director
1. Audiobooks	6	<i>MACBETH</i> (1958/59)	George Rylands
	7	<i>MACBETH</i> (1960)	Howard Sackler
	16	<i>MACBETH</i> (1992)	Robert Richmond
	23	<i>MACBETH</i> (1998)	Fiona Shaw
	26	<i>MACBETH</i> (2003)	Clive Brill
	27	<i>MACBETH</i> (2006)	Phil Viner
	32	<i>MACBETH</i> (2011)	Martin Jarvis
2. Live stage plays	1	<i>MACBETH</i> (1936)	Orson Welles
	33	<i>MACBETH</i> (2011)	Gemma Bodinetz
	38	<i>MACBETH</i> (2013)	Eve Best
	39	<i>MACBETH</i> (2013)	Dale Neill
	41	<i>MACBETH</i> (2016)	Christine Appleby
	42	<i>MACBETH</i> (2016)	Les Waters
	43	<i>MACBETH</i> (2016)	Antoni Cimolino
3. Filmed (former) stage plays	44	<i>MACBETH</i> (2018)	Polly Findlay
	13	<i>MACBETH</i> (1978)	Trevor Nunn
	14	<i>MACBETH</i> (1981)	Arthur Seidelmann
	18	<i>MACBETH</i> (1994)	William and Jane McCauley
	20	<i>MACBETH</i> (1996)	Jack Gold
	25	<i>MACBETH</i> (2001)	Greg Doran
	31	<i>MACBETH</i> (2010)	Rupert Goold
4. Radio plays	35	<i>MACBETH</i> (2012)	Len Falkenstein
	4	<i>MACBETH</i> (1953)	Alec Guinness
	10	<i>MACBETH</i> (1966)	John Tydemann
	15	<i>MACBETH</i> (1988)	Martin Jenkins
	19	<i>BERKHOFF'S MACBETH</i> (1995)	David Benedictus
	24	<i>MACBETH</i> (2000)	Richard Eyre

Table 10: The four categories of Type A (*directed*) (semi-)traditional adaptations

Type A and/or B (*directed*): Equivocal¹ (*directed*)

Category	VCR No.	Title (Year of release)	Director(s)
5. Equivocal (directed)	1	<i>MACBETH</i> (1936)	Orson Welles
	2	<i>MACBETH</i> (1940)	Orson Welles
	9	<i>MACBETH</i> (1962)	Michael Benthall
	17	<i>MACBETH</i> (1992)	Nikolai Serebryakov
	30	<i>MACBETH</i> (2008)	Teller and Posner
	34	<i>MACBETH</i> (2012)	Tiffany and Goldberg
	37	<i>MACBETH</i> (2012)	Dan Gallagher
	41	<i>MACBETH</i> (2016)	Christine Appleby

Table 11: Category 5 from Type A and/or B (*directed*) adaptations

Type B (directed): Modern

Category	VCR No.	Title (Year of release)	Director
6. Television	5	<i>MACBETH</i> (1954)	George Schaeffer
	8	<i>MACBETH</i> (1961)	Paul Almond
	11	<i>MACBETH</i> (1970)	Charles Warren
	22	<i>MACBETH</i> (1998)	Michael Bogdanov
7. Films	3a	<i>MACBETH</i> (1948) [114 mins]	Orson Welles
	3b	<i>MACBETH</i> (1948) [107 (92) mins]	Orson Welles
	3c	<i>MACBETH</i> (1948) [103 mins]	Orson Welles
	3d	<i>MACBETH</i> (1948) [81 mins]	Orson Welles
	12	<i>MACBETH</i> (1971)	Roman Polanski
	21	<i>MACBETH</i> (1997)	Jeremy Freeston
	28	<i>MACBETH</i> (2006)	Michael Starks
	29	<i>MACBETH</i> (2006)	Geoffrey Wright
	36	<i>MACBETH</i> (2012)	Daniel Coll
	40	<i>MACBETH</i> (2015)	Justin Kurzel
45	<i>MACBETH</i> (2018)	Kit Monkman	

Table 12: The two categories of Type B (directed) modern adaptations

Printed**Type C (printed): illustrated**

Category	VCR No.	Title (Year of release)	Adapter(s)
8. Graphic novels	57	<i>MACBETH</i> (1982/1994)	Anne Taute *
	68	<i>MACBETH</i> (2005)	Arthur Byron Cover
	69	<i>MACBETH</i> (2008)	Adam Sexton <i>et al.</i>
	70	<i>MACBETH</i> (2008)	Richard Appignanesi
	71	<i>MACBETH</i> (2015)	John McDonald *
	79	<i>MACBETH</i> (2015)	Gareth Hinds
	80	<i>THE TRAGEDIE OF MACBETH</i> (2016)	S. K. Moore
	81	<i>MACBETH</i> (2016)	Simon Greaves

Table 13: Category 8 of Type C (printed) illustrated adaptations

* unabridged

Type C and/or D (printed): Equivocal² (printed)

Category	VCR No.	Title (Year of release)	Adapter(s)
9.Equivocal (printed)	1	<i>MACBETH</i> (1936)	Orson Welles
	63	<i>MACBETH</i> (2015)	Hilary Burningham

Table 14: category 9 of Type C and/or D (printed) adaptations

Type D (printed): directable media (and education-based media)

Category	VCR No.	Title (Year of release)	Adapter(s)
10. Abridged plays	51	<i>SHAKSPERE FOR SCHOOLS: MACBETH</i> (1883)	Charles Kemble
	56	<i>A MACBETH</i> (1971)	Charles Marowitz
	60	<i>MACBETH</i> (1990)	Cass Foster
	61	<i>MACBETH</i> (1992)	Leon Garfield
	62	<i>MACBETH</i> (1996)	Cal Williams (Illus.) and Appletree Press
	64	<i>MACBETH</i> (1999)	Guy Roberts (see Moore)
	72	<i>MACBETH: A ONE-ACT PLAY</i> (2009)	J. P. Crabb
	73	<i>MACBETH</i> (2009)	Carl Heap
	74	<i>THE TRAGEDIE OF MACBETH: THE THIRTY-MINUTE SHAKESPEARE</i> (2010)	Nick Newlin
	75	<i>MACBETH</i> (2011)	Bill Buckhurst <i>et al.</i>
	76	<i>MACBETH</i> (2014)	K. J. O'Hara
	77	<i>MACBETH</i> (2015)	Martin Jenkinson
11a. Operas (non- English language)	NA	<i>MACBETH</i> (1827/1829)	Hippolyte André Jean Baptiste Chelard
	NA	<i>MACBETH</i> (1847)	Giuseppi Verdi
	NA	<i>MACBETH</i> (1857)	Wilhelm Taubert
	NA	<i>MACBETH</i> (rev. 1865)	Giuseppi Verdi
	NA	<i>MACBETH</i> (1877), presumably earlier and in Italian	Lauro Rossi, <i>translated into English</i> by Frank Marshall
	55	<i>MACBETH</i> (1968)	Herman D. Koppel
11b. Operas in English	NA	<i>BIORN</i> (1877)	Lauro Rossi, <i>translated into English</i> by Frank Marshall
	52	<i>MACBETH</i> (French 1910, in English 1951)	Ernest Bloch
	53	<i>MACBETH</i> (1924)	Nicholas Gatty
	54	<i>MACBETH</i> (1925)	Lawrance Collingwood
	58	<i>MACBETH</i> (1989)	Antonio Bibalo
	NA	<i>MACBETH</i> (2001)	Gerard Chiusano
	59	<i>THE TRAGEDY OF MACBETH: AN OPERA IN ONE ACT</i> (1990)	Iain Hamilton
	67	<i>MACBETH: MASQUE IN THREE ACTS</i> (2005)	Paul McIntyre
74	<i>MACBETH</i> (2015)	Luke Styles	

Table 15: The categories of Type D (printed) directable adaptations

Timeline of the adaptations analysed within this research

In Figure 42 on the following page, a diagrammatic visualisation of the adaptations that have been analysed plots them from 1600 to the present. The visualisation contextualises the historical introduction and development of technology that permitted newer medial forms and also plots the adaptations (currently) available within each of the medial categories.⁸⁰ This naturally does not display every adaptation that was created within each of the media throughout history, but those that were accessed for this research and were chosen for the visual comparative representation and the analyses to which it led.

There are numerous aspects highlighted by the timeline. For example, the change in commercially available live stage play ‘products’ shows that there has been a change in the medium that occurred well after the availability of the technology needed to record the medium.⁸¹ Whether this has been caused by a contractual change related to the performers involved in the productions, a commercial reaction to the availability of filmed former stage plays, or a managerial decision made to develop the income base for theatre companies is not the focus of this research. However, the use of technology in creating ‘products’ based on live performances – including the private links provided for this research of (digitalised) archival recordings⁸² – has obviously become more acceptable within the medium in recent years. To what extent the commercial availability of this medium remains or develops as well as the influences to the medium that are likely to occur because of this historical change within the medium will not be known for many years. However, future versions of this timeline should allow further research into all of these aspects.

Although the importance of a timeline such as this for these adaptations of *Macbeth* is currently limited, it is likely to become more useful if further analyses of other Shakespearean adaptations are completed in future research. For example, combining this with the expansion of adaptations of other plays such as *Romeo and Juliet* and *Hamlet* may highlight intermedial influences throughout the relevant historical periods. Similarly, other influences such as economic and political factors may also become more obvious through additional timelines.

⁸⁰ It should be noted that the current availability of adaptations may exclude adaptations that were previously available in older technologies that are either no longer possible or have not been transferred/digitalized for commercial availability.

⁸¹ It is also notable that female directors achieve parity in this category, despite the dominance of male directors in all other media throughout the timeline.

⁸² It is possible that footage of older performances is contained in archival storage that was not accessed here due to financial constraints. For example, theatre archives in London may contain archival footage from earlier performances of *Macbeth* that were not analysed in this research. Similarly, the National Theatre has numerous scripts from early productions, but access was not possible due to funding constraints.

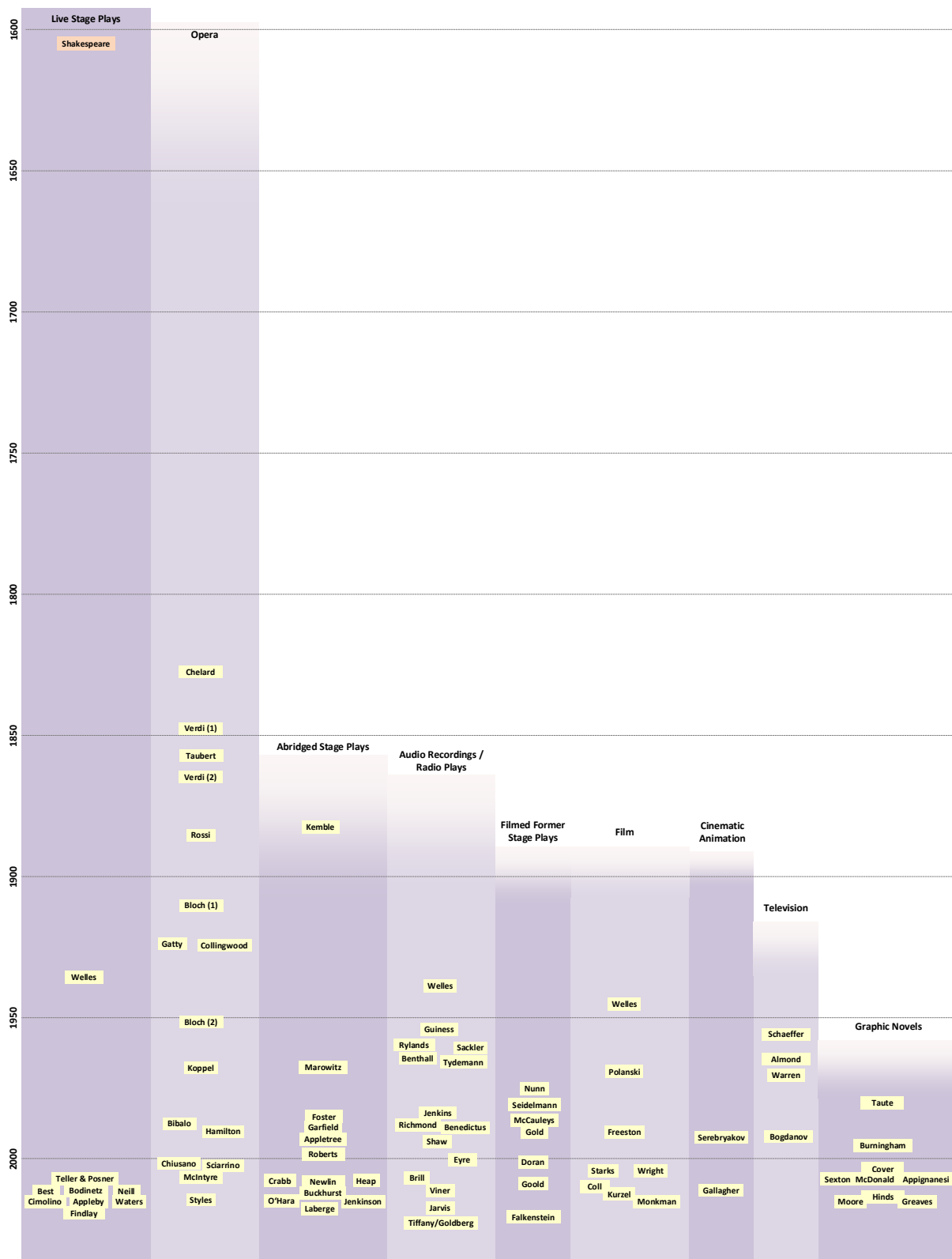


Figure 42: Timeline of the adaptations analysed in this research

A similar aspect that may be assisted by the timeline is the sudden proliferation of abridged (*printed*) plays that has become available since the 1990s. Whether this is due to the introduction of the internet

or educational programmes is also not the focus here. However, there is an obvious historical change that has occurred. The inclusion of other plays will also help determine whether historical effects have existed within a medium generally or only with *Macbeth*: television adaptations appear to be ignored in favour of films, for example, although this may only occur with relation to the use of *Macbeth* as the source text.

Adaptations accessed but not included in the analysis or disregarded

The following lists of adaptations were accessed and/or disregarded from the quantitative analyses because of various methodological issues. However, they may be discussed during the dissertation for non-statistical reasons.

The following list of adaptations were not part of the visual comparative representation because they do not maintain at least predominantly the original text from *Macbeth*:

- JOE MACBETH* (1955). A film adaptation (Hughes).
- THRONE OF BLOOD* (1957). A Japanese film adaptation (Kurosawa).
- MAKBET* (1969). A television adaptation that uses a Polish literary translation of *Macbeth* (Wajda).
- MACBETH: A BALLET IN TWO ACTS* (1980). (Vasiliev).
- MACBETH* (1997). An illustrated storybook (Escott and Kincaid [illus.]).
- MACBETH* (1998/2014), a modernized storybook (Marcia Williams).
- SCOTLAND, PA* (2001). A film adaptation (Morrissette).
- MACBETH* (2001/2007). A graphic novel (Elgin).
- RAVE MACBETH* (2001). A film adaptation (Knoesel).
- MACBETH* (2001, rev. 2005). Opera (Chiusano and Tyburn).
- SUPERNATURAL SCENES FROM MACBETH* (2002). An educational graphic novel (Hall and Coles).
- MAQBOOL* (2003). An Indian (Hindi) film adaptation (Bhardwaj).
- SHAKESPEARE RETOLD – MACBETH* (2005). A BBC film adaptation (Brozel).
- MACBETH* (2006/2010). An modernised text graphic novel ([46] Unknown).
- MACBETH* (2008). A simplified-language graphic novel with translated definitions for German native speakers, illustrated by Ken Hoshine (Haupt (ed.)).
- MACBETH* (2008). The ‘quick text’ version of a related series of graphic novels (McDonald Quick).
- MACBETH* (2008). A graphic novel published in India (Bhansali).
- THE OKAVANGO MACBETH* (2010). a chamber opera (Cunningham and McCall Smith).
- MACBETH* (2010). A live stage play (Lynch).
- MACBETH* (2011). A modernized stage play (Dowell).
- THE TRAGEDY OF MACBETH* (2011/2012). An amateur graphic novel (Dessi).
- MACBETH* (2012). A graphic novel with modernised language (Powell and (illus.)).
- THE INCOMPLETE SHAKESPEARE: MACBETH* (2016). A modernized abridged form of the play (Crace and Sutherland).
- SHAKESPEARE OHNE WORTE* (2016). A graphic novel without text (Flöthmann).
- MACBETH #KILLINGIT* (2016). A modernized textual form of the play using emojis and other forms and formats of digital text (Carbone and Shakespeare).

Two other adaptations were not included in this research because they are adaptations of Nikolai Leskov's *Lady Macbeth of the Mtsensk District (1865)*, not of Shakespeare's *Macbeth*:

LADY MACBETH OF THE MTSENSK DISTRICT (1932). Opera. (Shostakovich; Shostakovich et al.).

LADY MACBETH (2016/2017). Film. (Oldroyd).

Adaptations not accessed or unable to be accessed for this research

Three semi-opera adaptations plus the additions for one of them were disregarded prior to access due to the additional complications ensuing from the spoken sections of text in comparison to the fully sung operas that dominate the research, as well as because they were based on two source texts: *Macbeth* and Middleton's *The Witch (1610)* (Griffel *English* 359).

MACBETH, semi-opera by Locke, M. and Johnson, R., with libretto by Davenant (c. 1673).

Bishop (1819). Additional music to Locke's *MACBETH*.

MACBETH, semi-opera by Eccles, J., with libretto by Davenant (c. 1696).

MACBETH, semi-opera by Locke, M. and Johnson, R., with libretto by Davenant (c. 1673).

The following operatic adaptations were not able to be accessed and were therefore not considered for research.

Halpern, S., *MACBETH* (prem. 1965), opera, libretto presumed to be in English. A copy of the opera was unable to be accessed and is only mentioned as existing in some research (e.g. Griffel *English* 359).

Goldman, Edward Merrill. *MACBETH: AN OPERA IN THREE ACTS* (1961), libretto by the composer after Shakespeare. A copy of the piano held by the New York Public Library System (Goldman) was unfortunately not able to be accessed due to financial and copyright constraints. The opera is also mentioned in some research (e.g. Griffel *English* 359).

Goedicke / Gedicke, A., *MACBETH* (1944), opera, assumed to be in Russian, discussed in a few sources (e.g. de Kort) but unable to be traced.

Sandström, J., *MACBETH² [MACBETH SQUARED]* (1997-99), opera, libretto in Swedish by K. G. Johansson (EC and Sandström). This adaptation apparently draws on the music from Verdi's *MACBETH*. Access was attempted through the composer's agent, who forwarded the request. However, no further response was made or access provided by the composer.⁸³

⁸³ Reviews of the opera are available at <https://www.sydsvenskan.se/2001-05-07/dramatik-for-ogonblicket> and <https://www.aftonbladet.se/kultur/a/l1zyek/i-skuggan-av-macbeth>.

Part II – Chapter 2: Intermedial findings

“[T]he dichotomy between content and form is a false one, because form determines content and content form and a change of form alters the content, and a change of content requires a different form to express it.” (Esslin 16)

Esslin’s statement suggests that the more a structure is changed, the more that elements of a target text need to be changed. If this is true within adaptation, then there should be statistically observable patterns within the structural conventions. Based on the findings of this research, these patterns are observable in numerous ways, further suggesting that the medial categories can be separated because of these patterns. Although this research deals solely with adaptations of *Macbeth*, should later research into adaptations of other Shakespearean adaptations confirm this result through similar findings, then an important part of the quantitative knowledge gaps related to adaptation processes will have been filled. Were there no observable patterns in the data, then the comprehension of adaptations would be increasingly difficult, and would rely purely on qualitative assessments. However, as will be shown throughout this chapter, the evidence supports the separation of medial conventions as well as anecdotal knowledge about how practitioners adapt a source text into a particular medial form.

According to Branam, in the eighteenth-century it was considered appropriate that “[s]orting out Shakespeare’s good strokes and putting them in proper order were the tasks of the adapter” (5). Although “order” in this case is most likely referring to the importance of individual parts of Shakespeare’s writing, it is also nevertheless relatable to the “order” in which the ideas occur in adaptations of both the twentieth and twenty-first century. However, as will be seen in the statistics later in this chapter, the issue of repositioning within the various media only appears to be a ‘standard’ convention within certain media, particularly in the category of film adaptations. Branam further states that at the time:

the adapter [was] doing a service by saving the good in Shakespeare – whether it be by separating his gold from his dross, pruning his garden, rebottling his liquor, tuning his lyre, or rebuilding his ships. (6)

The original text adaptations analysed in this research do, to various extents, prune and rebuild *Macbeth*. He further discusses the first twenty years of the eighteenth century, in which the plays were “extensively changed” to the point of them being “based on Shakespearean material” (7): “raw material from which real plays might be made but had not” (9). This view of Shakespeare has, at least in modern thinking, changed considerably. For example, the market for Shakespeare in both live and recorded forms is becoming heavily dominated with ‘traditional’ or ‘original’ versions of *Macbeth*, despite the existence of numerous ‘loose’ adaptations. Adaptations that break drastically from original structures such as *A MACBETH* (Marowitz *A Macbeth*) are not necessarily intended to do so because of

a failure of Shakespeare, but more because of the adapting to modern approaches and beliefs. Of more relationship to the adapters portrayed by Branam is the second phase of that century, in which [i]nstead of saving only the passage that was especially admired, the adapter now discarded only what was especially offensive” (10) and when textual additions were made, they were done so in a fitting style, an aspect which is obvious in the example of the additions made to Nicholas Gatty’s 1924 opera, where the librettist added a scene involving Fleance discussing his escape in similar style to the language of Shakespeare.⁸⁴

The ultimate goal of the analysis is to permit theorists to reassess previous assumptions and conclusions in order to support or reverse theoretical concepts. As Altman states, “[h]ad genre theorists turned instead to other available models, for example quantitative uses and gratifications research,... they would certainly have reached different conclusions about the function of genre” (27). Although the findings in this research are restricted in scope to the theoretical implications for some of Hutcheon’s theoretical concepts, the findings will be presented in a way that allows for future research into other theoretical approaches, as well as forming the basis for research into adaptations of other source texts.

This chapter contains two main sections that describe the results of the overall intermedial analysis. Firstly, the statistical results for the structural conventions – ranges and percentages, additions, repositions, repeats, and amendments – within the medial categories are presented, along with various analyses for correlations. The second main section discusses general observations related to patterns of usage observed in the visual comparative representation, such as the sections avoided or significantly abridged by adapters, as well as what implications for adapters are suggested by the findings.

Statistical analysis based on the visual comparative representation

As already documented in *Part II – Chapter 1*, the methodology of quantifying 75 adaptations of *Macbeth* in this research includes numerous structural aspects. These aspects form the basis of the following analysis, which identifies the range and median values for medial categories, and in some cases the specific values for individual adaptations. In most cases for each of the structural aspects, statistics are provided for scenes, acts, and entire adaptations.

⁸⁴ Refer to *Part III – Chapter 3* for a more detailed discussion and the text that was added.

Ranges and median percentages for medial categories

The following subsections contain the findings related to the ranges of percentages of individual medial categories for each scene and act of *Macbeth* as well as comparative intermedial analyses. Prior to the analyses by act, a specific and progressive comparison of the relationships highlighted by the scene-by-scene median percentages is provided for the link between four categories of media: live stage plays, filmed (former) stage plays, television, and film.

Ranges and median percentages (by scene)

In each of the nine range and median percentage figures in this subsection, the same visualised format is maintained. For each scene of the source text, including 3.5 and the additional lines in 4.1, the range is shown in light grey and the median percentage is displayed with a red crossbeam. The sample size for each diagram is shown in brackets following the category name.

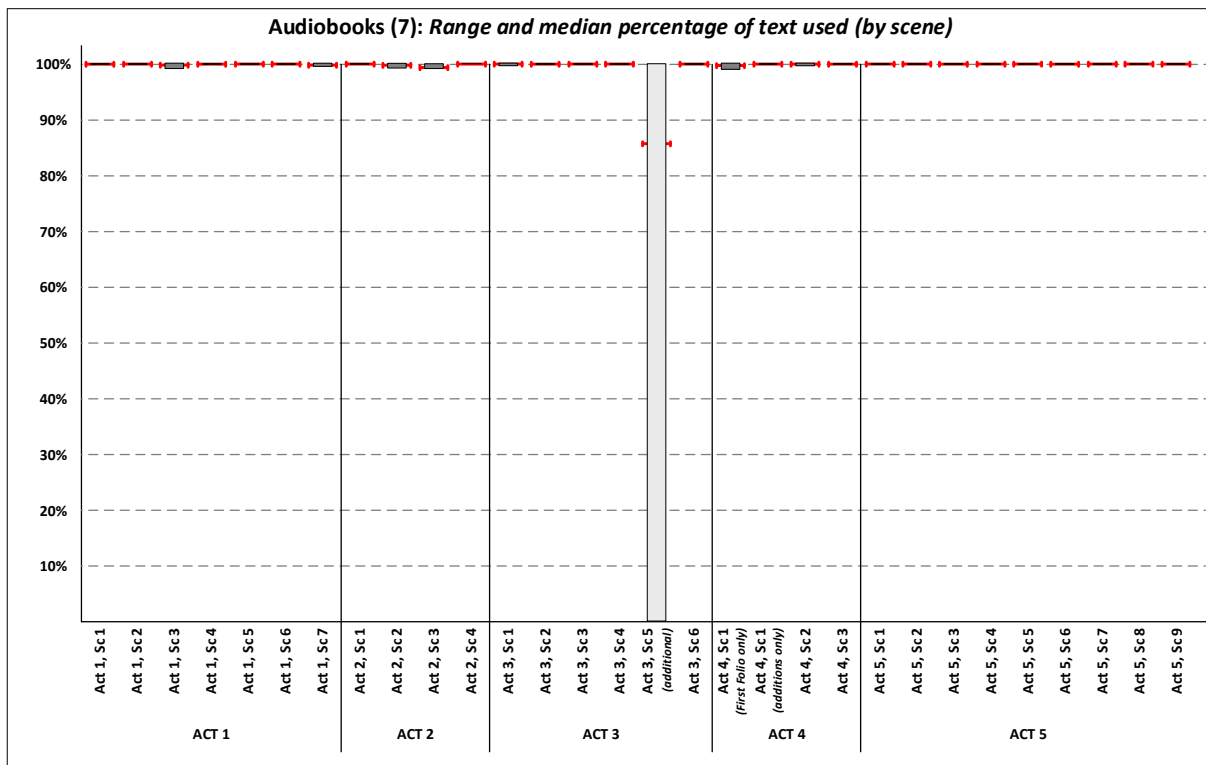


Figure 43: Audiobooks – Range and median percentage (by scene)

In Figure 43 above, the almost completely ‘unabridged’ status of audiobooks is made clear, with only one audiobook failing to set the text from 3.5, and only partial lines from some of the seven samples not being performed. This is the only medium that has a range so closely confined and a median that is so consistent, at least from the examples accessed. The only other category where this is achieved is one grouping of “8a. Graphic novels (unabridged)”, in which the two samples achieve a similar consistency, unlike “8b. Graphic novels (abridged)”, which are varied to a great extent (refer to Figure 55). In the case of the audiobooks, the unabridged graphic novels and one radio play that with regard to percentages is a probable outlier (Jenkins), it is obvious that the driving force behind the media is

that of providing every part of the source text, providing perhaps the clearest examples of what could be defined as textual fidelity as described in *Part I – Chapter 3*. The suggestion is that the intention of the director is to provide a form of media that can be used for study of the text as a whole.

In contrast to the unabridged media, live stage plays demonstrate a considerably wider range for many scenes, with only four of the twenty-nine scenes achieving a range that sits completely above ninety percent. Further highlighting this inconsistency in what adapters consider important in *Macbeth*, and even excluding the additional sections not from the First Folio, five of the acts register a median percentage lower than seventy percent, despite there being adaptations that use all or almost all of the text from each scene. This suggests that the live performance of the text is varied greatly because of a difference in performer-audience goals when compared to audiobooks, which would support the concepts of splitting visual and auditory aesthetics of Hutcheon’s *modes of engagement* which were documented in *Part I – Chapter 2*. An audience is able to follow the written text of a play while an audiobook plays in the background because their visual attention is not required. An audience that is focussed on both types of aesthetic aspects which are being provided on a stage would not have the ability to determine whether the entire source text is being followed. This removes directors from the constraints of the ‘unabridged’ and thereby permits freedom to ignore the structure of the source text.

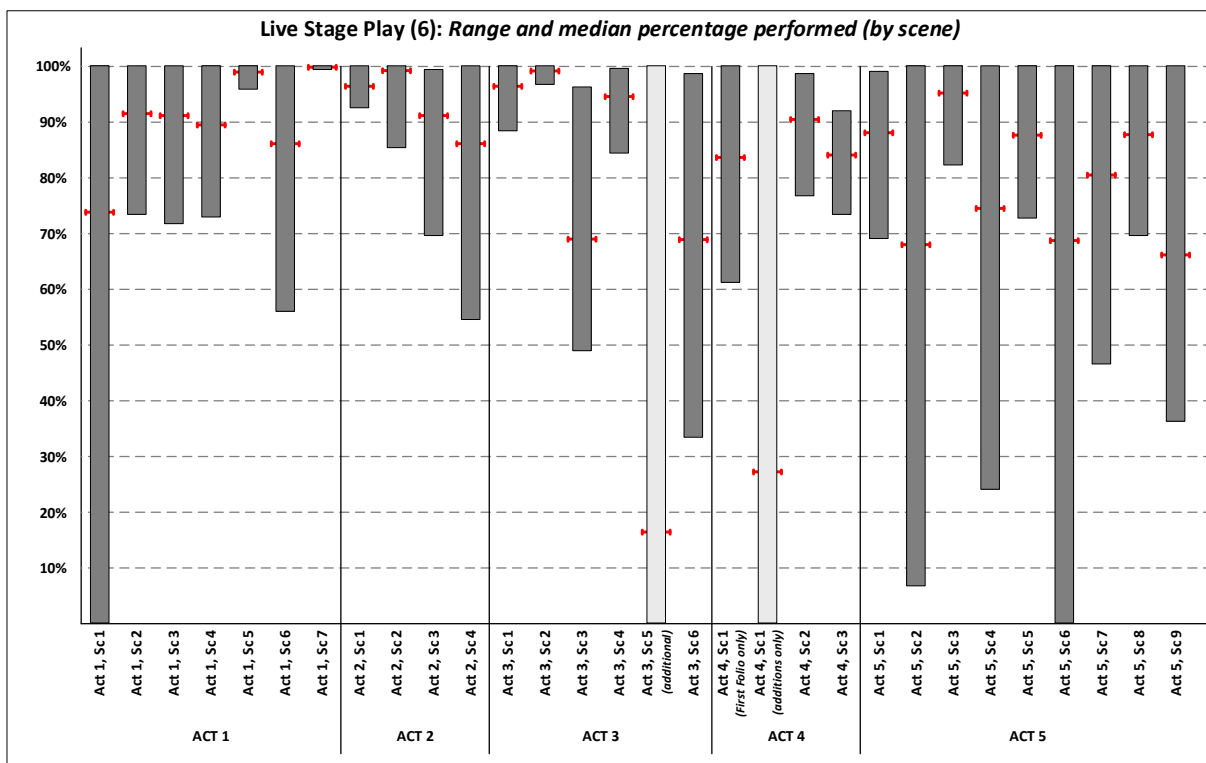


Figure 44: Live Stage Plays – Range and median percentage (by scene)

It is perhaps unfortunate that the same stage productions have not been filmed in a studio. However, if the examples analysed in “3. Filmed (former) stage plays” can be assumed to be representative of the change that occurs when live stage play productions are moved into a studio for filming, then some aspects related to range and median percentage differ slightly from live stage plays. In addition to the slightly lower overall percentage of text performed, and with the exception of the additional lines in 4.1 and one adaptation which does not set the murder of the Macduffs (4.2), every scene is performed in this category. Another major difference is the complete removal of the additional scene (3.5) from all adaptations.

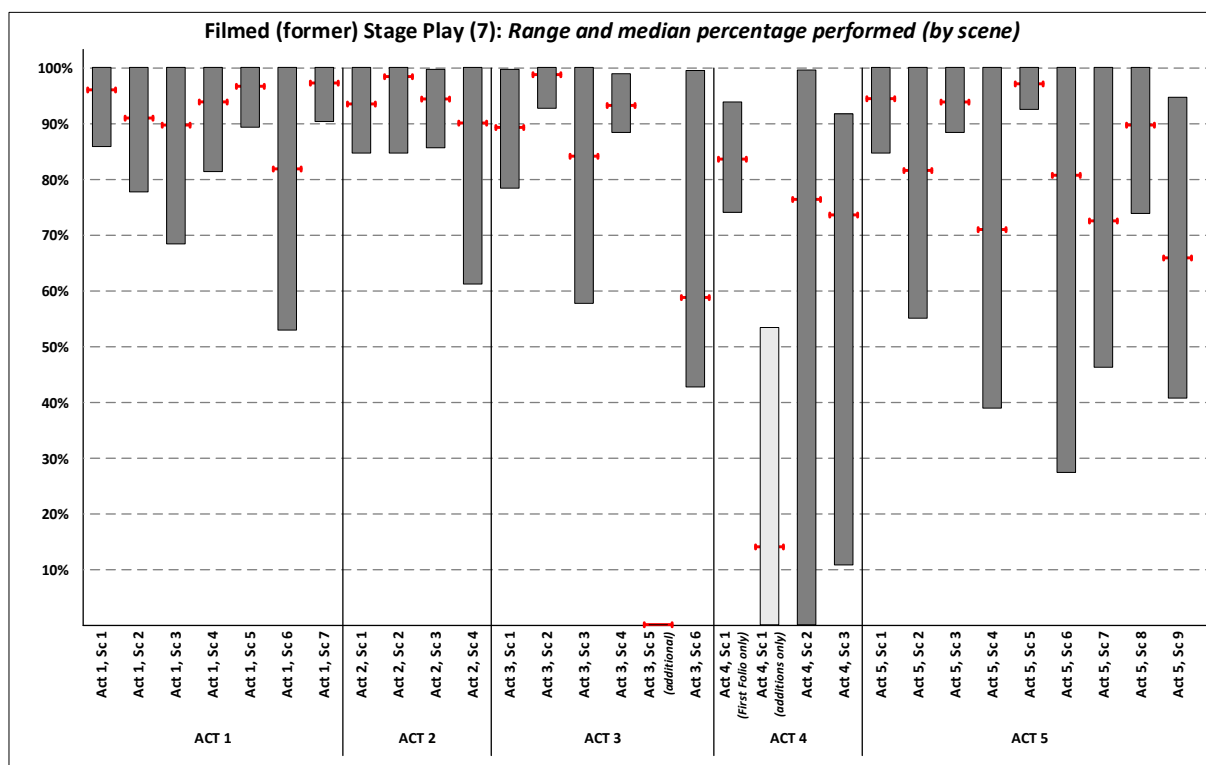


Figure 45: Filmed (former) Stage Plays – Range and median percentage (by scene)

The difference in percentage between live stage plays and filmed (former) stage plays could partially be a result of the form of production and the means of consumption. Both live performance and the filming of a play entail certain time restrictions and their related costs. It is also possible that considerations of the audience play a part in the reduction of the filmed form. In the case of a live audience, they are there to see a live performance in a venue. In the case of a ‘film’, an audience knowing of film conventions could perceivably expect more visual action and less spoken dialogue. Only through further research into the actual live stage play versions of the filmed (former) stage plays would it become possible to know whether they were in fact reduced from the live stage versions for the reproduction into the screen-based medium.

Figure 46 shows a more compact range in the structural percentages of “4. Radio plays”. In contrast to the other auditory-only medium analysed in this research, audiobooks, the four radio play samples⁸⁵ demonstrate a mixture of ranges, with three scenes being used in their entirety by all directors and two scenes (3.5 and 3.6) being completely disregarded by all four. The results in this case should also be considered with regard to the small sample size, which could only be supported through further research into radio plays.

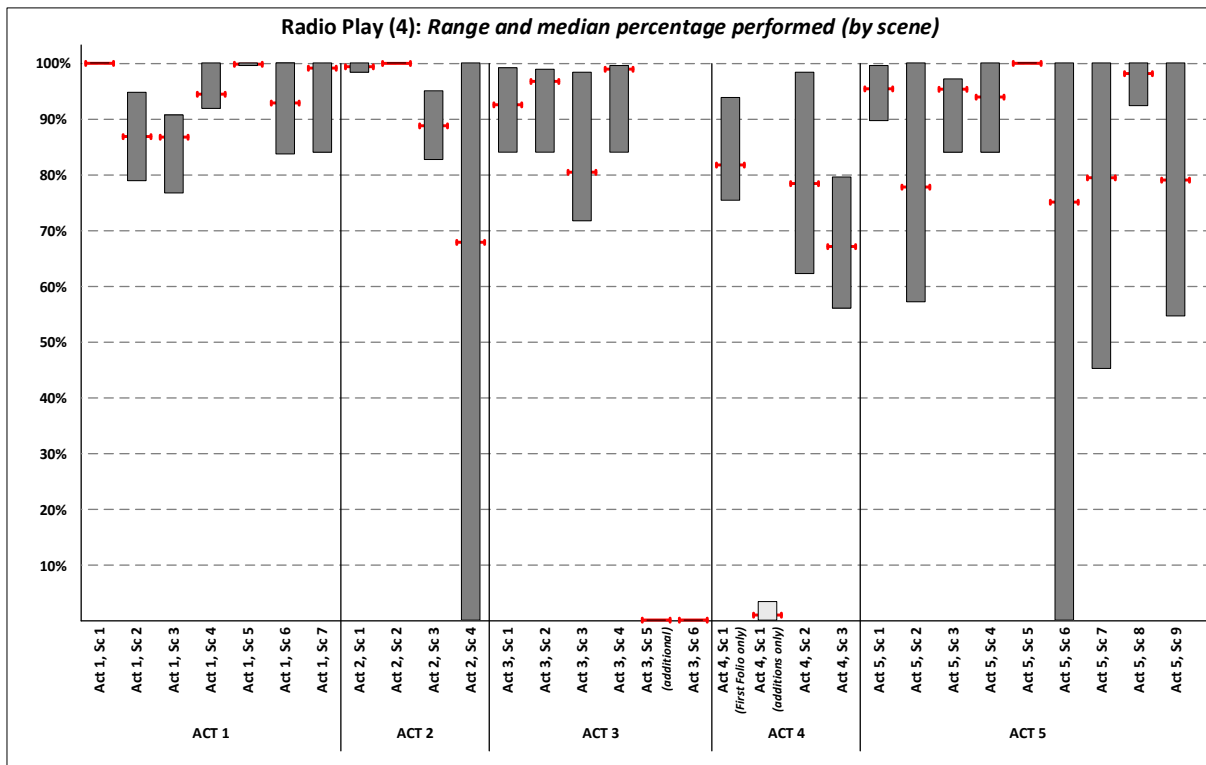


Figure 46: Radio Plays: Range and median percentage (by scene)

Figures 47 and 48 on the following page visualise the similarities between radio plays and both live stage plays and filmed (former) stage plays. With the exclusion of 3.6, which was not performed in any of the radio plays,⁸⁶ the patterns of median percentages across the scenes follow closely in the majority of cases. Whether this portrays a connection between the different media through the people involved in each of the categories – and their potential involvement in the other categories – or through the relevance and importance of the narrative sections perceived by the practitioners in these media cannot be ascertained in this research. However, as will be discussed later, many operatic adaptations discard the same scenes that form the low points of the contours, particularly in Act 5.

⁸⁵ The Jenkins radio play has been removed from the statistics due to it being unabridged and therefore a probable outlier. Jenkins’ adaptation conforms to the percentage of audiobooks, but was originally produced for radio broadcast as opposed to a physical, purchasable product.

⁸⁶ Excluding the probable outlier by Jenkins.

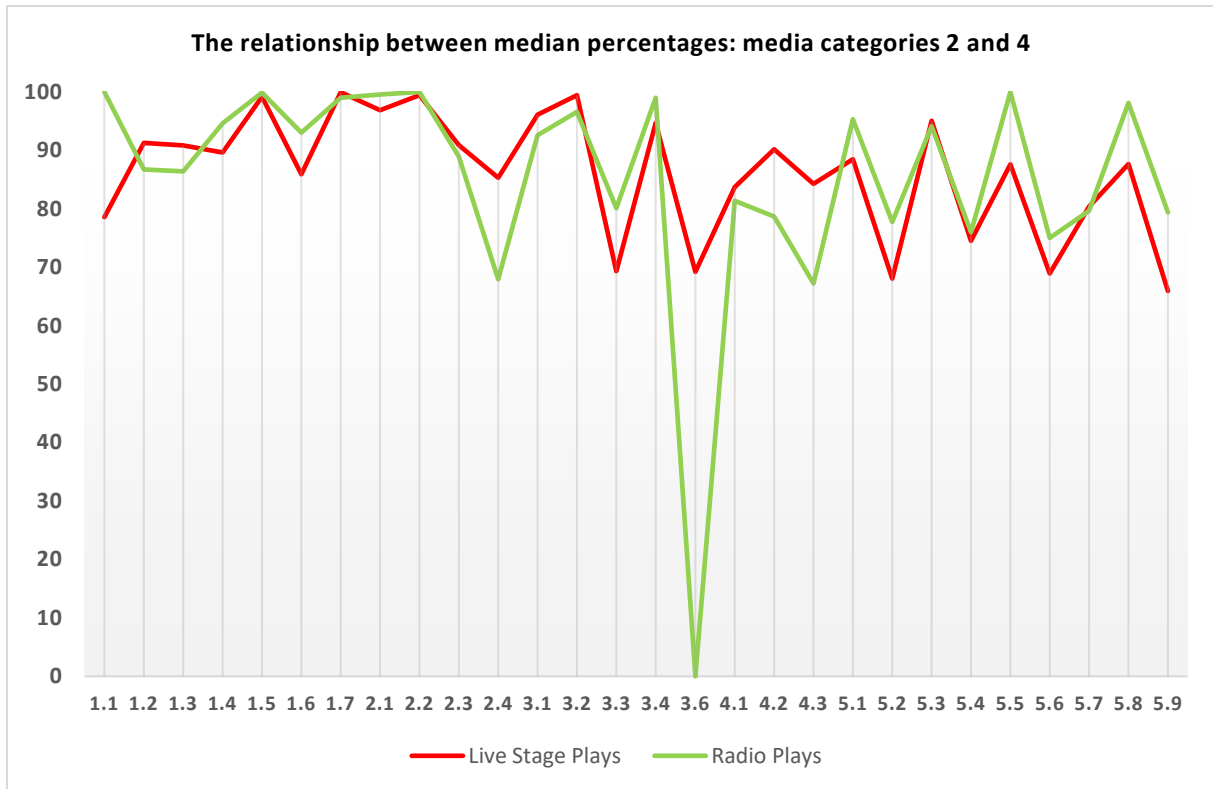


Figure 47: The relationship between median percentages of media categories 2 and 4

As can be seen in the closeness of the pairs above and below, both contours present similarities, despite the occasional differences in both pairings.

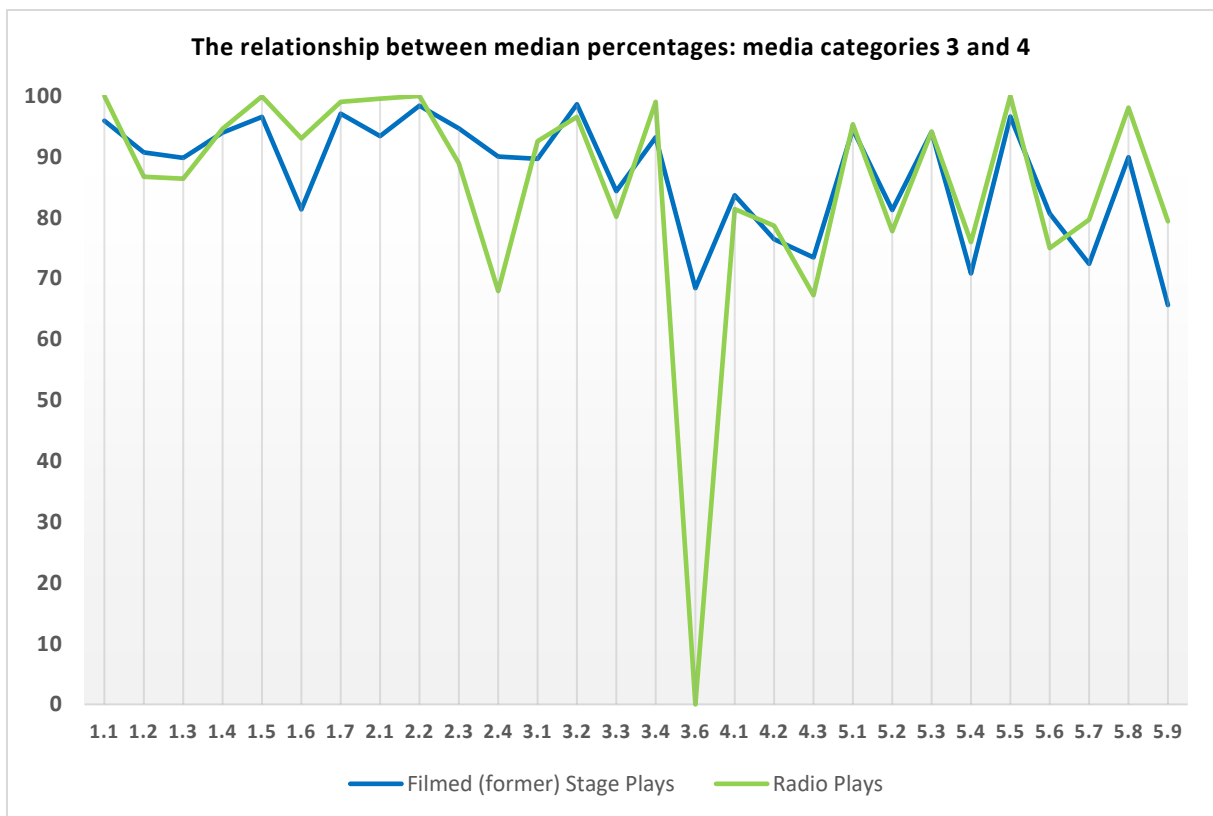


Figure 48: The relationship between median percentages of media categories 3 and 4

The combined relationships that radio plays have with both live and filmed stage plays are shown in Figure 49, with radio plays often sitting closer to the one-hundred percent median of audiobooks. However, as can be seen, this closer proximity to the other auditory-only medium is not consistent across all scenes, and indeed the complete opposite in the unperformed 3.6.

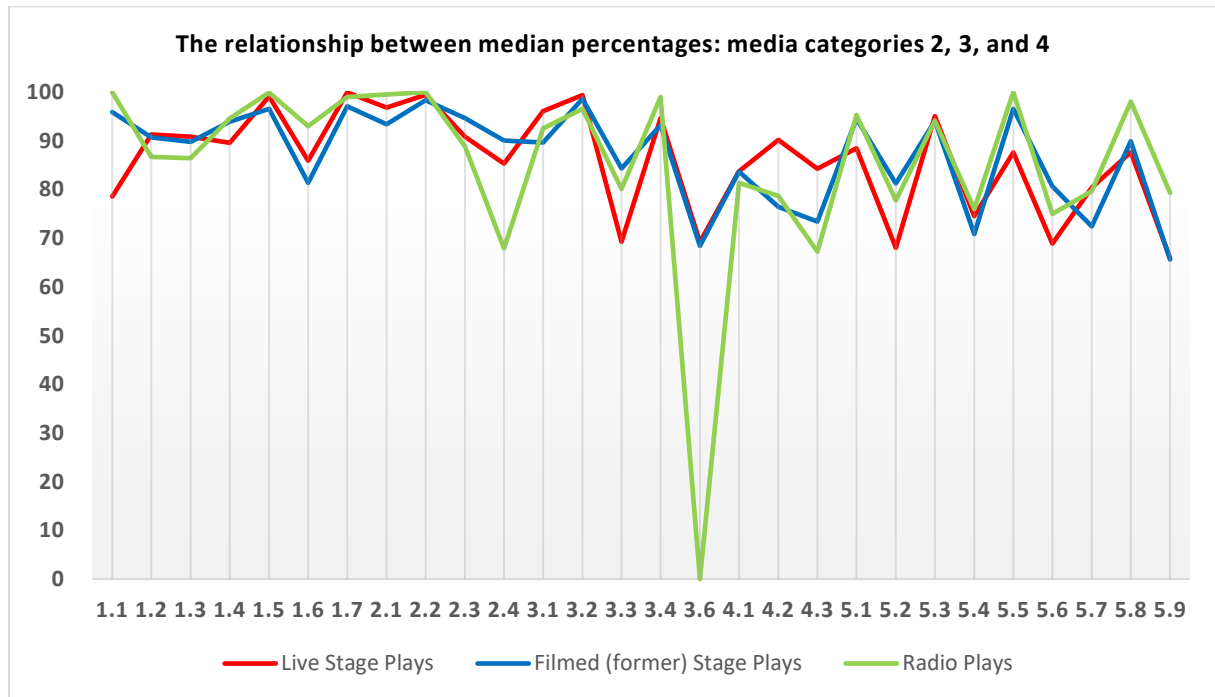


Figure 49: The relationship between median percentages of media categories 2, 3 and 4

The statistics for the previous three categories display an observable connection between the percentages. The findings suggest that the goal of each of the categories is to “present” or “re-present” a stage play version of *Macbeth*, unlike the modern media, which seek to provide an audience with an adaptation that is not stage-bound. This is possibly not surprising considering the links that the media have through actors, directors, and production companies.

In a similar way, it could therefore be expected that a similar connection might be possible between the modern media, particularly the screen-media. As will be shown, there are influences that are evidenced between these forms, including the filmed (former) stage plays being the bridging form between live stage plays and film. However, prior to providing the visualisations of these connections, the individual media for “6. Television” and “7. Films” will be presented.

Due to the constraints of availability of purchasable products and difficulties in accessing archival footage, the sample size for television adaptations is once again small, with only four available. Further to the problems with this sample size is the re-formatting of some from the original episodes into a single film, in which some contain missing sections, as previously described. Figure 50 shows the averages by scene for television productions, which do not appear to conform to any particular pattern in either range or median percentage, although certain scenes do appear to conform to the same lows and highs as mentioned in the previous comparisons between the more traditional media. This is particularly visible in Act 5, where once again scenes 5.2, 5.4, and 5.6 involve considerably lower median percentages. With the exclusion of one adaptation performing part of the additional lines in 4.1, all of the text not pertaining to the First Folio are disregarded by the adapters.

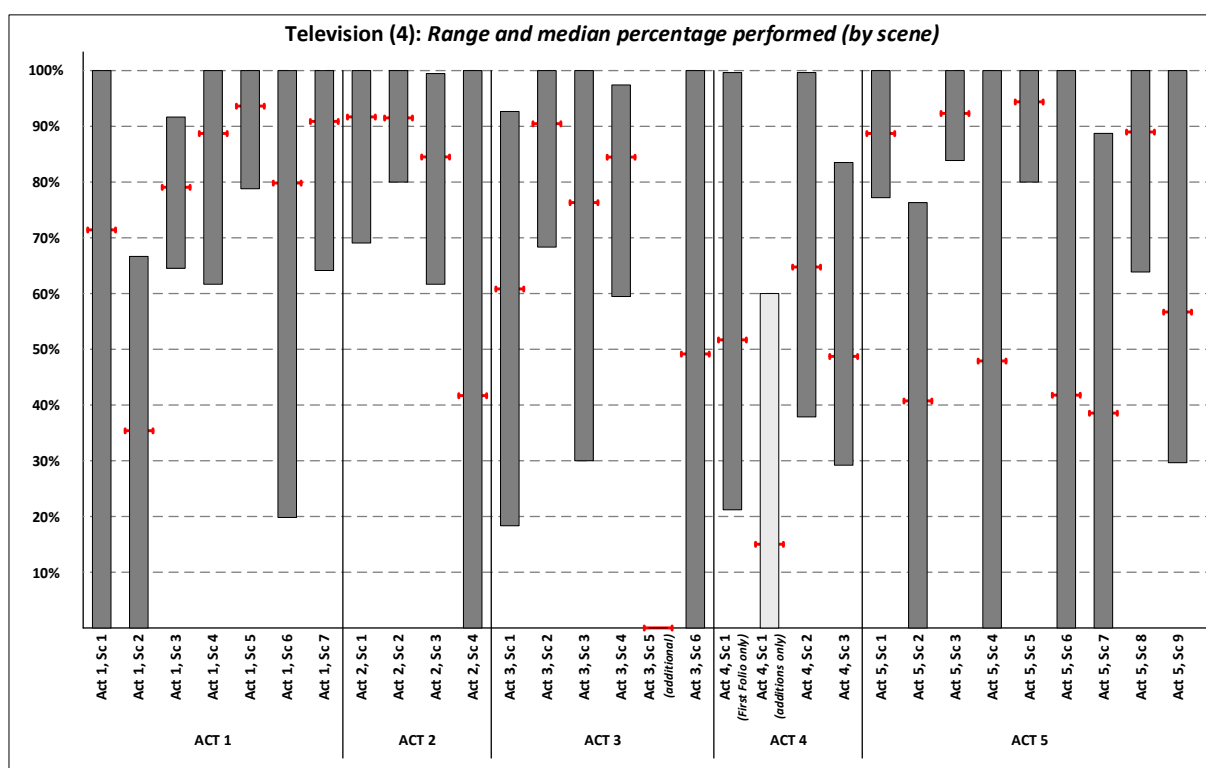


Figure 50: Television productions – Range and median percentage (by scene)

As with the television adaptations, the films appear to follow similar patterns of median percentages in the same scenes and do not have any pattern with regard to the ranges adapted. However, unlike the television adaptations, which demonstrate a range up to unabridged scenes on numerous occasions, films rarely set entire scenes, even if they are broken up into separate sections, as represented in Figure 51. Although the sample size of the films is twice the size of the television adaptations, there is nevertheless a need for an increase in the number of samples before certainty of these median percentages can be achieved.

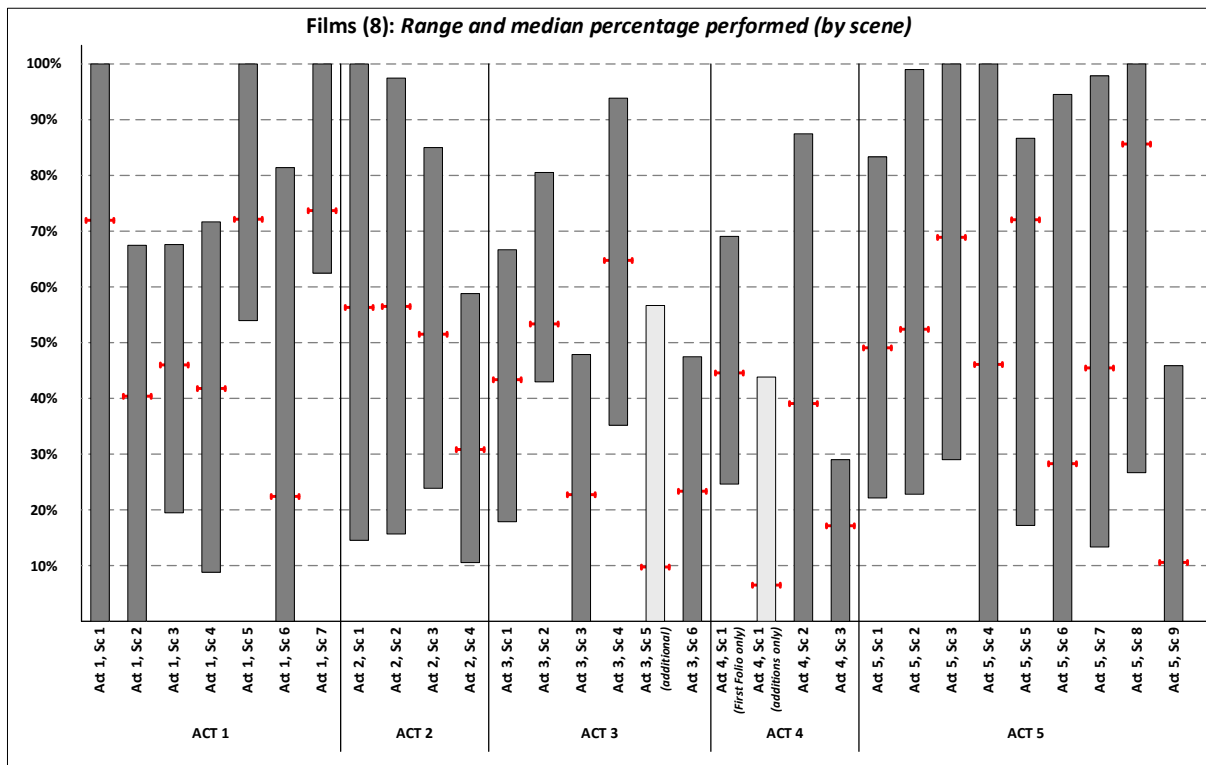


Figure 51: Film – Range and median percentage (by scene)

As mentioned earlier, the analysis of the individual categories in the previous subsections permits a comparative analysis of the statistical values for pairs and groupings of different media. One aspect that supports the separation of screen-based media into the categories of “3. Filmed (former) stage plays”, “6. Television”, and “7. Film” is the difference in percentage. As can be seen in the following diagram (Figure 52), filmed (former) stage plays involve a considerably higher percentage of performed text than in films, despite a similar pattern in the percentage per scene. This diagram includes only the text from the First Folio version of *Macbeth*, and does not include the other aspects of the adaptations, such as the order of text, which will be discussed in later sections.

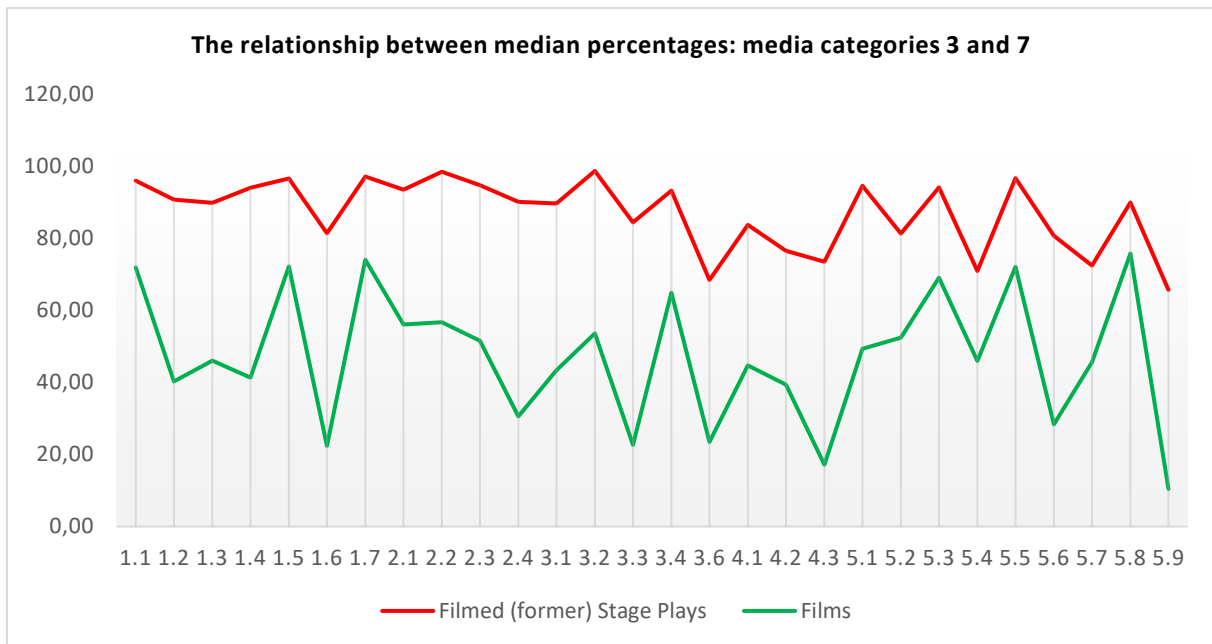


Figure 52: The relationship between median percentages of media categories 3 and 7

As can be seen in Figure 53, when the comparison then also includes the percentages of the category “2. Live stage plays”, it becomes obvious that the percentage of filmed (former) stage plays aligns more closely with live stage performances than filmed studio versions: a difference presumably due to the use of target texts such as screenplays.

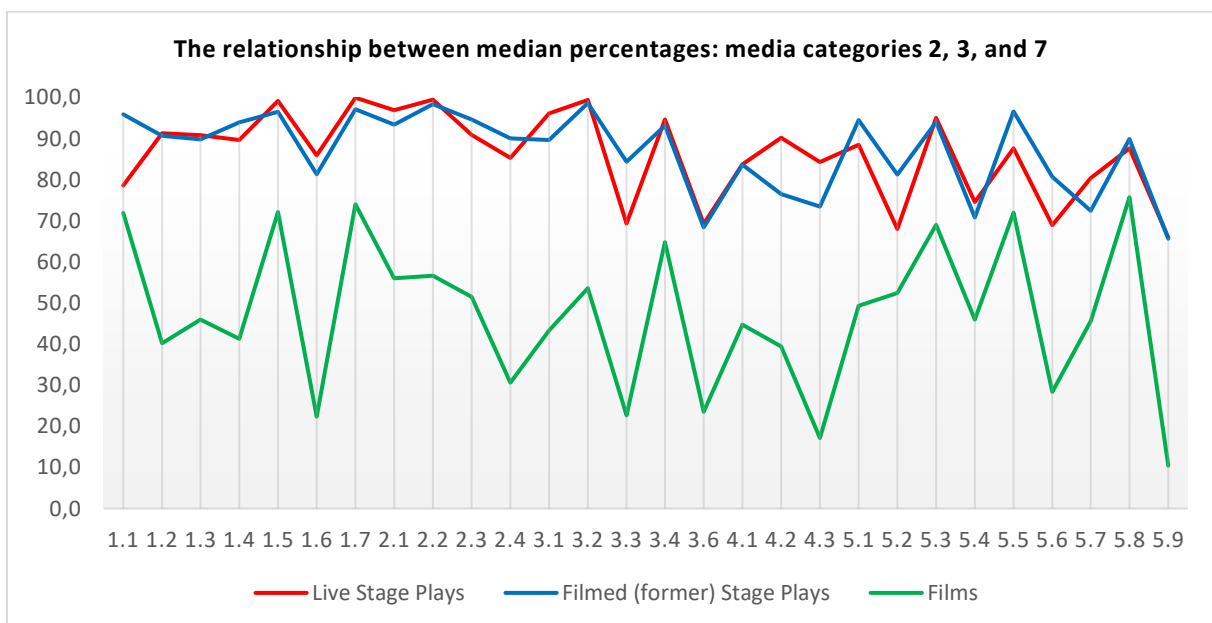


Figure 53: The relationship between median percentages of media categories 2, 3, and 7

The inclusion of the medians for the category “6. Television” into the comparison then partially fills the gaps between the medians, although the percentage is often comparable to that of live stage plays. This suggests that a filmed performance made for television is essentially viewed as a means of presenting staged Shakespeare to a – free – mass audience, despite some theatrical drawbacks, for example, separating the work into episodes, as occurred in Almond’s 1961 adaptation, which also included discussions about the play in each 30-minute episode (Caldwell).

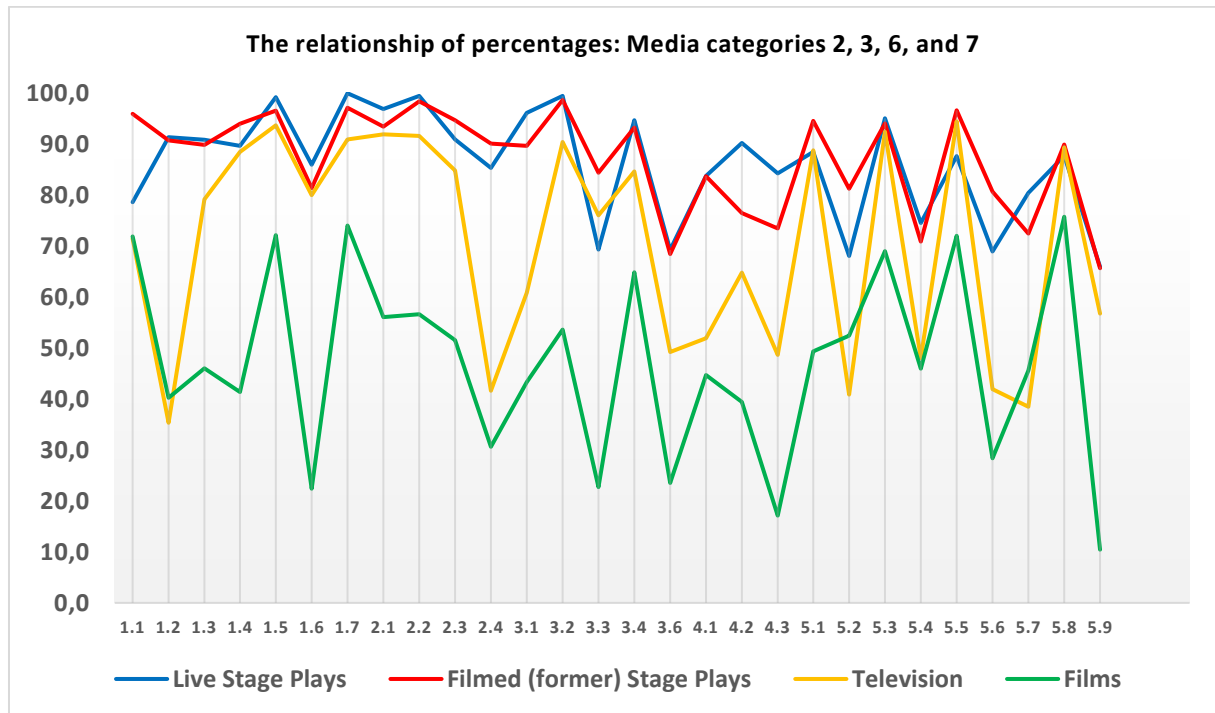


Figure 54: The relationship between median percentages of media categories 2, 3, 6, and 7

The three separate categories of printed adaptation exhibit similar ranges to the modern media. However, two of the graphic novels analysed were separated from the other graphic novels due to the percentage of text used, as both mediated almost the entire source text into illustrated form. Excluding these two adaptations in “8a. Graphic novels (unabridged), the ranges of “8b. Graphic novels (abridged)”, “10. Abridged stage plays”, and “11. Operas” are varied. Figure 55 shows the averages by scene for the abridged graphic novels, which also feature low usage of text from the same scenes in Act 5, and a low percentage of text from Act 4 generally.

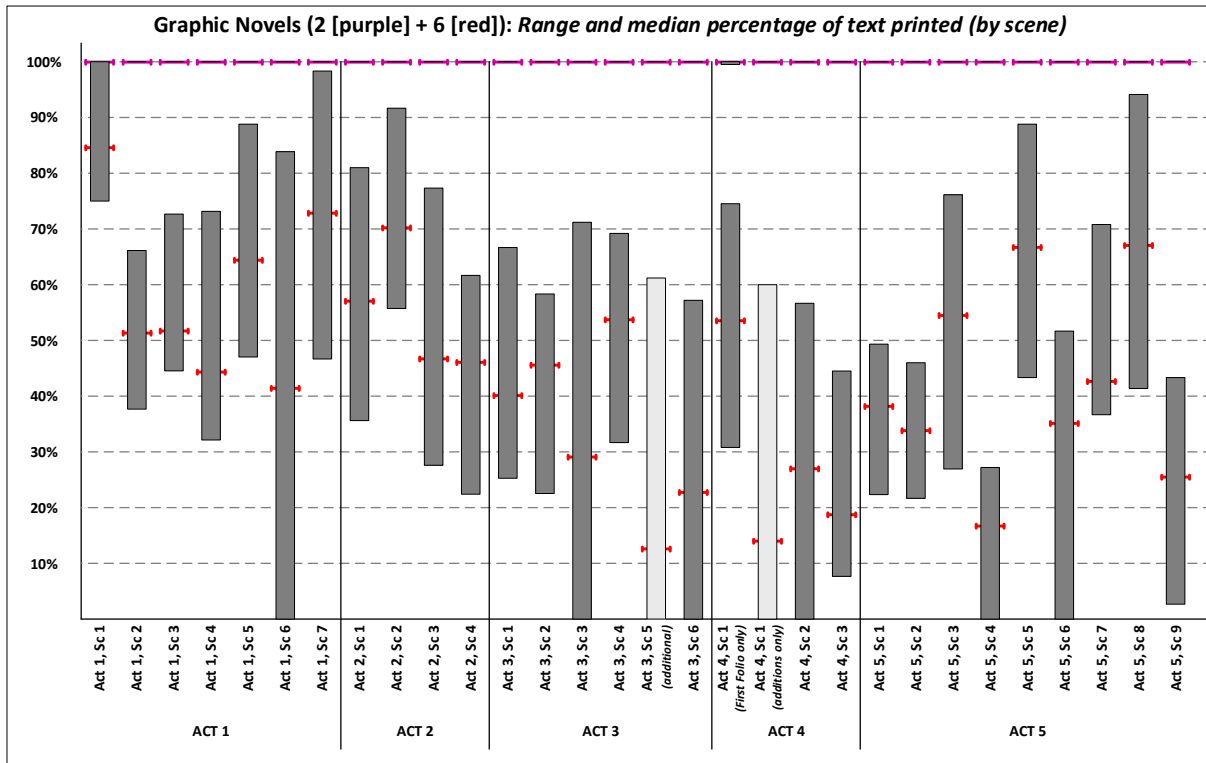


Figure 55: Graphic Novels – Range and median percentage (by scene)

A similar pattern of percentages can be seen in Figure 56, which shows the averages by scene for abridged stage plays. However, the range is much wider than in graphic novels, possibly because of the larger sample size. The intention of the medium to be performed in different situations, such as time lengths, separates the medium from graphic novels, which have no time constraints.

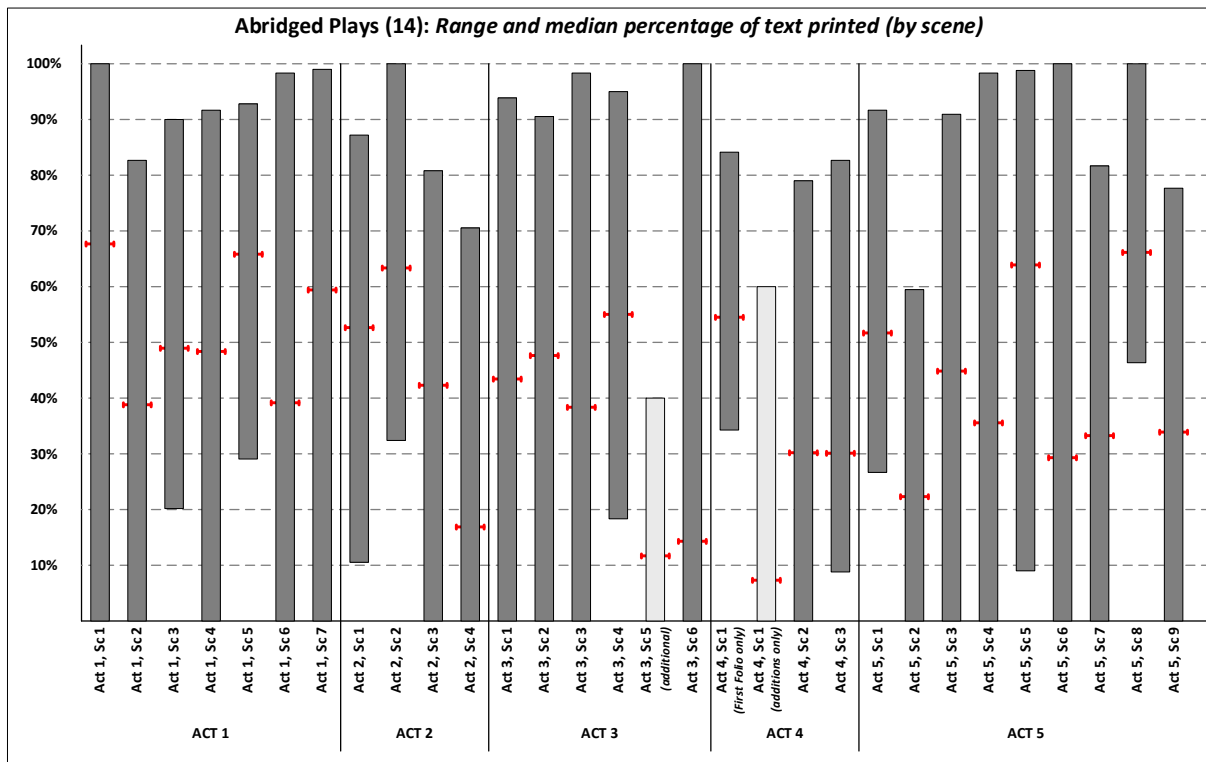


Figure 56: Abridged Plays – Range and median percentage (by scene)

Figure 57 shows the median percentages and ranges by scene for the operatic adaptations. Although this graph does not involve all operas,⁸⁷ it does include the Danish opera by Herman D. Koppel, as it was composed using a literal translation that was easily comparable to the source text. As can be identified, the medians are often extremely low in comparison to other media, particularly the same scenes already mentioned above, which are often completely omitted in the operas. The percentages in these operas also involve the composed versions of the operas, including the sections that were cut in both Lawrence Collingwood’s 1925 opera and Herman D. Koppel’s 1968 opera during the productions of the operas that occurred later.

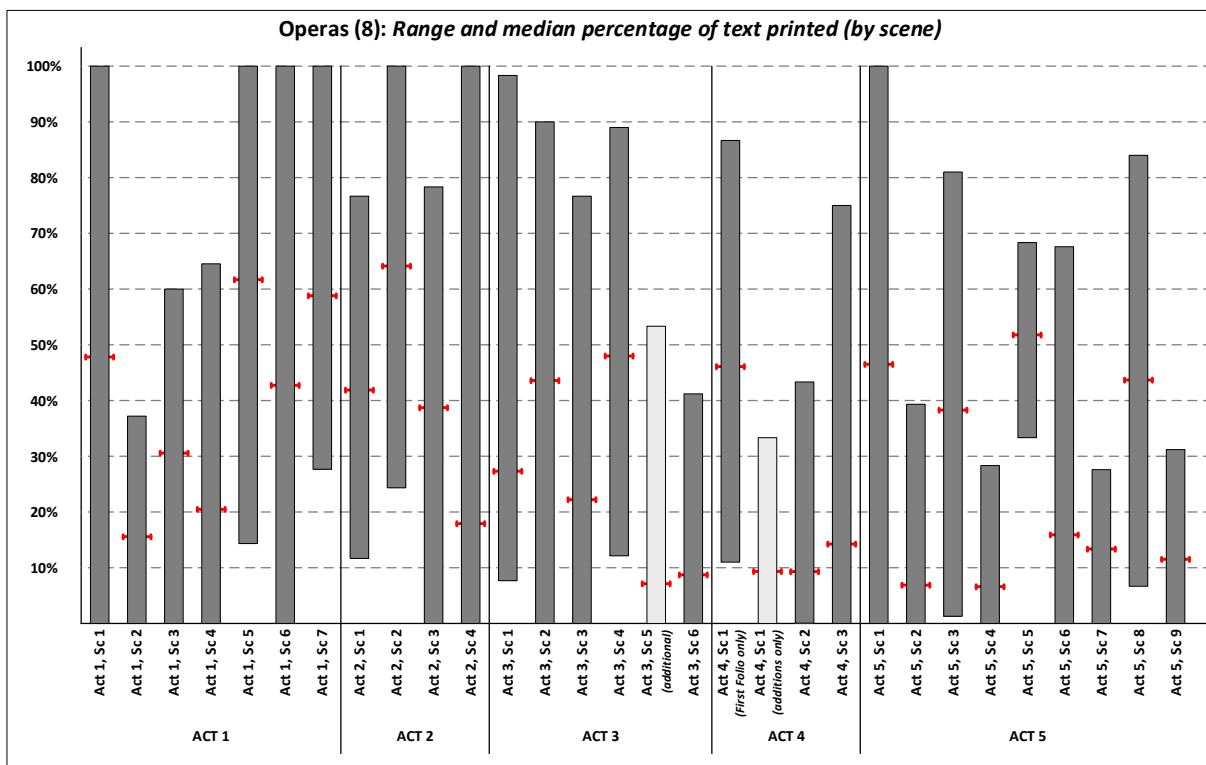


Figure 57: Opera – Range and median percentage (by scene)

⁸⁷ Included: Bloch (English version), Gatty, Collingwood, Koppel (Danish), Bibalo, Hamilton, McIntyre, Styles.

Ranges, individual percentages and median percentages (by act)

Although the comparisons in the preceding subsection present the relationships with regards to percentages, there are many other aspects that are necessary to define before a true understanding of intermedial differences in structural conventions becomes clear. The following subsection reports the findings of the percentages across each act of *Macbeth* with the inclusion of the median value for each media (red cross beam) and the percentage for each individual adaptation (blue cross bar, or grey cross bar for probable outliers), the range for the media (dark grey) with the range extensions to probable outliers (light grey). What Figure 58 demonstrates is the wide range of individual percentages adapted across most of the media. With the exclusion of “1. Audiobooks”, one sample in “4. Radio play”, and “8a. Graphic novels (unabridged)”, all of which maintain an extremely close level of textual fidelity, the ranges for each medial category vary greatly. What also becomes obvious on inspection is that the anecdotal evidence that suggests that opera involve a small percentage of text is correct on average, but the range includes percentages far in excess of percentages contained in some screen-based media and operas that are far shorter in duration. The difference in these cases, is naturally, the duration of performance times. However, the range highlights that anecdotal evidence is not necessarily all-encompassing for media and their adaptations – at least adaptations of *Macbeth*.

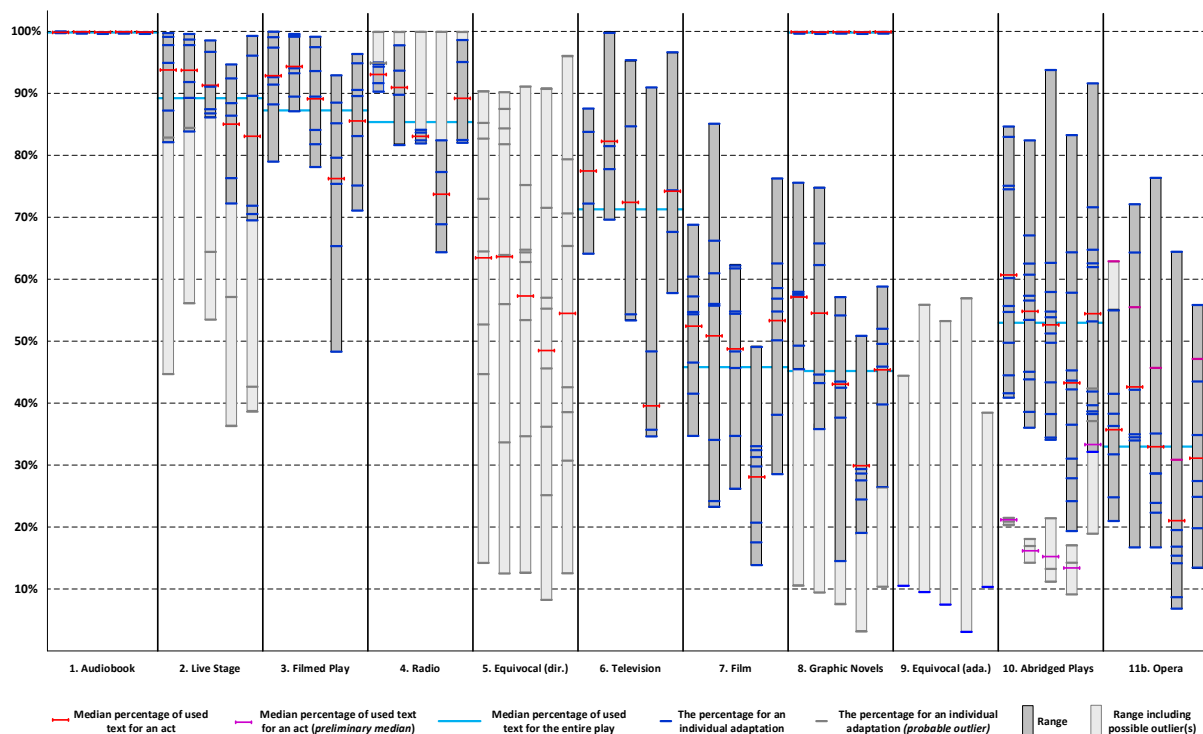


Figure 58: Comparison of All Media – Range, percentages, and median percentage (by act)

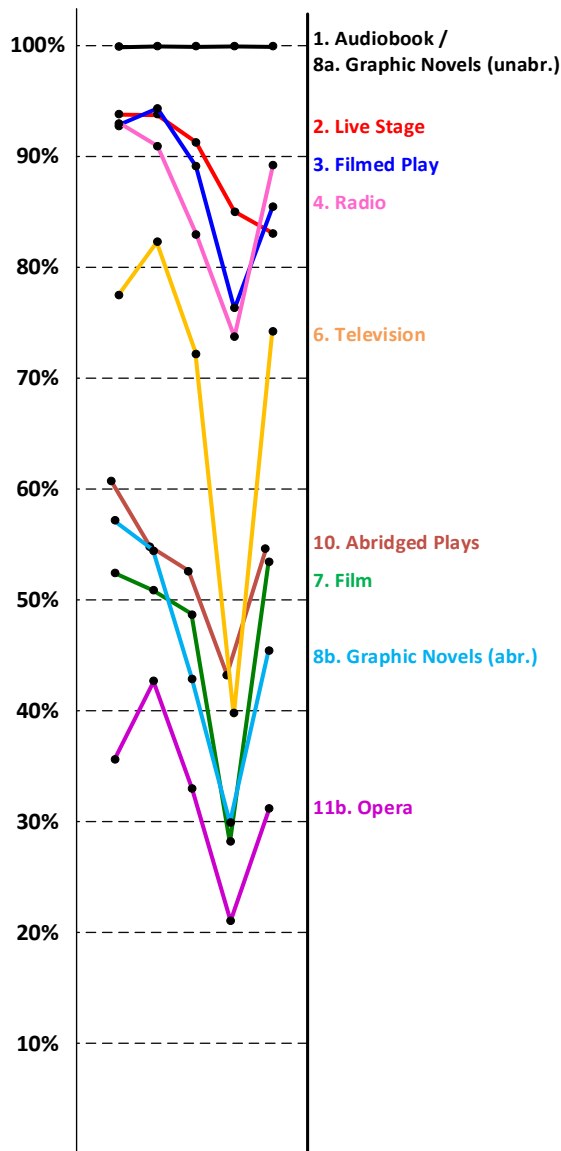


Figure 59: Comparison of median percentages and ranges – All acts compared by category of media

The medial differences are visually more prominent when the median percentages for each medium are shown together, as in Figure 59. As can be seen, there is a distinctly similar pattern across the five acts of *Macbeth*. With the exception of some slightly reversed median percentages in acts two and five, for example between the adaptations categorised as live

stage plays, filmed (former) stage plays, and radio plays, the reduction in the median percentage of original text used in each medium is generally quite clear. In most cases, there is a gradual decrease in the percentage to Act 4, where the amount of text used is significantly lower than all other acts⁸⁸ prior to returning to a higher percentage for the final act.

This differentiation suggests that the constraints and freedoms conventionalised in each category necessitate a different percentage of text in order to fulfil the time and/or structural requirements. If this is the case, further research into adaptations of other source texts would presumably find similar proportional percentage relationships between the media, although the percentages may in fact be higher or lower, dependent on the length of the source text. For example, if a target medium's convention calls for a 90-minute performance length such as in film, then a source text longer than *Macbeth* would subsequently require a greater level of abridgement. This would be the case if *Romeo and Juliet* or *Hamlet* were to be adapted, as they are longer in amount of text than *Macbeth*. Therefore, the amount of text used to fulfil the 90 minutes would essentially be the same, but the percentage of the longer source text would be reduced.

⁸⁸ Refer to later in this chapter.

Figure 60 exhibits the detailed diagram of the acts by medium, with the additional inclusion of the individual percentages and probable outliers. The same range, individual percentage and median percentage diagram as appears earlier in Figure 58, when re-formatted into each act by medium, also represents the same information as in the summarised percentages of each medium for each act in Figure 59, yet the detail requires more time to notice the same information.

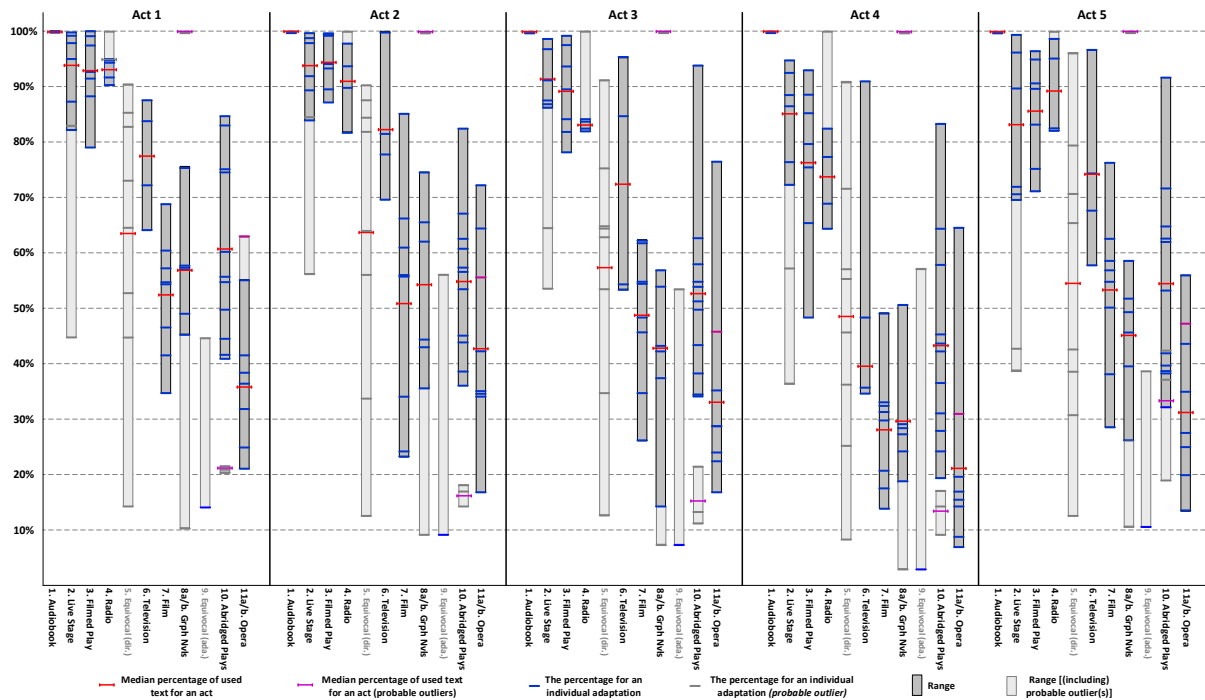


Figure 60: Comparison of median percentages and ranges – All acts compared by category of media

Ranges and median percentages (totals)

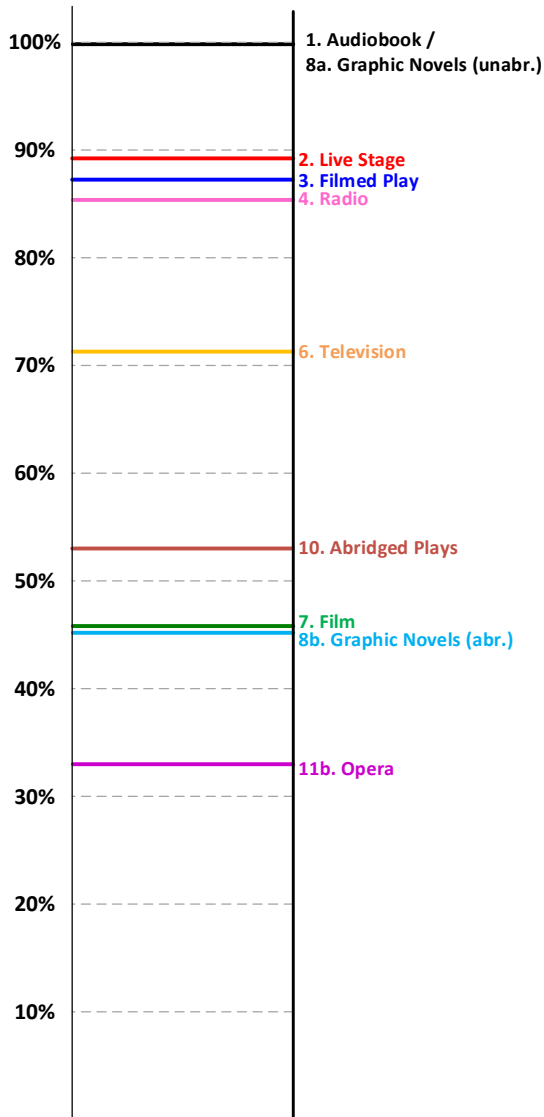


Figure 61: Comparison of median percentages and Ranges – All acts compared by category of media

The overall ranges and median percentages for the entire play also demonstrate significant differences between the medial categories, as illustrated by Figure 61. As was mentioned earlier in this chapter, filmed (former) stage plays and radio plays appeared to closely follow the pattern of percentages recorded for live stage plays, particularly in comparison to television and film adaptations. These similarities and differences are just as noticeable in the overall median percentage, where the closeness of categories 2, 3, and 4 is obvious, and the increasing distance to the other screen-based media is also clear. One other pair of media in close proximity is that of films and of graphic novels (abridged), which is perhaps not surprising when considering the cultural and the historical developments of film, cinematic animation and comics at approximately the same period of history. The total median percentages also support the anecdotal evidence that the operatic medium uses little of a source text in adapted libretti.

Additions, repositions (within a scene and to other scenes), repeats, and amendments

This section presents the counts of five other structural aspects, each of which affects the overall conventions of the medial categories: some aspects are used – sometimes in significant numbers, others not. One consideration when approaching these aspects is that in the directed media there are occasions when the counts made may not have been intended but could be due to a performance-based ‘error’. These counts are nevertheless shown. However, in the case of some, they are shown as probably outliers: for example, the acoustics of the outdoor performance at Bank Hall in the Appleby adaptation resulted in many false cues and repositions, as the players often could not hear which lines had just been spoken. In this case, the counts for all aspects have been included, but the adaptation is shown as an outlier. Similarly, other adaptations that registered counts that would appear to be significantly different have been shown as probable outliers, but until more adaptations are researched and the sample sizes expanded to more statistical certainty, it is impossible to say conclusively that these are exceptions to the norms for these structural conventions.

Number of additions (by act)

Figure 62 shows the total combined number of additions (green with black joining lines), the individual number per adaptation (blue, or purple for categories 9 and 11a), the median per act (red), and probable outliers (dark grey). The ranges are shown as dark grey with light grey extensions for probable outliers. The sample size for each medium is shown above due to the overlap of adaptations that have the same number of additions within an act, an aspect shown only with a single data line.

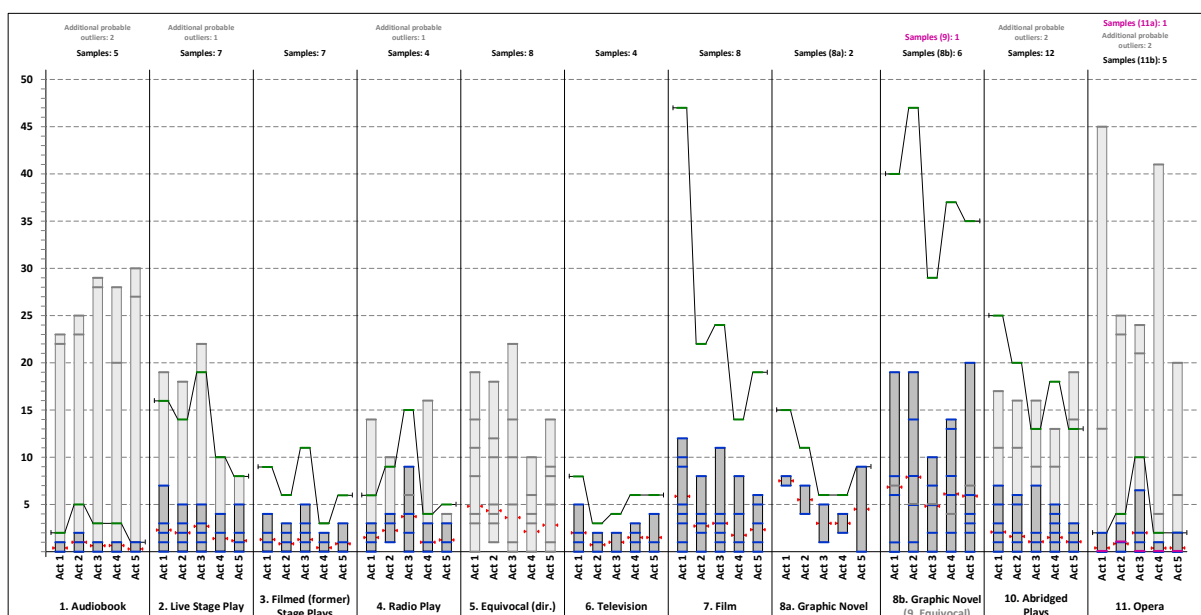


Figure 62: The number and average number of additions per medium by act

The analysis of additional elements within adaptations has been done on a simple numeric basis, i.e. a quantitative percentage is not included. The actual quantitative detail for number of lines added is not possible, as the decision-making process as to the weight-adjusted line length of the additions is simply not pragmatic. Therefore, the numerical value for how often additions were made should be treated with some caution, as a high number of short additions may actually not involve a longer additional performance when compared with a lower number of long additions. For example, an entire section of text appears here only as a single addition, though, in reality, it is considerably more important than a simple announcement at the entrance of a character in, for example, a radio broadcast or audiobook recording, where the audience would otherwise have no idea of who is suddenly speaking. Not all of the auditory-only adaptations use this announcement of characters to the same extent, as is evidenced by the first category in Figure 62 above, where, excluding the outlier, the number of additions is considerably lower than other media. The majority of the additions in all auditory-only media are due to the announcement of characters in order to assist the audience who lack the visual clues, which suggests that the discussion in *Part I – Chapter 2* regarding Hutcheon's *modes of engagement* of a division between visual and auditory aesthetic elements has statistical support. In the case of the additions, none of the auditory-only media added new narrative material, as opposed to some of the operas, which added information not contained in the source text.⁸⁹

Number of repositions within a scene and to other scenes (by act)

The repositioning of text – effectively changing the order of narrative elements, lines, or even single words – is also a structural aspect that separates the categories. As indicated in Figure 63, the modern screen-media tend to turn to this aspect as a more standard adaptation technique than the more traditional stage media, if the probable outliers are excluded. Filmed (former) stage plays, a category which is effectively a mixture of live stage plays and films, exhibits a number of repositions more equivalent to live stage plays than the television and film adaptations. This aspect is also one structural convention that separates the films and graphic novels (abridged), whose total median percentages of text used were very similar. Films and television adaptations both tend to shift sections of text within a scene more than live stage plays. Both also transfer proportionally fewer textual elements to other scenes, as is visible in Figures 63 and 64. In the case of repositions to other scenes, television adaptations are more closely related to the live stage plays than films. Operatic adaptations also demonstrate a difference in the number of repositions. However, there are probable outliers in these cases which have a large number of repositions both within and across scenes, making it difficult to conclusively state the difference when a small sample size of operas is available.

⁸⁹ For example, refer to the analysis of Nicholas Gatty's 1924 opera in *Part IV*, where an entire section of a scene included Fleance's decisions.

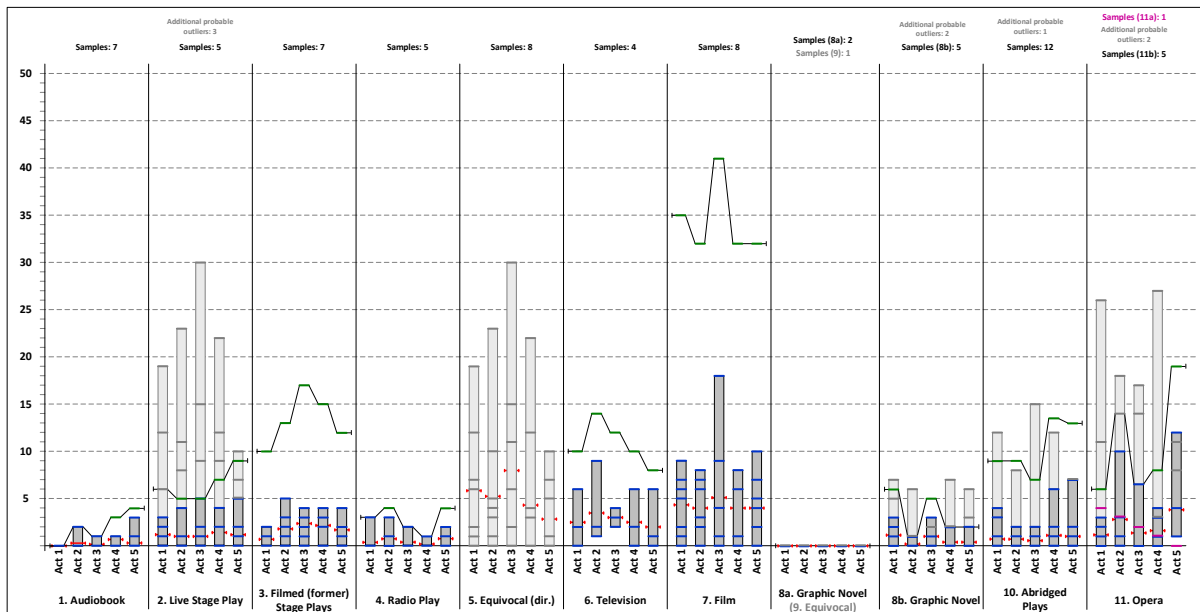


Figure 63: The number and median number of repositions within scenes per act by medium

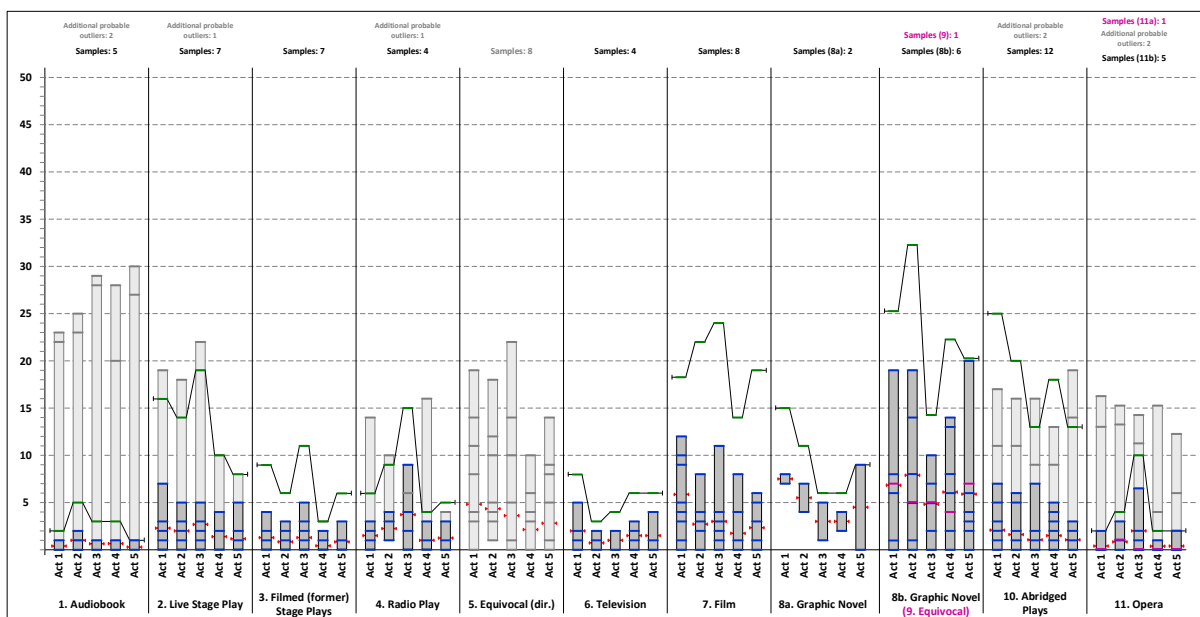


Figure 64: The number and median number of repositions to other scenes per act by medium

Another unusual observation with relation to the repositioned text is that of graphic novels. Both the unabridged (8a) and abridged (8b) sub-categories register an increase in the number of textual shifts to other scenes than the shifts within the same scene – the opposite of the difference shown in screen-based media as mentioned above. All other media categories show no considerable difference between repositioning text within a scene or to another scene.

Number of repeats (by act) and simultaneous performance of lines

When an adaptation repeats textual elements, it is an important aspect not necessarily because of specific differences between the medial conventions of the various media that it might highlight, although there are nevertheless interesting observations that will be shown, but because these repetitions highlight which part(s) of a source text practitioners of adaptation consider are worthy of being received more often than in the original. Whether it is to return an audience's attention to the importance of a line, to ensure that they understood the relationship of a line to the action and events occurring, or indeed to conform to a convention within a medium, the repetitions are one way of understanding exactly where directors and adapters believe the important elements of a source text lie.

As opposed to the other aspects already described in the previous subsections, screen-based media and graphic novels do not dramatically dominate other media when the number of times that repetition of text occurs is recorded. As could be expected in a medium where repetition through the use of choruses is conventional, it is the operatic medium that dominates the average repeats per act and per adaptation, although not considerably more than some other media. The smaller-than-expected amount of repetition evident in the operatic medium can be accounted for by the historical change that occurred at the end of the nineteenth century, where arias – which traditionally involve the repetition of choruses – were replaced with the theatrical style libretto, as is detailed in *Part III* of this dissertation. Few repetitive sections exist, with the exception of the probable outlier, Ernest Bloch's opera which was translated into English from a non-literary translation French libretto closer to the older 'traditional'-style libretto. This should perhaps also be considered in light of the low percentage of text that is recorded by operatic adaptations, yet the minimal number of repeated elements is striking, particularly when compared with the earlier freely-adapted libretti of, for example, Chelard's and Taubert's operas, which demonstrate a great deal of repetition throughout various parts of their respective texts.

What these statistics do not highlight is the difference between immediate repetition and when it is repeated earlier or later than the original position, as it is only the number of repetitions that is recorded. This could be important in later analyses, as exactly *where* practitioners believe a textual element needs to be repeated could show where an audience requires a reminder of narrative content in a position not provided for in the source text. Shakespeare does repeat certain narrative elements, such as, for example, the repetition of the prophecies from 4.1 in sections of Act 5. However, directors and adapters choosing to repeat these lines even more often or indeed other lines that were not originally repeated could provide an insight into the needs of an audience – especially modern ones – with regards to understanding the themes or interpretations of the source text.

As can be seen in Figure 65, the more traditional media once again do not indulge in many repetitions. In contrast to some of the other structural aspects already described, modern media also do not repeat text more often than live stage plays. The unabridged media are in this aspect separable, as the audiobooks do use repetition in their adaptations, whereas the two graphic novels do not contain any repetition. While this is perhaps due to the ability of a reader to more easily return to a previous passage if they require a reminder as opposed to a listener needing to find a point in a recording, it nevertheless highlights a conventional difference. Once more, however, the small number of samples of this subcategory requires further research before this difference could be considered conclusive.

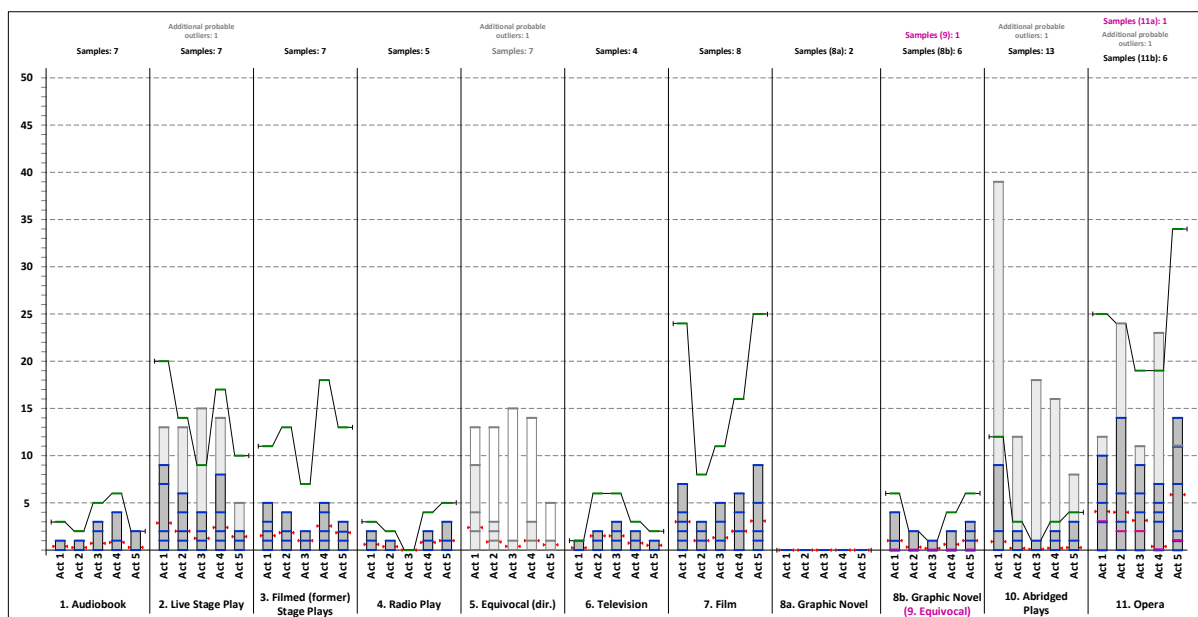


Figure 65: The number and median number of repeats per act by medium

Another observation in Figure 65 is the extreme number of repeated parts of text that were employed by Charles Marowitz in his collage adaptation, illustrated as the outlier in “10. Abridged Plays”. The collage technique employed by Marowitz is not only highlighted by Figure 65, but also by the need to formulate a different, number-order method of visualising the data in the visual comparative representation⁹⁰ due to the extreme number of segments that were structurally separated.

A different structural technique sometimes combined with repetition, that of simultaneous performance of lines, is also one employed by Marowitz. As shown in Table 16, in *A MACBETH*, he uses this technique multiple times with 13 segments: this often involves numerous lines from each performer being spoken simultaneously for each segment, with occasional single lines of text. Throughout the *directed* adaptations of *Macbeth* analysed for this research, this same technique is only employed a total of 32 times, the vast majority of which repeat the witches’ lines “Fair is foul, and foul is fair, / Hover through the fog and filthy air” (1.1.9-10) and “Double, double, toil and trouble; /

⁹⁰ Refer to the analysis of Marowitz’s adaptation in *Appendix B*.

Fire burn, and cauldron bubble” (4.1.10-11; 4.1.20-21; and 4.1.35-36) separately or backgrounded to the voice of a performer while following lines are performed. For these reasons, Marowitz’s adaptation is, if not at least a separate subcategory of abridged stage plays, potentially a separate category in itself, although the lack of other collage-technique adaptations of *Macbeth* thereby requires later analysis of adaptations from other plays.

Medial category	Segments	Median
1. Audiobooks [7]	2	0.29
2. Live Stage Plays [7]	7	1.00
3. Filmed (former) Stage Plays [7]	15	2.14
4. Radio Plays [5]	3	0.60
6. Television [4]	1	0.25
7. Film [8]	5	0.63
8. Marowitz <i>A MACBETH</i>	13	13.00

Table 16: The number of simultaneously spoken segments of text

Interestingly, the medians above also highlight a difference in the use of this technique between live stage plays, filmed (former) stage plays, and films. The filmed (former) stage plays, which were previously discussed as an ‘in-between’ category, use this technique twice as often as the live format does, and almost three times more frequently than films do. This could perhaps be argued as a result of the clarity that editing can provide to vocal effects that are not possible with acoustics in live venues: directors may feel more freedom to use the effect than they do on stage, and the intention to re-create a stage version on film allows them to more successfully implement it. In contrast, if a film’s intention is to create something that is not a stage play re-enactment, then use of such techniques would draw the conventions closer to that of live stage plays and therefore be avoided.

Number of amendments (by act)

The final structural aspect analysed in the adaptations for this research is that of textual amendments. These amendments relate to changes to elements within the text necessitated by, for example, changes to characters (e.g. omitting a character that is mentioned; changing a name to suit a re-setting of location, time, etc.), casting (e.g. gender), location or historical timing (e.g. a drug syndicate in modern Melbourne, as in Wright's 2006 film) or plot timing (e.g. past reference instead of a future reference). In most adaptations researched, this aspect is rarely used. However, there are certain adaptations that created probable outliers for this structural aspect due to the considerably higher number of amendments than others in the same category.

In Figure 66, it is obvious that one live stage play in category 2 is well above others. Dunedin Globe's performance involved an adaptation where Neill chose female actors to play – originally – male roles. Neill also chose to amend the text to conform to the gender seen by the audience rather than have a conflict between the original word and the visual image: pronouns and gender-based terms were switched where relevant. For this reason, scenes and acts where these characters perform are heavily laden with amendments.

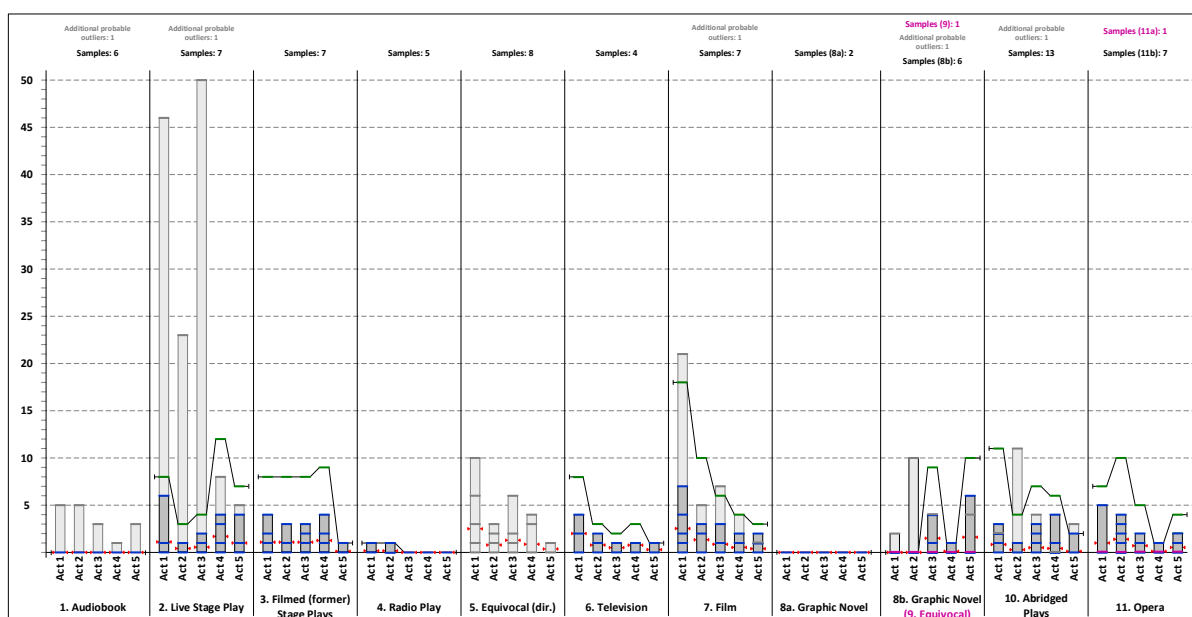


Figure 66: The number and median number of amendments per act by medium

Also to be noted in this aspect is its connection to overall percentage of text used, as the live stage plays contain a higher proportion of text than modern media and thereby increase the likelihood of amendments in the case of such adaptational or directorial decisions. In the case of operatic adaptations, which often remove many characters during the creation process, the low number of amendments could at least be due to the low percentage of text set within the libretto, despite the numbers of changes made to the overall content of the source text.

Correlations

The collated statistics that are presented in the subsections above are important because of the patterns that are relevant to the use of the text from *Macbeth* in and between the various media. The following section discusses some potential relationships between aspects such as percentage, year of release, and structural alterations, but comprehensive analysis is avoided due to the sample sizes.

Total percentage of text used and the total number of structural alterations

As described in *Appendix E* and visible in Figure 67 below, there is no significant correlation between the total percentage of text used in adaptations and their corresponding total number of structural alterations. With the exclusion of categories “3. Filmed (former) stage plays” and “7. Films”, both of which contain a possible relationship between a decreasing percentage and an increasing usage of alterations, no individual category contained a hypothesis that percentage and alterations are linked. It should be noted that each category contains a small sample size and therefore a correlation might be found following additional research. However, no conclusive evidence has been found in this research. This would suggest that other factors in adaptation come into play to complicate this aspect: e.g. setting, gender switching, specific conventions, and historical timing.

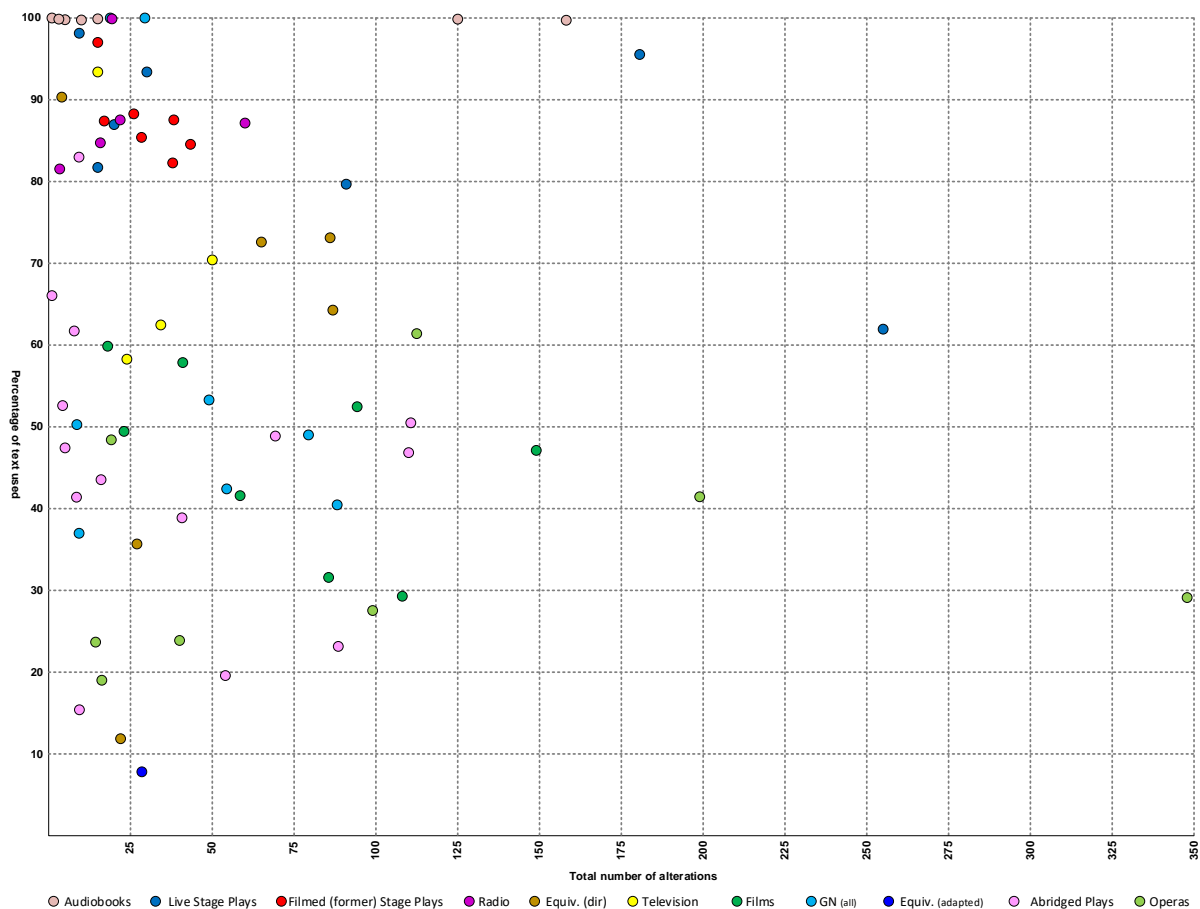


Figure 67: The correlation between total percentages and total alterations

Total percentage of text and total duration

One area of correlation that is relatively clear, despite the small sample sizes, is that of total percentage and duration. In this case, the correlation is not consistent for *all* adaptations but instead highlights the intermedial differences, as the consistencies occur for adaptations within categories. As is obvious by the distinctions of the medial categories displayed in Figure 68, there is a clear zone that exists for audiobooks, most of which are contained within the small area at the top of the diagram and are accompanied by the unabridged radio play previously described as an outlier – here obviously different once again to the other radio plays shown in the purple zone, which is also rather compact in its size.

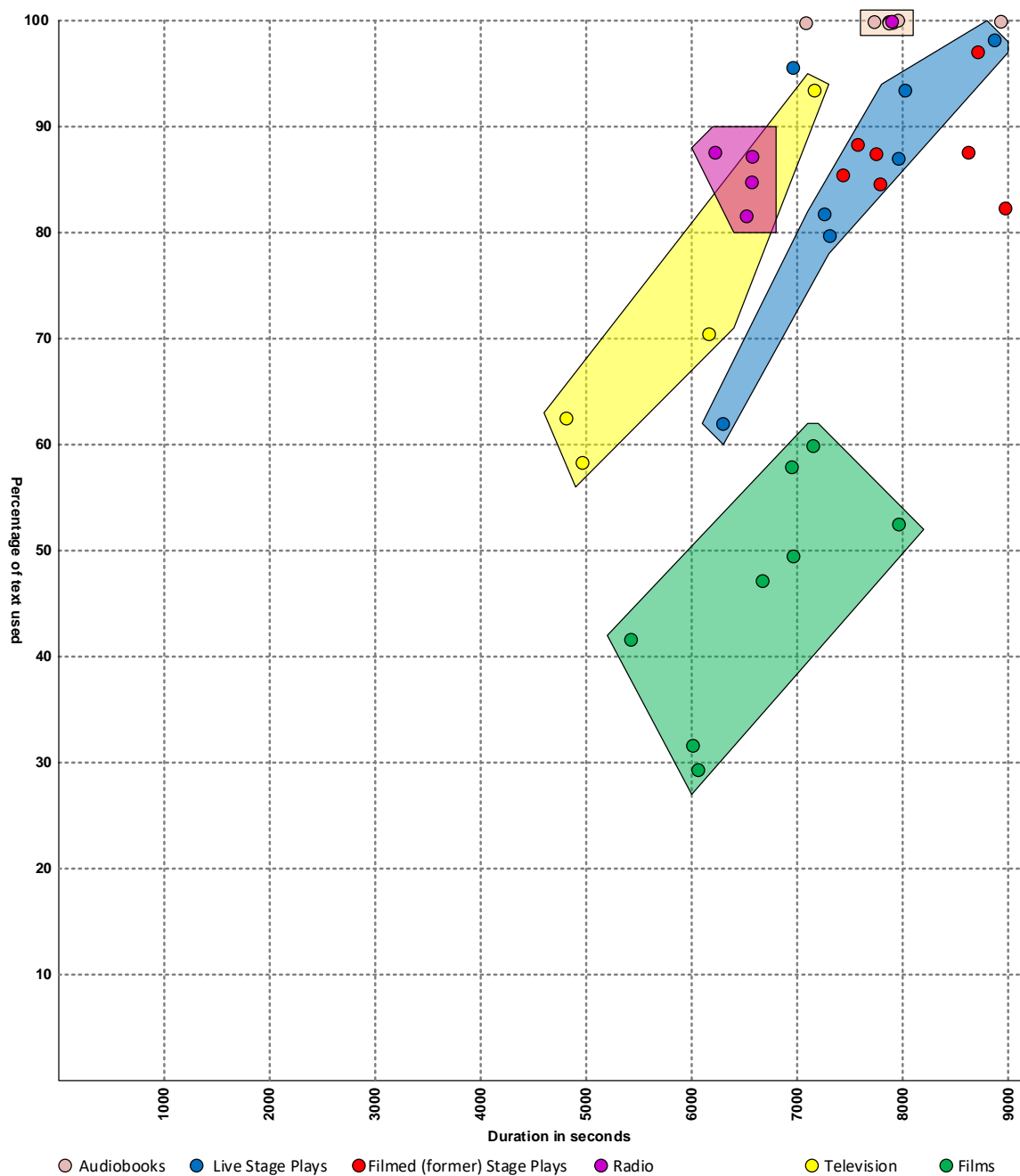


Figure 68: Correlations between the total percentage of text and total duration (in seconds)

As the zones show, yet another piece of evidence demonstrates the relationship between “2. Live stage plays” and “3. Filmed (former) stage plays”, most of which are contained within the blue zone. Similarly, their structural difference to that of “7. Films” highlighted by the green zone is visible. As mentioned earlier, the tendency for television adaptations to be linked more closely to stage plays than films is highlighted by the yellow zone in which they are situated, although the small number of samples prevents this from being conclusively linked with those in the blue zone or separated in their own correlated area.

What all of these zones suggest, however, is that the structural conventions and other tendencies for media to be formulated because of constraints and freedoms that the media themselves entail result in a different correlation between percentage and duration. Films, for example, are anecdotally said to replace text with visual imagery. The zones shown in Figure 5.26 would support this, as both percentage and duration are significantly different from the other screen-based adaptations.

It should be noted that although this diagrammatic representation involves only the directed adaptations due to the requirement of a performance duration, the performed products of the printed adaptations were excluded, as they are potentially secondary adaptations of the adaptations themselves. Therefore, in the case of Herman D. Koppel’s opera, which is the focus of the main case study in this dissertation (refer to *Part IV – Chapters 1 to 3*), the cuts made to the duration of the opera during the premiere season of performances would skew the data from the reality of the composer’s intended correlation and would misrepresent the overall placement against other intermedial adaptations in the figure. A correlation of approximated durations of the operatic adaptations is provided in Figure 74 in *Part III*.

Correlation between year of production/completion and percentage of text

In the event that an existing correlation between the year of completion and the percentage was observable, the contention that medial categories involve structural conventions that are one of the methods of differentiating between them would be completely discredited. A correlation would result in a clear band of adaptations from left to right, with only outliers spreading beyond the band. As can be seen in Figure 69, however, there is no observable correlation across all adaptations, from Charles Kemble’s 1883 abridged play through to Kit Monkman’s 2018 film. The percentages vary greatly throughout the entire period and even in the case of individual categories which have been highlighted by joining the associated adaptations in the relevant colours, there are no clear connections between historical timing and the percentage of text used.

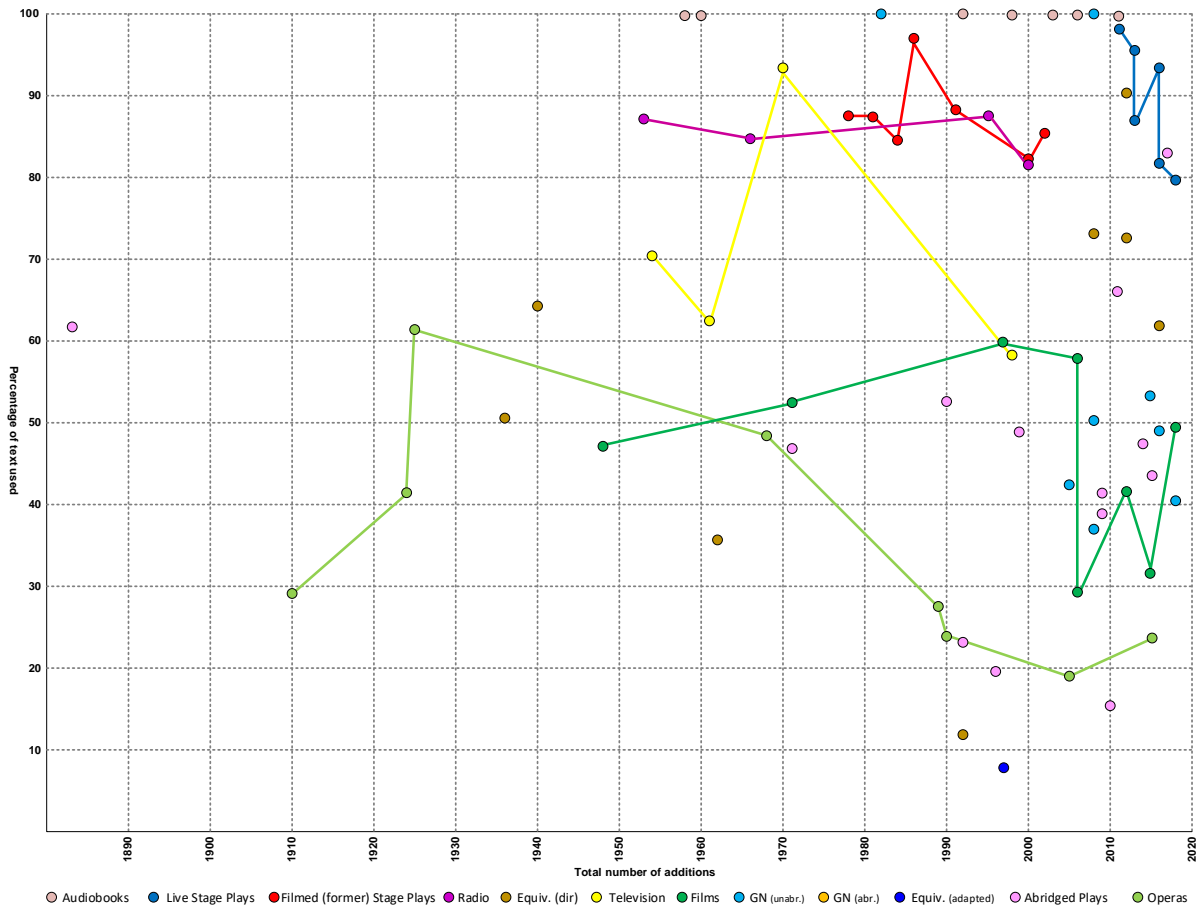


Figure 69: The number and median number of amendments per act by medium

Even in the case of operatic adaptations, which appear to have decreased the amount of text set to music since Collingwood’s 1925 opera, this is in itself misleading, as some of the operas within this descending line are set for severely limited performance durations, including the final opera, Luke Styles’ chamber opera, which is set for slightly more than one hour of performance.

The finding that no observable correlation between year of release and percentage of text used exists means that, although there could be changes in percentages due to the use of more visualisations of textual components in screen-based media over time, the hypotheses regarding structural patterns are not disregarded by this possibility.

General observations

There are several observations that the visual comparative representation highlights that relate to medial forms and their structural conventions as well as the intermedial relationships to the source text. In particular, sections of the source text that are discarded by practitioners of adaptation and sections that have seemingly been deemed to have more freedom when it comes to the appropriateness of changes are evidenced in the visualisation and the data. This section discusses these issues, some of which are simple observations, others more heavily considered in terms of Hutcheon's concepts evaluated in *Part I – Chapter 2: adaptation as process, modes of engagement, and knowing and unknowing audiences*.

The opening of *MACBETH* adaptations

The comparative visual representation highlights the tendency for adapters to drop the opening two scenes of Act 1, particularly in printed adaptations and especially in the case of media that condense the amount of material.⁹¹ Eight adaptations⁹² completely omit scene 1.1. Two others⁹³ barely use any text from the scene. Three other adaptations⁹⁴ use other text before the scene begins, with many others setting additional newly-created or summarised text, such as introductions by narrators. Nine adaptations⁹⁵ analysed in the vcr omit 1.2 in its entirety.⁹⁶ Nine additional adaptations⁹⁷ use little of the text and/or re-position it to elsewhere.

Of all of the adaptations analysed, only Welles' live stage play ("Voodoo" *Macbeth*, 1936), Almond's television adaptation (1961), and the operas by Bloch (1910/1951) and Collingwood (1925)⁹⁸ omit both 1.1 and 1.2 in order to condense the amount of textual content. When the omission of both of these scenes (1.1 and 1.2) occurs, it creates two possible dilemmas for the narratives within *Macbeth*, which will be discussed in the following two subsections. Firstly, the emphasis on witchcraft being an intentional driving force behind Macbeth's actions changes when 1.1 is omitted or repositioned. Secondly, the subsequent minimisation or change to the heroic attributes of Macbeth when 1.2 is

⁹¹ Some of the operatic adaptations in category 11a, which were not included in the vcr due to the non-literary translation into a foreign language, also omit the opening two scenes, including Verdi's opera.

⁹² Welles (live stage play, 1936), Almond (television, 1961), Waters (live stage play, 2016), Monkman (film, 2018), Bloch (opera, 1910/1951), Collingwood (opera, 1925), Foster (abridged play), Styles (opera, 2015).

⁹³ Hamilton (opera, 1990), Laberge (abridged play, 2017).

⁹⁴ Welles (film, 1948, excluding the 81 minute long studio revision), Marowitz (collaged play, 1969), Goold (filmed former stage play, 2010).

⁹⁵ Welles (live stage play, 1936; audiobook, 1940; film, 1948), Almond (television, 1961), Benthall (abridged audiobook, 1962), Bloch (opera, 1910/1951), Collingwood (opera, 1925), Koppel (opera, 1968).

⁹⁶ Once again, this excludes the operas in 11a, except for Koppel's, which also omitted the entire scene.

⁹⁷ Serebryakov (animated film, 1992), Freeston (film, 1997), Marowitz (collaged play, 1969), Hamilton (opera, 1990), Garfield (abridged play, 1992), Appletree Press (abridged play, 1996), Burningham (graphic novel, 1997), McIntyre (opera, 2005), Newlin (abridged play, 2010).

⁹⁸ As well as those by Chelard (1829), Verdi (1847/1865), and Taubert (1857) which were not part of the visual comparative representation, but also omit these scenes.

omitted or shifted, thereby raising questions about the validity of *Macbeth* adaptations being 'heroic tragedies'.

Changes to the prominence of witchcraft

The omissions mentioned above alter an audience's conception of witchcraft because the prominence of the witches' existence as well as their importance in driving Macbeth's decisions are altered. For *knowing audiences*, this of course is instantly noticeable, as the absence of the opening lines would instantly break expectations. For *unknowing audiences*, they are not aware that a change has been made as they do not know the source text. However, this means that their understanding of the role of witchcraft is different to knowing audiences, who draw on their previous experience and relate the differences to the source, more likely than not imagining the omitted sections in the narrative gaps that appear in the adaptation.

One mitigating option that the adapters use to avoid drastically minimising the narrative aspects related to the witches is to begin their adaptation in 1.3, which also presents the witches from the outset, yet in this case with a direct connection to Macbeth and Banquo. For an unknowing audience, the first mention of Macbeth by the witches as part of 1.3 following them hearing "a drum", then becomes a meeting of chance, rather than the very prominent mention of his name during the witches' announcement of their premeditated plan in 1.1. A second option to minimise the impact of removing 1.1, which is one employed in Lawrence Collingwood's 1925 opera, is opening with Lady Macbeth reading the letter sent to her by Macbeth (1.5). This creates reception-based changes that differ from an opening at 1.3. Firstly, this shifts the focus of the witchcraft and the link between the witches and Macbeth from a version of 'showing' from Narratology (where the audience sees what is happening – in the 'present') to 'telling' (where a character tells the audience about what happened – in the 'past'). Secondly, this changes the impact of witchcraft as first experienced by an audience. Instead of *seeing* witchcraft in the opening (1.1 or 1.3), the audience receives only a brief description of what happened through an explanation about it in the letter. In this case, they must imagine what the visual and auditory characteristics of the aesthetics applied to the staging of the witches should be, as opposed to perceiving it in 1.1. This is an example of the problematic terminological usage discussed in *Part I – Chapter 2* regarding Hutcheon's *modes of engagement*: the verbally provided 'telling' form (from Narratology) provided by Lady Macbeth reading on stage using the *showing* mode (from Hutcheon) requires the imagination for the characteristics (normally involved in Hutcheon's *telling* mode).

It is clear that omitting 1.1 reduces the impact of the witchcraft narrative, or at least changes the focus from their intentional manipulation of Macbeth towards that of a chance meeting. However, if adaptations begin at 1.3 or 1.5 in order to ensure that the elements of witchcraft are still the first

element experienced by an audience, there are additional changes that occur, including the removal of the story of Macbeth and Banquo's heroism, which will be discussed in the following subsection.

An additional aspect of the omission is that of Styles' chamber opera (2015), which omits witchcraft altogether⁹⁹. With a significantly shorter performance length due to the commissioning requirement being for performers at the Glyndebourne Opera that were between seasons, one of the measures taken was to remove the element of witchcraft altogether. This of course changes the entire situation for knowing audiences: a situation that may have caused a scandal a century ago in a country that was still locked into Shakespearean 'tradition'. However, for unknowing audiences, this omission would make no difference whatsoever, as their understanding of the story – without any influence of witchcraft – would not be affected. A similar difference is that of Hamilton's 1990 chamber opera, which reduces the three witches to a single character only: that of the much-debated addition of Hecate. As with the removal of witchcraft from Styles' work, Hamilton's opera would have raised eyebrows with such a character reduction had it been performed a century ago, yet for unknowing audiences, the reduction to a single – controversial – character would be unlikely to seem unusual.

Reducing the hero from the tragic hero

Omitting 1.2 reduces the description of Macbeth's heroism during the battle that is provided by the injured captain. In doing so, it leaves audiences with Ross' explanation of the King's reaction to hearing of Macbeth's bravery (1.3-90 to 1.3.101a) and the indirect mentions by Duncan when he receives Macbeth and Banquo in 1.4. As von Stoltzenberg states, "Macbeth is lauded and distinguished as King Duncan's brave and loyal general in the second, third and fourth scenes" (157).¹⁰⁰ Therefore, if 1.2, 1.3, and 1.4 are all omitted, then Macbeth's heroism all but disappears from the narrative, replaced by the simple words "the day of success" in the letter read by Lady Macbeth (1.5.1), which is the case of Collingwood's opera beginning with this scene. This of course raises questions about whether the adaptations could be considered heroic tragedies. However, operatic adaptations have a conventional tool that provides for this situation: that of matching the character's traits with various vocal types.

Operatic composers are assumed to traditionally – and stereotypically – compose certain character types into specific vocal ranges, for example, heroes as tenors, or "the young heroine played by a light soprano and the evil villain played by a powerful bass" (Cantrell 1). This may indeed link to perceptions of sociability based on research by Shanahan and Huron:

⁹⁹ The original intention was not to omit the witches, but occurred during overlapping collaborative adaptation/composition and production phases (refer to Styles' dissertation [48-59]).

¹⁰⁰ „Macbeth wird in der zweiten, dritten und vierten Szene als tapferer und loyaler General König Duncans gepriesen und ausgezeichnet“.

results suggest that female roles tend to be more sociable than male roles in (primarily 19th-century) opera; higher-tessitura female roles are more sociable than lower tessitura female roles, and higher-tessitura male roles are more sociable than lower-tessitura male roles. Like growling bears, the most threatening sounds tend to be low pitch. (148)

The use of the tenor range in the creation of operatic roles for Macbeth could be one method for strengthening the perceived heroism of the role in cases when the aspects of his deeds are omitted through abridgement. Although the matching of vocal types is not always employed as a conventional tool (Cantrell 6),¹⁰¹ Shanahan and Huron concluded that “of 30 male characters nominally deemed “heroes,” the overwhelming majority (27) were tenors. Conversely, of 34 characters nominally deemed “villians,” nearly all [32] were either basses or baritones” (Shanahan and Huron 147). One role for Hecate is even recorded as having been for a bass (Dean “Champness”).

Despite this apparent operatic convention, the vocal matching for the role of Macbeth creates a paradox for operatic adaptations: without a lead tenor, an opera is traditionally difficult to ‘sell’, yet to cast Macbeth as a heroic tenor is problematic following murder of Duncan.¹⁰² A character that begins with a high reputation but ends with the lowest of reputations cannot possibly match this vocal convention.

Of the operatic adaptations that were accessed, Macbeth was set as a tenor in four [Koppel – although the range lowers throughout, Bibalo, Chiusano, McIntyre]¹⁰³, a baritone in seven [Verdi, Taubert, Rossi, Bloch, Hamilton, Sciarrino, and Styles], a bass-baritone in two [Gatty and Collingwood]¹⁰⁴, and a bass in only the first of the operas [Chelard].¹⁰⁵ Koppel’s *MACBETH* is an interesting case in point. Macbeth’s opening line introduces him as the hero due to its pitch being above that of a baritone. However, as the opera progresses, Macbeth sings less frequently in the upper range, and in the recording of the premiere, some sections are performed an octave lower than composed. Whether this was due to production requirements or the vocal range of Niels Møller is not certain, but the result is that Macbeth was reduced in pitch even more than Koppel intended during composition. Similarly, Bibalo’s Macbeth is a tenor, yet rarely ventures into the high parts of the range. The lack of certainty for Macbeth’s heroism is demonstrated in the mixture held in these operas, particularly the ambiguously-pitched roles as a baritone or bass-baritone, which traditionally sits between hero and villain. That four of the

¹⁰¹ Although Cantrell’s work on this topic is limited to only a few roles, it suggests that “the villain must be compared to the hero when a composer is scoring an opera” (7). However, in the case of Macbeth, this is perhaps impossible, considering the number and ambiguity of heroes at different stages of the story.

¹⁰² Far greater discussion about the difference between killing in battle versus murder occurs in *Part IV* in the discussion of Jan Kott’s influence on Herman D. Koppel’s opera.

¹⁰³ Interestingly, these 5 tenor roles were created in the last 7 operatic setting of *Macbeth*, the earliest in 1968.

¹⁰⁴ This is, perhaps, another piece of evidence that suggests that the two composers were aware of each other’s work, as discussed in *Part V – Chapter 2*. The two operas were completed a year apart in the same general location and no other adaptation uses this vocal range.

¹⁰⁵ Details of all vocal types are in *Appendix G* in the appendices to this dissertation.

seven most recently composed operas suddenly set Macbeth as a tenor is also of interest, perhaps demonstrating the gradual disappearance of this vocal convention.

One reason suggested for Macbeth being traditionally set as a baritone is not simply the ambiguity surrounding his initial heroism and then his fall from grace, but that he is shown as being subservient to Lady Macbeth who, described in Verdi's opera,

is another iconic villainess. The highest singer in the opera, she is not challenged in terms of musicality or deeds. Since she is the source of most of the plot's mischief, Verdi gives her wonderful music to create a dramatic setting for the libretto. Lady Macbeth, a soprano, greatly contrasts her baritone husband, Macbeth, and gives her character a sense of dominance over her feeble husband. (Cantrell 2)

In fact, Lady Macbeth is set as a form of soprano in all except the final male-only *MACBETH* opera by Styles, with Rossi¹⁰⁶, Collingwood, and Bibalo setting her as a slightly 'ambiguous' mezzo-soprano. Considering that her role was male due to contractual requirements, if this voice type in Styles' chamber opera is ignored, Lady Macbeth is the only character that maintains a stable pitch role throughout the choices by the operatic composers. The choice of soprano may indeed be unusual with regards to the rating of sociability of higher pitches mentioned above, yet the empathy felt for Lady Macbeth following the sleepwalking scene in many operas may necessitate this choice.

If lower pitch is defined as less sociable according to the research by Shanahan and Huron that was mentioned above, then some choices of composers related to the voice types of other characters are worth comparing to the choices made for the hero and heroine shown above. While their research compares numerous roles from numerous operas – not including any *MACBETH* opera – their research does not compare the relationships that the roles have across numerous operatic adaptations of the same source text. Therefore, Tables 17 and 18 on the following two pages present a collation of voice types by composer with relation to the additional 'female' / 'child' and 'male' roles within *Macbeth* respectively.¹⁰⁷

¹⁰⁶ This is only a probable voice type, as it is based on the excerpts that were accessed from the original score prior to the implementation of Marshall's changes, which are documented in *Part IV – Chapter 5*. It is possible that the role in its entirety is also that of a soprano.

¹⁰⁷ The collation of roles and voice types is taken from data in *Appendix G* of this dissertation.

Additional 'female' and 'child' roles and their respective voice types

	Soprano	Mezzo-soprano	Alto	Contralto	Not set / Other
Witch 1	Chelard (Elsie), Taubert, Bloch, Gatty, Collingwood, Koppel, Bibalo, Chiusano, McIntyre	N/A	N/A	N/A	Verdi (SA chorus), Rossi (unknown), Hamilton, Sciarrino, Styles
Witch 2	Chelard (Nona), Taubert, Collingwood, Chiusano	Bloch, Gatty, Koppel, Bibalo, McIntyre	N/A	N/A	Verdi (SA chorus), Rossi (unknown), Hamilton, Sciarrino, Styles
Witch 3	Chelard (Groen), Koppel, Chiusano	Taubert, Gatty	N/A	Bloch, Collingwood, Bibalo, McIntyre	Verdi (SA chorus), Rossi (unknown), Hamilton, Sciarrino, Styles
Lady Macduff	Chelard (Moina), Bloch	N/A	N/A	N/A	Verdi, Taubert, Rossi (unknown), Gatty, Collingwood, Koppel, Bibalo, Hamilton, Chiusano Sciarrino, McIntyre Styles (bass- baritone)
Gentlewoman	N/A	Verdi, Gatty, Koppel, Bibalo, Chiusano	N/A	Collingwood	Chelard, Taubert, Rossi (unknown), Bloch, Hamilton, Sciarrino, McIntyre, Styles

	Tenor	Mezzo-soprano	Alto	Silent	Not set / Other
Fleance	Taubert, Koppel, Chiusano, Styles (or Baritone)	Gatty	Sciarrino	Verdi, Bloch, Collingwood	Chelard, Rossi (unknown), Bibalo, Hamilton, McIntyre
Child of Macduff	Styles (treble)	N/A	N/A	Bloch	Rossi (unknown), No other composers composed for this role

Table 17: Female and child role voice types

Additional ‘male’ roles and their respective voice types

	Tenor	Baritone	Bass-Baritone	Bass	Not set / Other
Duncan	Bloch, Hamilton	Gatty	Taubert, Koppel, Styles	Chelard, Collingwood, Bibalo	Verdi (silent), Rossi (unknown), Chiusano, Sciarrino, McIntyre
Banquo	Rossi, Bloch (low tenor), Collingwood, Sciarrino, Styles	Gatty, Koppel, Chiusano	Taubert, McIntyre	Verdi, Bibalo, Hamilton	Chelard
Macduff	Verdi, Taubert, Gatty, Collingwood, Hamilton, Styles	Bibalo, Chiusano, McIntyre	Koppel, Sciarrino	Bloch (lyric bass)	Chelard, Rossi (unknown)
Malcolm	Chelard (Douglas), Verdi, Taubert, Bloch, Koppel	Collingwood, Bibalo, Chiusano	Styles	N/A	Rossi (unknown), Gatty (mezzo- soprano), Hamilton, Sciarrino, McIntyre
Murderer 1	Styles	Collingwood	Bibalo	Verdi, Taubert, Rossi, Bloch, Gatty, Koppel, Chiusano, McIntyre	Chelard, Hamilton, Sciarrino (alto)
Murderer 2	Collingwood, Koppel, Bibalo	N/A	Styles	Chiusano	Chelard, Verdi, Taubert, Rossi, Bloch, Gatty, Hamilton, Sciarrino McIntyre
Murderer 3	Styles	Koppel	N/A	N/A	Chelard, Verdi, Taubert, Rossi, Bloch, Gatty, Collingwood, Bibalo, Hamilton, Chiusano, Sciarrino, McIntyre

Table 18: Male role voice types

As can be determined from the two tables above, the stability of choices generally does not appear to be the case across the *MACBETH* operas. Excluding Witch 1, which is composed as a soprano when the witches are included in a libretto, and the first murderer, who is mostly a bass when the murderers appear in an opera, there is a wide spread of relationships between character and voice type. In the case of Witch 1, this is probably more a compositional convention related to the physical act of scoring, where higher range instruments or voices are normally higher on the notated score than lower ones in the same family of instruments. While some of the *MACBETH* opera composers allocate all three witches to soprano voices, of the remaining composers that do set the witches, only Koppel does not follow the vertical notation/scoring relationship of the voice types involved. This leaves the only clear example of the relationship of lower pitches to anti-sociability as that of the first murderer (often the only in the adaptations analysed).

The tables suggest that, contrary to the researchers' findings regarding pitch and sociability, composers do not appear to match characters with voice types purely for conventional reasons. The process of decision-making in this regard is obviously much more complicated and takes into consideration many other factors. The composition and scoring of operatic adaptations, although some patterns of voice type are observable, could therefore not be said to be predictable. Further research into other operas would provide a greater confirmation of these complications, as based on the numerous adaptations of *Macbeth* analysed, few specific conclusions regarding pitch type could not be ascertained beyond considerable doubt. It is clear, however, that Macbeth is rarely composed as a heroic tenor and is unable to be situated into a voice type. Lady Macbeth is nevertheless able to attain the soprano-as-heroine status in all operas excluding one.

There are two interesting issues that this pitch-related paradox for Macbeth opens within adaptation theory and practice which cannot be answered under the scope of this research, but which deserve far greater attention into the future. Firstly, do composers such as Koppel represent Macbeth in this way because of the traditional expectations of roles within operas, or does the detail and the meaning of the text itself lead to the association of lower pitch? Secondly, if Macbeth is not clearly heroic due to the abridgement of the text and is constantly dwelling in moral self-assessment, is a composer inclined to reduce the range of vocal composition to match the emotional content? For intermedial adaptations, if the questions above truly are the case, do stage performers and film actors do the same with their voices, and present a deeper pitch as the play or film develops? Do directors and producers cast a role while – intentionally or unknowingly – conforming to the issue of vocal pitch (higher/lower) matching sociability (good/evil) with regard to the characterisation of roles within plays and films? These questions and more would require far more research into this topic as well as consideration across the multi-disciplinary frameworks that bind Adaptation Studies and Intermedial Studies.

The murder scenes (Shakespeare 3.3 and 4.2)

In *Macbeth*, there are three scenes involving killing in a way that is not considered morally acceptable: that of murder outside of battle. These include the off-stage murder of Duncan while Lady Macbeth provides speculative commentary at the beginning of 2.2, the ambush and murder of Banquo in 3.3, and the massacre of the Macduff family at Fife in 4.2. In the adaptations, the mediation of the latter two of these scenes displays a strange balance between the narratives, abridgement, entertainment, and possible censorship considerations. As will be shown, these scenes are often omitted from adaptations, particularly the massacre of innocent children being removed from the *printed* adaptations analysed, yet some adaptations (e.g. Kurzel) portray elements of Duncan's murder even though it is not seen by the audience in the stage play.

A significant number of adaptations avoid 3.3, the scene in which the murderers surprise and kill Banquo but fail to kill Fleance. This is made possible by using other parts of the play, such as where Macbeth discusses the plan with the murderers, where he hints at the plan to Lady Macbeth, and when the murderer returns with blood on his face to report to Macbeth (*telling* in Narratology). Fourteen¹⁰⁸ adaptations do not use any of the textual elements from 3.3 in any verbalised form and an additional nine adaptations verbalise barely any of the text from scene 3.3¹⁰⁹. Out of all of the adaptations analysed, only twelve¹¹⁰ adaptations verbalise the text from 3.3 in its entirety. As can be seen, only five of these are not audiobooks, which essentially perform the entire play.

The massacre in Fife is treated differently than that of Banquo's murder. Of the *directed* products analysed from the vcr, only four¹¹¹ of the forty-five adaptations completely omit 4.2, with Kurzel additionally verbalising only a very small percentage. Of the *printed* products, however, thirteen¹¹² of the thirty-seven adaptations omit the entire scene with one more¹¹³ verbalising only through a narrated summary and then two short lines at the end of the scene. In the case of Bibalo's opera, the

¹⁰⁸ Welles (audiobook/equivocal, 1940); Serebryakov (animation, 1992); Monkman (film, 2018); Kemble (abridged play, 1883); Gatty (opera, 1924); Collingwood (opera, 1925); Hamilton (opera, 1990); Garfield (abridged play, 1992); Appletree Press (abridged play, 1996)¹⁰⁸; Roberts (abridged play, 1999); McIntyre (opera, 2005); Heap (abridged play, 2009); Newlin (abridged play, 2010); Moore (graphic novel, 2016).

¹⁰⁹ Wright (film, 2006); Teller and Posner (live stage play/equivocal, 2008); Coll (film, 2012); Kurzel (film, 2015); Bloch (opera, 1910/1951); Burningham (graphic novel, 1997); Sexton et al. (graphic novel, 2008); Appignanesi (graphic novel, 2008); Greaves (graphic novel, 2016).

¹¹⁰ Rylands (audiobook, 1958/59); Sackler (audiobook, 1960); Almond (television, 1961); Jenkins (radio play, 1988); Richmond (audiobook, 1992); Gold (television, 1996); Shaw (audiobook, 1998); Brill (audiobook, 2003); Viner (audiobook, 2006); Jarvis (audiobook, 2011); Taute (graphic novel, 1982/1994); McDonald (graphic novel, 2008).

¹¹¹ Benthall, Serebryakov, Falkenstein, and Monkman.

¹¹² Kemble, Gatty (opera, 1924), Collingwood (opera, 1925), Koppel (opera, 1968), Bibalo (opera, 1989), Hamilton (opera, 1990), Garfield (narrated summary only), Appletree Press (abridged play, 1996), Roberts (abridged play, 1999), McIntyre (opera, 2005), Newlin (abridged play, 2010), O'Hara (abridged play, 2014), and Moore (graphic novel, 2016).

¹¹³ Burningham (graphic novel, 1997).

massacre scene is even enacted through a slow-motion ballet. That 4.2 is verbalised less often than Banquo's murder scene is most likely due to the lack of opportunities provided by other sections of text in other scenes that could be used to provide the same information. Although Ross eventually tells Macduff in 4.3, the heavy abridgement of 4.3 (discussed below) could be part of the reason for this difference. As the information – even a pure visualisation of it – is used to justify Macduff's deliberation to confront Macbeth, it is also more difficult to omit it without complicating an audience's understanding of the story during the process of reception.

Why adaptations choose to show Duncan's murder yet omit Banquo's and the massacre at Fife Castle cannot be determined within this research. As Duncan's murder occurs off-stage, an implied murder as such, and the others involve murders visible to the audience, this could relate to the issue of censorship in screen-based media. The balance between narratives, abridgement, entertainment, and censorship could explain the mediation decisions made by adapters and producers in doing this.

The abridging of scene 4.3

Scene 4.3 is by far the most extensive scene in *Macbeth*, containing 12.36% of the entire weight-adjusted text of *Macbeth*, based on the line weighting analysis provided in the previous chapter. As by far the longest scene, it has been suggested that it had not gone through the same editing cuts in the same way that the remainder of the play must have when it was created and/or adapted into the currently recognised form by someone else (Dawson 21). However, the creation of its length could perhaps be justified as playing towards royal audiences due to its focus on themes such as "The king-becoming graces" (4.3.91) and the "miraculous work in this good king" (4.3.147), as well as the need for a monarch to avoid "over-credulous haste" (4.3.120) related to testing a subject's "integrity" (4.3.115). Whatever the reasons for its excessive length, it is difficult not to notice it standing out in a comparison against the other scenes, as is visible in Figure 70.¹¹⁴

¹¹⁴ It should be noted that the two 'additional' sections of text (all of 3.5, the separate line in the diagram next to 4.1) are included.

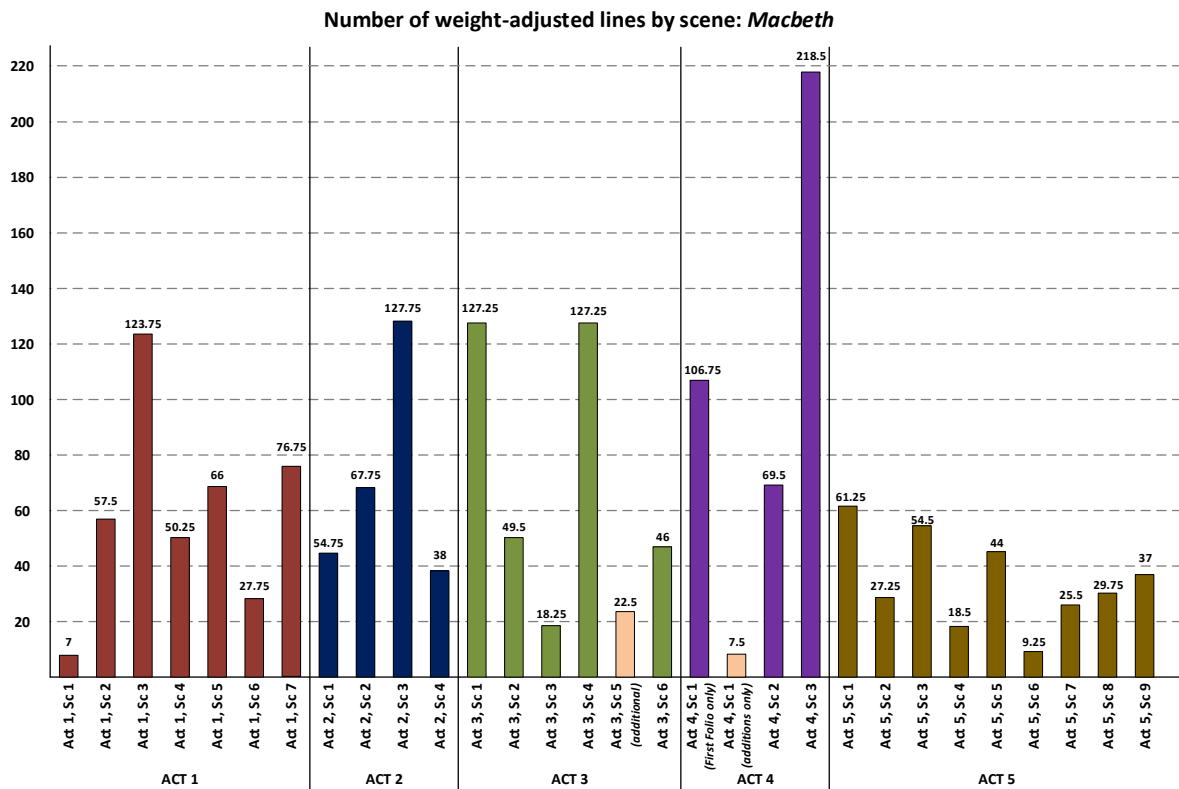


Figure 70: The number and median number of amendments per act by medium

The analysis of percentages across the adaptations has already highlighted the percentage of text dropped in this scene across all adaptations, as visualised previously in Figure 59. The omissions observable in Act 4 that are undertaken by practitioners of adaptation suggest that the “trimming of speeches” (Dawson 21) presumably not undertaken by Shakespeare is effectively a redundant issue, as the statistics show that the time constraints of modern adaptations have necessitated large-scale abridgement of the scene. However, the narrative elements in this scene are also something that should be considered and the impacts of omitting or reducing 4.3 therefore warrant discussion.

The following breakdown of the number of adaptations that set various amounts of the text in the short sections of scene 4.3 is collated from the visual comparative representation (vcr) in *Appendix A*.¹¹⁵ Even from a brief visual scan across the vcr for 4.3, these sections appear to be regularly omitted by adapters. As shown in Table 19, excluding the unabridged adaptations, very few adaptations verbalise these sections of text. In addition, Welles’ “*Voodoo*” *MACBETH* (1936) performs the majority of the lines, but not in the original position, Nunn’s filmed (former) stage play performs the majority of the lines, and Neill’s live stage play performs only the dialogue with the English doctor, omitting the

¹¹⁵ Welles is only counted as one adaptation in the table, as there are no considerable changes across the versions. The non-English language operas – excluding Koppel’s libretto from a literal Danish translation – are also not included.

further detail contained in the second part. This would suggest that the narrative information provided by these parts is irrelevant to the overall story, particularly to modern audiences, thereby supporting the suggestions that some cuts could have been made and that they were written with a royal audience in mind. The irrelevance of the English doctor introducing the “sanctity” of the King’s hand (4.3.144) and healing “the Evil” (4.3.146b) is most likely the reason for the omission of these two sections. This would suggest that, with the exception of the need for historical and academic discourse, these lines could effectively be removed from editions without affecting the practice of adaptation.

Short sections from 4.3	Full scene verbalised	Almost all verbalised	(Approx.) half	Almost none	Not verbalised	Total
139b-145b [(English) Doctor]	11	2	0	3	59	75
146-159a [Malcolm (and Macduff)]	10	1	1	0	63	75

Table 19: The use of text by adapters in 4.3.139b to 4.3.159a

The opening section of 4.3, involving long monologues interspersed amongst the dialogue between Malcolm and Macduff, is rarely performed by modern *directed* media, which only perform a small amount of the text if at all. One of the drawn-out characteristics of the text in this section are the ‘lists’. This includes the list of eight consecutive adjectives (4.3.57-59), the list of four female groups (4.3.61-62), and the list of twelve nouns referred to as the “king-becoming graces” (4.3.91). In another example of television appearing to bridge the gap between the traditional and modern media as discussed in an earlier subsection, considerably more of the text is verbalised than in films, yet less than the live stage plays and the filmed (former) stage plays.¹¹⁶ Similarly, another contrast to these two middle sections is the final section that begins when Ross enters, where he eventually tells Macduff the news about the slaughter of his family. It is performed to some extent by all but five of the adaptations,¹¹⁷ demonstrating that it is considered more important to the development of the narratives.

Long sections from 4.3	Full scene verbalised	Almost all verbalised	(Approx.) half	Almost none	Not verbalised	Total
1b-139a [Malcolm and Macduff]	14	13	10	22	16	75
159b to end [Ross, Malcolm, Macduff]	16	20	14	20	5	75

Table 20: The use of text by adapters in 4.3.1 to 4.3.159a

¹¹⁶ Further diagrams of the ‘in-between traditional and modern media’ status of television can be seen earlier in this chapter.

¹¹⁷ Freeston (film, 1997), Gatty (opera, 1924), Bibalo (opera, 1989), Hamilton (opera, 1990), and Newlin (abridged play, 2010).

What is also observable in this scene is the intermedial difference between adaptations. As an example, the difference in the percentages of 4.3 verbalised by live stage plays, films, and operas is shown in Figure 71 on the right. As can be seen, the live stage plays demonstrate a more faithful representation of the material than the percentage verbalised by films. This is probably due to a film’s tendency to represent action as opposed to two characters talking together for ten minutes as well as the need to reduce the duration as much as possible. Operas, too, demonstrate that 4.3 is a simple part of the play that can be omitted in order to reduce the duration without compromising narrative development. Interestingly, Collingwood’s 1925 opera demonstrates a much more traditional affinity with the text, which is not surprising considering his intention to represent the play in a musical form and its four-hour performance duration: both aspects of which are detailed in *Part V – Chapter 2*.

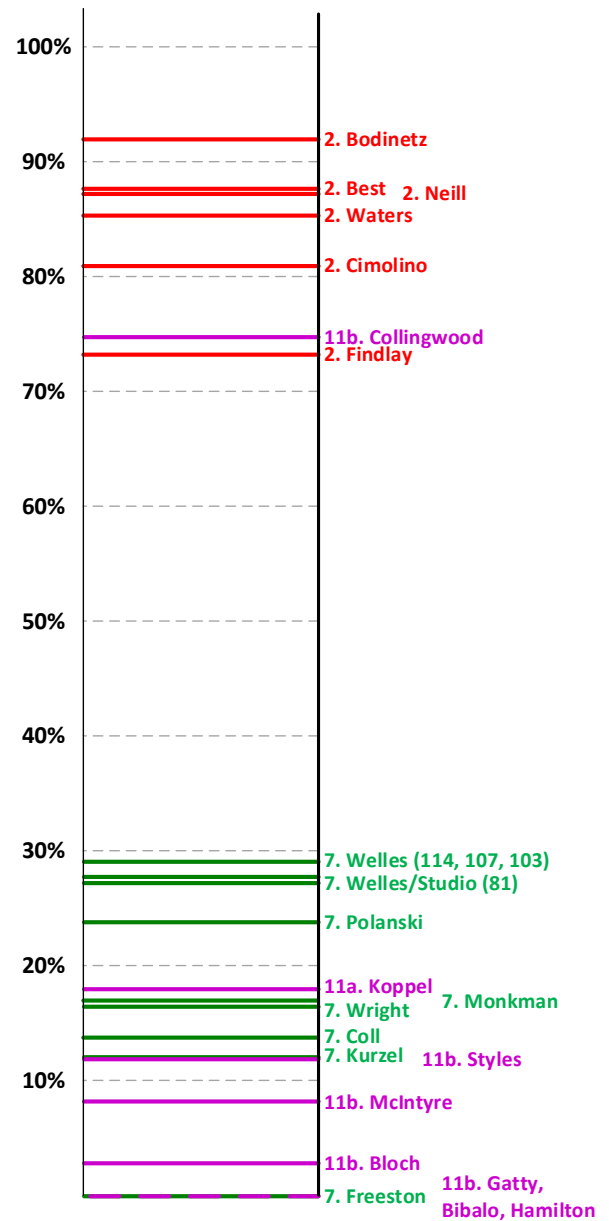


Figure 71: The percentage of 4.3 verbalised in live stage plays, films, and operas

Adaptation of some of the well-known quotes from *Macbeth*

As was shown in the previous subsections, the vcr provides a simple and fast way to observe the extent to which sections of text are verbalised across a large number of adaptations. This is also true of individual lines or small groupings of lines, such as monologues. The subsections below are focussed on precisely this issue: whether the well-known parts of *Macbeth* are verbalised across all intermedial adaptations or whether other patterns of usage are observable, for example, where some medial forms verbalise them but others do not, or where some medial forms tend to reposition, amend, or repeat them.

Fair is foul and foul is fair (1.1.9 and 1.1.10)

The famous ending to the opening scene “Fair is foul, and foul is fair, / Hover through the fog and filthy air” (1.1.9 and 1.1.10) appears to attract the creative intentions of adapters. Although the scene is omitted in its entirety by eight adaptations, it is often drawn upon for repositioning and/or repetition, especially repetition involving these final two lines.

The vcr shows that six of the adaptations use these two lines but not in the structural position of the original scene. Polanski opens the film with them before returning to the opening of the scene. Wright repositions them to the opening of 1.3, linking them more directly to Macbeth’s entrance. Marowitz only sets part of 1.1.9 into his collage. Hamilton also only uses part of 1.1.9, but uses no other text from 1.1 at all. Eyre and Goold both reposition the lines, but additionally repeat the text. Repetition also occurs in the adaptations by Sackler, the McCauleys, Brill, Starks, and Koppel. Three of the adaptations repeat only part of the couplet: Teller and Posner repeat only 1.1.9 Bibalo only repeats the end of 1.1.10; and in McIntyre’s opera, only 1.1.9 is repeated. Unusually, three adaptations only use part of the couplet, those by Brill, Marowitz, and Hamilton. This partial use of rhyming couplets is discussed in a later subsection, as it occurs in other parts of *Macbeth* in some of the adaptations.

Come, you spirits (1.5.40 to 1.5.54)

In the monologue that occurs before Macbeth and Lady Macbeth are together for the first time in the play, there are four distinct groupings. The first grouping begins with “Come, you spirits” (middle of 1.5.40 to middle of 1.5.43); the second starts at “Make thick my blood” (middle of 1.5.43 to middle of 1.5.47); the third continues from “Come to my woman’s breasts” (middle of 1.5.47 to middle of 1.5.50); and the fourth grouping starts with “Come thick night” (middle of 1.5.50 to 1.5.54a). In this monologue, Lady Macbeth calls on the supernatural elements and it is used to show the background to the manipulation of Macbeth that she undertakes. The adaptation of these four grouping is not always undertaken in full, with twenty-one of the adapters verbalising different groupings or parts of

groupings, as is shown in the table below, which shows approximate ratings of *all*, *most*, *some*, or *none* with regard to the amount of each grouping.

	1 st grouping	2 nd grouping	3 rd grouping	4 th grouping
	“Come, you spirits” (middle of 1.5.40 to middle of 1.5.43)	“Make thick my blood” (middle of 1.5.43 to middle of 1.5.47)	“Come to my woman’s breasts” (middle of 1.5.47 to middle of 1.5.50)	“Come thick night” (middle of 1.5.50 to 1.5.54a)
Polanski (film) [text repositioned]	all	all	none	all
Wright (film)	all	some	all	all
Kurzel (film)	all	none	all	all
Monkman (film)	all	most	none	none
Serebryakov (animation)	some	some	some	none
Gallagher (animation)	none	none	none	all
Foster (abridged play)	all	some	some	all
Garfield (abridged play)	all	none	some	none
Appletree Press (abr. play)	all	none	none	none
Heap (abridged play)	all	most	none	all
Newlin (abridged play)	all	most	none	all
O’Hara (abridged play)	all	none	none	all
Laberge (abridged play)	all	all	most	some
Burningham (graphic nvl)	all	none	none	none
Appignanesi (graphic nvl)	all	none	none	none
Cover (graphic novel)	all	all	most	all
Hinds (graphic novel)	all	all	most	all
McIntyre (opera)	all	all	most	all
Koppel (opera)	all	most	most	all
Hamilton (opera) [text repositioned]	all	most	some	all
Bloch (opera)	Parts from various groupings, large numbers of repeats, repositions within the scene, and amendments			

Table 21: The usage of groupings from the “Come you spirits” monologue

The striking difference between adaptations of this section and the end of scene 1.1 is that, with the exception of Bloch’s libretto and one small reposition in Gatty’s opera, none of the adaptations alters the text to this section or treats it as something that can be used in other ways. Considering how many of the adaptations also use all of the text from this monologue, it is clear that practitioners believe in the necessity of this content.

Is this a dagger? (2.1.33 to 2.1.61)

As would be expected of the section that contains arguably the most well-known line from *Macbeth*, adaptations have high levels of textual fidelity with regards to both the structure and the percentage. 28 of the adaptations of *Macbeth* use the section effectively as it is recorded in the Arden 3rd Edition, with a further 26 essentially using almost the entire section. Another fifteen adapters maintain approximately half of the text, with only nine not using at least roughly half of the text in this section.

The porter (2.3.1 to 2.3.40)

The opening section involving the porter alone (2.3.1 to 2.3.20) involves humour that allows relief from the tension of the play, including breaking the anticipation that is likely felt by audiences who have been made aware of the murder having occurred and that it will be discovered. However, the second section involving the porter and Macduff (2.3.21 to 2.3.40) also provides this opportunity. Therefore, if an adaptation needs to condense text, these two sections provide options. Additionally, unlike a theatrical performance, where the solo performer (porter) presents a contrast to the larger cast that is involved soon after following the discovery of Duncan's body, many forms of modern *directed* media, where editing allows for restructuring of the text, are able to rebalance this element of mediation and reception. Table 22 summarises the number of adaptations within each medial category regarding the two sections involving the porter.¹¹⁸ As can be seen, the modern *directed* media and the *printed* media tend to omit more of the porter's text than the traditional directed media. Despite the possibility to condense the porter's text by simply cutting the opening of the two sections, practitioners must consider the opening section to be important, as almost none cut directly to the second section or close to it (e.g. just before the porter lets Macduff in).

	2.3.1 to 2.3.20			2.3.21 to 2.3.40			Combined		
	None	Partial use	All	None	Partial use	All	None	One only	Both
Audiobooks	N/A	N/A	7	N/A	N/A	7	N/A	N/A	7
Live Stage Plays	1	1	4	N/A	3	3	N/A	1	5
Filmed (former) Stage Plays	N/A	3	4	N/A	3	4	N/A	N/A	7
Radio Plays	N/A	4	1	N/A	2	3	N/A	N/A	5
Equivocal (directed)	2	5	1	2	4	2	2	N/A	6
Television	1	1	2	N/A	3	1	N/A	1	3
Film	4	4	0	3	3	2	3	1	4
Graphic Novels	4	1	3	4	2	2	3	2	3
Equivocal (abridged)	2	N/A	N/A	1	1	N/A	1	1	N/A
Abridged Plays	6	6	N/A	6	5	1	6	N/A	6
Operas	2	4	2	2	5	1	2	N/A	6
TOTAL	22	29	24	18	31	26	17	6	52

Table 22: The breakdown of the two sections involving the porter

Also visible in the vcr is the large number of additions to the text and the repositions within the first section, particularly in directed adaptations. This suggests that either adapters feel free to mould the porter's text and/or that the player performing the role is given freedom to improvise more openly.

¹¹⁸ The extremes of "none" and "all" also include adaptations within a one-line tolerance: in other words, "no text or very close to no text" and "all or very close to all" respectively.

Double, double (4.1)

As with *Macbeth*'s "Is this a dagger" discussed above, the use of the famous couplet "Double, double, toil and trouble, / Fires burn, and cauldrons bubble" (4.1.10-11, 4.1.20-21, and 4.1.35-36), which is one of many triple groupings within *Macbeth*, could be expected to be commonly verbalised in adaptations. However, as can be seen in Table 23, the three times that it occurs in the source text are not always fulfilled by adaptations that set the text. The number of times each adaptation uses the couplet is tabled below for each category of adaptation. A combined total of counts for each number of couplets used is shown at the bottom of the table, showing that the vast majority use the couplet, with many using it more than the three times within the source text.

	Omitted	Once	Twice	Three times	More than three times	Repeated simultaneously
Audiobooks	N/A	N/A	N/A	Rylands, Sackler, Richmond, Shaw, Viner, Jarvis	Brill	N/A
Live Stage Plays	Waters	N/A	Findlay	Best, Neill, Cimolino	N/A	Bodinetz
Filmed (former) Stage Plays	N/A	N/A	Falkenstein	Seidelmann, Gold	N/A	Nunn, Doran, Goold, McCauleys
Radio Plays	Eyre	Tydemann	Guinness, Benedictus	Jenkins	N/A	N/A
Equivocal (directed)	N/A	Gallagher	Serebryakov, Benthall	Welles (1936 & 1940), Tiffany and Goldberg	Teller and Posner, Appleby	N/A
Television	Schaeffer	Almond	Bogdanov	Warren	N/A	N/A
Film	(Welles/Studio,) Coll, Kurzel, Monkman	Welles [114], Starks	N/A	Freeston, Wright	N/A	Polanski
Graphic Novels	N/A	Appignanesi, Greaves	N/A	Taute, Cover, Sexton et al, McDonald, Moore	Hinds	N/A
Equivocal (abridged)	Burningham	N/A	N/A	N/A	N/A	N/A
Abridged Plays	N/A	Marowitz, Crabb, Buckhurst	Foster, Heap, O'Hara	Kemble, Garfield, Appletree P., Roberts, Newlin, Jenkinson, Laberge	N/A	N/A
Operas	Hamilton, Styles	Koppel	Bloch	Collingwood	Gatty	Bibalo, McIntyre
TOTAL	7	11	11	34	5	8

Table 23: The usage of the "Double, double, toil and trouble" couplet

While evidence showing that the couplet is not often omitted is unsurprising, there are other uses of the lines that are worth noting, particularly because of three aspects: creative usage, an apparent historical influence, and the separation of the couplet. The creative repositioning of the couplet occurs in numerous adaptations, including the full-length version of Welles' film, which opens with the lines. The studio edit that reduced the film from 114 minutes to 81 minutes omitted the couplet altogether, resorting to a more traditional opening with 1.1. Benedictus, Polanski, Bloch, and Cover also reposition the lines to elsewhere within the scene, as does Welles in his 1936 stage play.

Of greater interest, however, is that following the use of the lines simultaneously with other lines in Polanski's 1971 film, this effect was used in similar ways by Nunn, McCauley, Doran, Bodinetz, Bibalo, McIntyre, and Goold, who used the line in echo-like style. As is discussed in the first individual case study, Polanski's film was most likely influenced by the writings of Jan Kott and other prominent theatrical directors of the time such as Peter Brook. Whether it is the prominence of their intellectual changes or intermediality – in terms of influence across different media – at work, this influence has then followed through to at least 2005 in various medial forms. This could perhaps be explained best by the availability of Polanski's film, although this may be more a case of a performance technique flowing through from one media to another.

The third aspect related to these lines also relates to the issue of rhyming couplets that will be detailed later in this chapter. As will be seen, there are numerous cases where rhyming couplets are not performed as a unit. Buckhurst is shown in the table on the previous page to have used the line once. However, there is also another partial usage where only the first line is used. In Gatty's opera, there are parts of the second line that are repeated at the end of each couplet. These are just two of the seemingly unusual uses of rhyming couplets that occur in adaptations, with many other examples to be shown later.

“Spot” and “To bed” (5.1)

In the Sleepwalking scene (5.1), the word “spot” appears in “Yet here’s a spot” (5.1.31) and again shortly afterwards with “Out damned spot” (5.1.35). This means that abridgement – albeit brief – is possible. However, the scene and the lines are well-known, suggesting that the short amount of time that could be saved by jumping the lines from 5.1.31 to 5.1.35 may be noticeable to knowing audiences. As can be seen in the visual comparative representation:

- 65 adaptations perform both lines [42 *directed* and 23 *printed* (3 of which repeat parts of 35)];
- no adaptations use only 5.1.31;
- 8 use only 5.1.35 [3 *directed* (1 repeats the line) and 5 *printed*]; and
- only 1 uses neither lines (*printed*).

This shows that the lines are considered to be worth adapting and that the abridgement is undertaken in a handful of cases.

Lady Macbeth’s final three lines, beginning and ending with “to bed” (5.1.66 to 5.1.68) are performed in every single *directed* adaptation, with only one using a single occurrence of “to bed”. However, sixteen of the *directed* adaptations re-structure and/or repeat parts of the text from these three lines. Two of the *printed* adaptations also repeat segments of her final lines, yet another three do not use any of the text. The vast majority of all adaptations verbalise the lines in their entirety or almost completely even if repositions, repetition, and restructuring is involved.

Tomorrow and tomorrow and tomorrow (5.5.18 to 5.5.27)

One of the most powerful monologues is that of Macbeth’s following the news that Lady Macbeth is dead. That only three adaptations do not set any of this section of text is expected, particularly as these are the extremely abridged adaptations. That so many of the remaining adaptations set the entire section (42 of 45 *directed* adaptations, only one of which is repositioned; 25 of 29 English-language *printed* adaptations,¹¹⁹ only two of which are repositioned) and that almost all set the text as it was – presumably – written by Shakespeare is a testament to the respect with which adapters hold this monologue. It could easily be imagined that due to its prominence amongst the well-known parts of the play, the expectations for how an audience would react without this section being involved could affect the decision of the adapters to include it, especially in an ‘untouched’ form.

¹¹⁹ Koppel’s Danish opera begins this section at “Out, out, brief candle” (5.5.22), possibly because of the translation involved.

Minimising Malcolm: Hail, King of Scotland!

The final scene of the play is effectively split into three sections: the Lords and soldiers (5.9.1 to 5.9.19); Macduff entering with Macbeth's head and leading the call for Malcolm to be king (5.9.20 to 5.9.25); and the speech by Malcolm that ends *Macbeth* (5.9.26 to 5.9.41). In terms of intermedial adaptation, particularly where abridgement is required, the outer two of the three sections provide ample opportunity for adapters to omit text. A visual scan of the vcr determines that the first section is rarely used, with 38 adaptations completely omitting the section, twelve more setting less than half, and only eighteen setting the entire text. This is noticeably different to the second small section, which is only omitted entirely by six adaptations. 23 adaptations omit the final speech, preferring instead to end with the soldiers calling "Hail, King of Scotland". While this obviously saves some time for the directed adaptations and the adaptable media such as operas, it is also possible that the powerful ending that is provided by the soldiers is preferred over the arguably less-convincing ending presented by the new king. It should be noted that some adaptations also set other parts of the play as the ending, including the witches' opening lines from 1.1.

Splitting rhyming couplets and the imbalance of prose and verse in *Macbeth*

Although it is not the goal of this research to explore the intricacies or technicalities of prose and verse within *Macbeth*, there are certain areas related to their treatment in adaptation that deserve attention. These areas of interest are whether adapters consider prose or verse to be more important within certain medial forms and whether there are any similarities to the use of rhyming schemes in the non-music drama libretti. In terms of *Macbeth* itself, assessing the balance of prose and verse is restrictive due to the low proportion of rhyming verse in the play. Conclusions related to the intermedial relationships therefore require additional analyses of plays such as *Romeo and Juliet*, which contains a better balance of poetic structures due to the higher proportion of rhyming verse. Although it will take further research to confirm the patterns in relation to the rhyming schemes, the visual comparative representation includes a basic form of visualisation above the adaptations as part of the structure shown for Shakespeare. This basic form shows prose (orange), blank verse (light blue), and rhyming verse (pink) in order to assist future researchers in isolating issues more precisely, with a simplified bracket for couplets and triplets¹²⁰.

The following two tables summarise the results of the vcr for the rhyming schemes used in Act 1 and Act 2, broken down into the medial categories. The two equivocal groupings of media are not included due to the additional variables that would be involved. Therefore, a total of 64 adaptations are split

¹²⁰ These two terms have deliberately been left in the simplest of forms (two and three lines respectively) due to the complications of blank verse starting the first of these 'lines' in some cases.

into the medial forms, with combined totals shown below. It should be noted that there are many factors that could be involved in these results, including abridgement within some forms of media, and the complete omission of some scenes in some forms of media, such as the opening scenes mentioned at the beginning of the general observations.

<i>lines</i>	1.1.1 – 5	1.1.9 – 10	1.2.65 – 68	1.3.4 – 36 (incl. 13 couplets)	1.3.149b – 150
<i>rhyme</i>	again, rain done, won, sun	fair, air	death, Macbeth done, won	various	may, day
Audiobooks	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 6 Part: 1 None: 0	All: 7 Part: 0 None: 0
Live Stage Plays	All: 5 Part: 0 None: 1	All: 5 Part: 0 None: 1	All: 5 Part: 1 (65-66) None: 0	All: 4 Part: 2 None: 0	All: 6 Part: 0 None: 0
Filmed (former) Stage Plays	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 3 Part: 4 None: 0	All: 7 Part: 0 None: 0
Radio Plays	All: 5 Part: 0 None: 0	All: 5 Part: 0 None: 0	All: 5 Part: 0 None: 0	All: 2 Part: 3 None: 0	All: 5 Part: 0 None: 0
Television	All: 3 Part: 0 None: 1	All: 3 Part: 0 None: 1	All: 3 Part: 0 None: 1	All: 0 Part: 3 None: 1	All: 4 Part: 0 None: 0
Film	All: 6 Part: 1 (not 5) None: 1	All: 6 Part: 0 None: 2	All: 3 Part: 3 (various) None: 2	All: 0 Part: 3 None: 5	All: 0 Part: 3 None: 5
Graphic Novels	All: 7 Part: 1 (not 5) None: 0	All: 8 Part: 0 None: 0	All: 6 Part: 2 (not 67) None: 0	All: 2 Part: 5 None: 1	All: 2 Part: 1 None: 5
Abridged Plays	All: 9 Part: 0 None: 2	All: 10 Part: 0 None: 1	All: 7 Part: 3 (not 67) None: 1	All: 2 Part: 8 None: 1	All: 4 Part: 1 (149) None: 6
Operas	All: 3 Part: 1 (not 5) None: 4	All: 4 Part: 1 (not 10) None: 3	All: 1 Part: 2 (various) None: 5	All: 1 Part: 5 None: 2	All: 0 Part: 0 None: 8
TOTAL	All: 52 Part: 3 None: 9	All: 55 Part: 1 None: 8	All: 44 Part: 11 None: 9	All: 20 Part: 34 None: 10	All: 35 Part: 5 None: 24

Table 24: Rhyming verse in Act 1

As can be seen from the results of this tabulation, the modern *directed* media and the *printed* media engage in not only a lower incidence of rhyming scheme usage – almost exclusively of traditional *directed* media – but they also show a willingness to split the rhyming scheme, using only part of the scheme. For example, one live stage play uses one of the two couplets in 1.2, but does not break either couplet. The partial usage they display in the opening section of 1.3 should be noted as involving thirteen separate rhymes, and therefore is not a broken set, as such. However, films, graphic novels, abridged plays, and operas, all include examples where a couplet is split: the rhyming verse is separated. If the data based on *Macbeth* could be applied to any source text, it is also far more likely that a modern adaptation would not set text involving rhyming schemes. It could be speculated that

either the visual and/or auditory (i.e. music) aesthetics are used to replace the lyrical qualities of the textual form or that the conventions of film value the – potentially banal effect of the – use of rhyme when targeting a less traditional audience. These possibilities would require the additional research into other source texts mentioned above.

The results of other parts of Act 1 and those of Act 2 demonstrate similar patterns to those in the table above. The omission of the rhyming structures is once again more apparent in the modern directed media and the printed media, as is the splitting of rhyming couplets. However, two filmed former stage plays also split one of the couplets at the end of 2.1 as the bell rings to signal Macbeth to murder Duncan. Another notable feature is the removal of 1.5.50-51 from Welles' film during the considerably edited 81-minute version by the studio, thereby perhaps supporting the suggestion that films value such textual forms less than other traditional *directed* media.

<i>lines</i>	1.4.50 – 53	1.5.69 – 70 1.5.71b – 72	1.7.82 – 83	2.1.60 – 61 2.1.63 – 64	2.3.146-147
<i>rhyme</i>	fires, desires be, see	come, masterdom clear, fear	show, know	lives, gives knell, hell	theft, left
Audiobooks	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0	All: 7 Part: 0 None: 0
Live Stage Plays	All: 6 Part: 0 None: 0	All: 6 Part: 0 None: 0	All: 6 Part: 0 None: 0	All: 6 Part: 0 None: 0	All: 6 Part: 0 None: 0
Filmed (former) Stage Plays	All: 4 Part: 3 (52-53) None: 0	All: 6 Part: 1 (71b-72) None: 0	All: 7 Part: 0 None: 0	All: 5 Part: 2 (not 61) None: 0	All: 6 Part: 0 None: 1
Radio Plays	All: 5 Part: 0 None: 0	All: 5 Part: 0 None: 0	All: 5 Part: 0 None: 0	All: 5 Part: 0 None: 0	All: 4 Part: 0 None: 1
Television	All: 3 Part: 1 (50-51) None: 0	All: 4 Part: 0 None: 0	All: 4 Part: 0 None: 0	All: 4 Part: 0 None: 0	All: 4 Part: 0 None: 0
Film	All: 1 Part: 5 (50-51) None: 2 (+Stud.)	All: 4 Part: 0 None: 4	All: 3 Part: 2 None: 3	All: 2 Part: 5 None: 1	All: 3 Part: 0 None: 5
Graphic Novels	All: 4 Part: 4 (50-51) None: 0	All: 4 Part: 3 None: 1	All: 8 Part: 0 None: 0	All: 5 Part: 3 (63-64) None: 0	All: 3 Part: 0 None: 5
Abridged Plays	All: 3 Part: 5 (50-51) None: 3	All: 4 Part: 5 (various) None: 2	All: 10 Part: 0 None: 1	All: 5 Part: 6 (63-64) None: 0	All: 3 Part: 0 None: 8
Operas	All: 3 Part: 0 None: 5	All: 3 Part: 3 (various) None: 2	All: 6 Part: 0 None: 2	All: 2 Part: 3 (various) None: 3	All: 0 Part: 0 None: 8
TOTAL	All: 36 Part: 18 None: 10	All: 43 Part: 12 None: 9	All: 56 Part: 2 None: 6	All: 41 Part: 19 None: 4	All: 36 Part: 0 None: 28

Table 25: Rhyming verse in Act 2

Intermedial findings: a summary of the differentiable patterns of textual use

The findings contained in *Part II* show that there are discernible patterns within medial categories related to their use of text, thereby supporting the proposal for *medial fidelity* as a form of separating research criteria into the phases of mediation. A summary of the statistical findings and the general observations contained in *Part II* follows prior to a brief discussion about the application of the findings within the theoretical frameworks discussed in this dissertation.

The statistical analyses identify numerous patterns that differentiate the medial categories and confirm the difficulty in defining media borders due to the overlapping means of forming and displaying content described by Elleström, who states that such borders “are largely relative” (“Beyond Media Borders” 67). These overlapping usages are demonstrated in various medial forms, but when all aspects are combined clearly show the difference in conventions within each medial category.

The first difference is that of the percentage of text verbalised or used. Although there is overlap across the ranges of each category, it is generally clear that the traditional *directed* media use a considerably larger proportion of the text than the modern *directed* media. This is a confirmation of a simple constraint that the different media have with regard to the duration of productions. As films aim for a general 90-120 minute length, it could only be expected that the percentage is lower than that of stage plays, which are able to maintain a conventionally longer performance time. Assessing whether the proportions of percentages evidenced with adaptations of *Macbeth* are the same for longer plays such as *Romeo and Juliet* or *Hamlet* in the medial categories requires a great deal more research. However, it could be predicted that, based on conventions involving duration, films would perform a lower percentage. Whether this transfers into live stage plays remains to be seen, although it is not unlikely that the percentage of extremely long plays is considerably lower in theatres than in that of *Macbeth*.

The other aspects that assist with differentiating the intermedial adaptations are those of additions, repositions, amendments, and repetitions. Some medial conventions appear to be more open to such textual alterations, even if these particular conventions have developed more through the cultural and creative influences than the technological constraints and freedoms. As with percentage, the use of these changes is clearly more apparent in the modern media, with the traditional media tending to be more reserved with changes, aligning textual fidelity closely to medial fidelity. All of these aspects, when used as a means of separating traditional and modern media, could easily be related to the difference between the types of audiences attracted to traditional media as opposed to modern media. However, a chicken-or-the-egg style causality dilemma would probably be the result of attempts to define any reasons for this.

The correlations between medial categories and various other factors confirmed only an apparent intermedial correlation between percentage of text and length of production. This is not unexpected due to the small sample sizes of the categories. As with the other aspects analysed, further research into adaptations of other plays is expected to confirm this situation. Once again, the longer the performance time of the source text, the more the separation between medial categories should result, including in separate lines for the each category. For example, the percentage of text for film adaptations of *Macbeth* should create one correlation zone, those of *Romeo and Juliet* another, and those of *Hamlet* a third zone, simply because the percentage of text performed within the standard (target) film duration from longer plays¹²¹ should be lower.

The quantitative findings from this research therefore provide a method that, if repeated for other adaptations, will continue to define the medial forms and the conventions upon which they are based. In doing so, the concept of *medial fidelity* (in the adaptation/composition phase of mediation) as a separate form of fidelity from *aesthetic fidelity* (in the production phase of mediation) could be strengthened. This should of course be considered in the light of this research involving only one source text: it is possible that there are *Macbeth*-only effects that will not be evidenced in analyses of other source texts.

The observations detailed in Chapter 2 of this *Part* present many of the aspects that may, indeed be *Macbeth*-only effects. However, the concepts that they represent are also likely to be evidenced in adaptations of other source texts. This also highlights the need for further research to be undertaken along the path that has been set by this methodology. However, it is clear that omission of scenes, omission of sections of text, and omission of particular structures within the text, such as rhyming verse, is often undertaken by adapters in the modern *directed* and the *printed* medial categories. That adapters omit part of a couplet is not an aspect that was hypothesised: another example that may or may not appear in plays such as *Romeo and Juliet*, where the balance of rhyming verse is higher.

¹²¹ The example here referring to approximate line lengths (as printed) of 2500, 3100, and 4000 lines of text respectively – not the number of *weight-adjusted* lines as defined by this research.

Relationships to theories

As mentioned above, it is possible to differentiate the patterns of various medial categories through the percentage of text and the various types of alteration. This means that the splitting of fidelity is supported through the collation of data across large numbers of adaptations. Through an increase of intermedial analyses, it would be possible to combine the comprehensive amount of existing qualitative research with statistical information about the structural conventions within the adaptations. Refocussing analyses on the structural and aesthetic-based aspects of mediation separately (i.e. adaptation/composition and production), the definition of the processes of product creation, or 'adaptation', should become clearer.

This separation should also be enhanced through the separation of media into directed and printed forms, each with their own goals and their own processes. Treating a comparison between a *printed* and a *directed* adaptation as involving separate process phases should assist in explaining the differences, including analyses of the screenplay (text-type of the adaptation) as opposed to the film (target medium of the production). This difference should also help conceptually separate the *modes of engagement* by highlighting the different modes of different phases of mediation. Once again, comparative pairs of novel and film involve different processes of mediation and therefore different processes (modes) of reception. Applying this methodology to Elleström's *modes and modalities* could also improve the comprehension of adaptation.

The extensions to Hutcheon's concept of *knowing and unknowing audiences* proposed here – *(un)knowing adapters, directors, and performers*, amongst others – is evidenced in parts of the analysis. That adapters, directors, and/or post-production crew during the editing process are able to produce a partial rhyming scheme highlights the need for deeper contemplation about the effects on an audience that the mediation phases have on the (un)knowing concept, even if elements such as the omissions are intended. This is also the case with the differing levels of knowledge and experience shown in the professional and amateur productions that were analysed. Although these differing levels are evident in the printed adaptations, the majority of problems in reception of, for example, operatic adaptations, appear to stem primarily from the miscalculations of production. These miscalculations in operatic production are documented in *Parts IV* and *V* of this dissertation, which detail three *MACBETH* operas individually and four operas in comparative pairs.

PART III: Intramedial differentiation of operatic adaptations

[M]usicals, operas, ballets, or songs. All these adapters relate stories in their different ways. They use the same tools that storytellers have always used: they actualize or concretize ideas; they make simplifying selections, but also amplify and extrapolate; they make analogies; they critique or show their respect, and so on. But the stories they relate are taken from elsewhere, not invented anew. (Hutcheon *A Theory of Adaptation* 3)

The relationship of operas to various forms of media was assessed within the intermedial findings of the research in *Part II*. The analyses showed that there are certain medial patterns that differentiate the operatic medium from others in terms of textual fidelity and medial fidelity, although differences between the operatic adaptations were observable. *Part III* contributes an overview of the theoretical intramedial implications that the operatic medium has for adaptation as well as demonstrating the intramedial patterns of the specific *MACBETH* operas. The three chapters also establish some of the historical background to the operas that are detailed in the individual and comparative case studies in *Parts IV* and *V*.

Part III – Chapter 1 details the historical developments of opera and more specifically of the *MACBETH* operas, focussing on changes to the medium that have affected the process and product of the adaptations. The intention here is not to detail every historical development from the first opera in around 1600 onwards, but to focus on specific changes (e.g. how changes in textual usage have had flow-on effects for marketing) that have affected intramedial relationships, especially during the last half of the nineteenth century. The second chapter of *Part III* provides evidence about the current state of research into these operas – or lack thereof – and the impact that this appears to have had on their long-term survival in the performed operatic repertoire. The additional impacts that copyright has on this survival and the ways that the *MACBETH* operas may assist the development of theories are also examined. *Part III – Chapter 3* presents the statistical findings for the *MACBETH* operas, discusses the relationship between translation theory and opera, and defines issues related to how the translation of *Macbeth* and the way that adapters have transferred information across both media and language affects the concept of *knowing and unknowing audiences* and *modes of engagement*.

Part III – Chapter 1: Historical changes in opera

Composers in most fields of classical genres are essentially trapped between conforming to conventions in order to be accepted by the public and breaking the conventions in order to be considered 'original'. They are caught between the expectations of musical language at the time of their work and the formation of new ones. The reported unrest at the premiere of Stravinsky's ballet *The Rite of Spring* in 1913 (Hewett) is a case where the conventional boundaries within the composition had been breached, advancing the boundaries ahead of public expectations. In addition to these expectations being a type of foreknowledge that is included in the extensions of *knowing and unknowing* proposed in *Part I – Chapter 2*, they are an example of historical change occurring in the medium of ballet. In a similar manner, the implementation of Wagnerian changes affected opera in a way that shifted the focus of operatic adaptations. Prior to Wagner, "[t]he [medium] spread quickly, and various styles of opera developed. In Naples, for example, music rather than the libretto dominated opera. The [medium] spread to Germany and France, each developing the [medium] to suit the demands of its audiences. For example, a ballet became an essential component of French opera" (Toutant). Although the fundamental components of opera, "in which numerous heterogeneous elements coexist and are combined" (Annunziata and Colombo 5), did not completely change following Wagner's exploration of new forms, the structural relationship between text and music did. This change began occurring after 1850 and had seen the almost complete disappearance of 'traditional' libretti in the twentieth century (Gier *Das Libretto* 199).

An implicit presupposition for a text written for the theatre to be set to music without changes is that the rigid forms of musical prose must be broken up. The formation of a melody based on a traditional eight-bar phrase requires metrically regular, meaning strophic (or at least strophic-like) forms for the text in the musical numbers, as only occur as exceptions in theatrical plays; up until Verdi and Meyerbeer it was therefore necessary to re-introduce the differentiation of recitative and aria and ensembles respectively. Following Wagner, this distinction was discarded. (Gier *Das Libretto* 199-200)¹²²

Throughout the period, there was a "growing tendency for composers to choose an already completed and available theatrical play as the libretto" because "all aesthetic and dramaturgical decisions ha[d] already been made, and there [was] no need to fear the surprises that frequently occur in collaboration

¹²² „Voraussetzung dafür, daß ein für das Sprechtheater geschriebener Text unverändert vertont werden kann, ist die Auflösung der geschlossenen Formen in musikalische Prosa. Die traditionelle, auf der achttaktigen Periode basierende Melodiebildung fordert für den Text der Musiknummern metrische regelmäßige, das heißt strophische (oder zumindest strophienähnliche) Formen, wie sie im Schauspiel nur ausnahmsweise vorkommen; bis hin zu Verdi und Meyerbeer galt es somit, bei der Opernadaptation eines Sprechstücks die Unterscheidung von Rezitativ und Arien bsw. Ensembles neu einzuführen. In der Nachfolge Wagners wird diese Trennung aufgehoben.“

with a writer or poet" (Gier *Das Libretto* 199).¹²³ As indicated by the change that the *MACBETH* operas underwent in this regard, the traditional libretto that included arias and choruses made way for a direct usage of the source text, albeit in abridged form. This meant that composers needed to navigate the difficulties of through-composed structures (Sutcliffe 425), where large sections of music continued unabated, a side-effect of which was the lack of customary opportunities for audiences to applaud and call for the performers to return to stage. In nineteenth-century opera, "the social function was of as great an importance as the musical one" (Rodmell 20), with breaks for applause one part of this function. As Table 26 will demonstrate, the number of such opportunities decreased in the *MACBETH* operas to date, with other operas also included to highlight this shift. This shift also changed the way that composers treated casts, in particular the use of the chorus members. Marowitz states that: "musicalized Shakespeare is full of potential and to be encouraged. [...] In order to derive value from the original, new dimensions with contemporary substance have to be uncovered or imposed" ("Introduction" 10). The effects of "new dimensions" that have occurred to the medium are immense, as will be discussed throughout this chapter and the remaining sections of *Part III*.

In addition to the balance between tradition and originality mentioned above, composers have had to adapt to "the convergence or cross-over between high culture and popular culture" (Toutant) as opera attempts to merge aspects of popular culture into its medium. The development of the modern directed media that are defined in *Part II - Chapter 1* has, depending upon the perspective, therefore forced or allowed changes to the operatic medium. The subsequent effects of technology and the intermedial overlap that it has caused are also discussed in this chapter, which contains three sections. The first section discusses the structural and compositional aspects of operatic changes. The second discusses how these changes have altered other aspects of operatic production, specifically revolving around the financial necessity of marketing. The final section of this chapter explores the changes to which the modern media have led.

¹²³ "wachsende Neigung der Komponisten, ein fertig vorliegendes Schauspiel als Libretto zu wählen" ... "[sind] alle ästhetischen und dramaturgischen Entscheidungen bereits gefallen, Überraschungen, wie sie in der Zusammenarbeit mit einem Schriftsteller oder Dichter häufig vorkommen, sind nicht zu befürchten".

The change in operatic structures and compositional techniques

Rodmell describes the situation in around 1870 where audiences were less concerned with “the nuances of the abilities and interpretations of the leading singers” (16) and where “[a] more general shift in aesthetic norms underlies this attitude, notably an increasing value placed on the musical score as the artwork” (17). He further states that the shift involved the increasing acceptance of German works as being of more artistic value than those of the Italian operas that had previously dominated the market (17-18 [footnote 46]). This segregation based on nationality is probably close to Altman’s description of film genres:

the film industry, responding to audience desires, initiates clear-cut genres that endure because of their ability to satisfy basic human needs. While they do change in predictable ways over the course of their life, genres nevertheless maintain a fundamental sameness both from decade to decade and from production through exhibition to audience consumption. (Altman 29)

The variety of styles contained within each nation’s composers aside, national operatic tastes also change, as demonstrated by the compositional changes imposed by Wagnerian music dramas. Historical developments within French opera also showed variations (Carolyn Abbate and Roger Parker 262-263). This section examines how these changes affected operatic adaptations as well as how the use of casts has changed since the middle of the nineteenth century, where the use of the chorus in particular was considerably more prominent in operas prior to music dramas taking over.

Following the acceptance of music drama as an operatic form, a major shift in the libretti became obvious. Whereas traditional libretti changed the source text to conform to musical structures, music dramas consisted of compositions where the music conformed to the libretti. In the case of the operas analysed for this research, considerable differences are observable between the *MACBETH* operas up to 1877 and operas afterwards. As can be seen in Table 26 below, there are major differences to some compositional structures after the thicker dividing line shown at the time of the historical change. The table includes four *Macbeth* operas before this change and the first four after the change, plus two operas by Mozart (*DON GIOVANNI* and *DIE ZAUBERFLÖTE*) in order to demonstrate that the differences are not *Macbeth*-specific, and an additional opera by Verdi (*LA TRAVIATA*). While there are variances between individual operas, there is a trend observable on either side of the thick division line. Because of through-composed structures that became the convention after Rossi’s *BIORN*, the breaks in music often occurred only at the end of an act and therefore the number of separate main structures decreased considerably.

<i>Opera, Composer (Year)</i>	Main musical structures / scenes	Possible start/end ¹²⁴ points	Likely points for applause	Separable arias, duets, trios, quartets	Chorus sections
<i>DON GIOVANNI</i> , Mozart (1787)	26	81/60	42	22	2
<i>DIE ZAUBERFLÖTE</i> , Mozart (1791)	23	34/29	22	16	6
<i>MACBETH</i> , Chelard (1829) ¹²⁵	27	99/70	38	11	23
<i>LA TRAVIATA</i> , Verdi (1848)	19	44/32	18	8	8
<i>MACBETH</i> , Taubert (1857)	23	31/27	16	9	9
<i>MACBETH</i> , Verdi (1865 version)	33	54/40	16	(15)	16
<i>BIORN (MACBETH)</i> , Rossi (1877)	(at least) 29 ¹²⁶	<i>Unknown</i>	<i>Unknown</i>	17	12
<i>MACBETH</i> , Bloch (1910/51) ¹²⁷	7	40/14	3	0	3
<i>MACBETH</i> , Gatty (1924)	9	67/36	4	0	3
<i>MACBETH</i> , Collingwood (1925) ¹²⁸	11	53/26	3	0	4
<i>MACBETH</i> , Koppel (1968)	18	104/40	5 ¹²⁹	(1)	2

Table 26: The macro-structural elements of some major operas and the *MACBETH* operas

As is also shown by the number of start and end points possible in each of the operas¹³⁰, there is a change in the proportion of endings that are possible in the operas. This is different from the number of positions where cuts – where one section can be joined to another, thereby omitting some music and text and reducing the amount of performance time – are able to be made. This is important for many reasons. Firstly, in the discussion of arias that is undertaken later in this chapter, as it means that there are fewer sections of the operas that are able to be segregated into performable stand-alone works, also visible by the abrupt change after the dividing line. Secondly, a change in audience expectations was entailed that relates to the culturally-acquired convention of applauding at the end of breaks, particularly following an aria. When arias, duets, or even choral sections are not separated, there are no places in the performance for an audience to demonstrate their appreciation of a performer's or the performers' effort. This audience convention occurs in opera and ballet but is not accepted as a cultural norm within orchestral concerts or recitals, where multiple movements provide breaks but where it is expected that audience members *should* remain quiet. In the nineteenth century

¹²⁴ These are where an ending point exists, is possible by simply stopping, or might be possible through minor alterations (even if it makes no sense to do so from a dramatic perspective).

¹²⁵ The sourced score is a compilation of published score and manuscript including changes that were made. Therefore, the totals in this table should be taken as approximate.

¹²⁶ Based on the libretto, as no score is known to exist (other than the excerpts discussed in *Part IV – Chapter 3*).

¹²⁷ Bloch's opera actually provides for an optional cut that removes the extended scene of the Macduffs' massacre in Fife: "*ENDING* – In the event of Act II. being ended here (which is to say, when the whole of Scene II. is suppressed) a cut is made to Act III., page 231, on the other hand, Scene II. is performed, there us no interruption: but, by going from Φ to § , one follows on with the Interlude leading to the said Scene II" (Bloch, *Reduction*, 174).

¹²⁸ As with Bloch's opera, Collingwood provides an optional ending for Act II, Scene I: "If required this scene may be ended as follows and a short interval made" (*Piano Reduction* 246).

¹²⁹ This is based on the full score without cuts. However, based on the audio recording of the premiere (with cuts), only four moments of applause were recorded, although more were possibly edited out.

¹³⁰ Although subjective, the data nevertheless highlights patterns in the change of compositional structures over time. Naturally, this is a simplification of the issue, as the difference between national and personal differences as well as the length of the opera can skew the results. However, the basic patterns of a decrease in the usage of arias and of positions where music can be started and stopped, and the difference in chorus usage are observable in Table 26.

“prolonged applause” was given at the entrance of a prima donna and often they would “step out of character” to “acknowledge the approbation” including encores that disrupted “dramatic narrative” (Rodmell 19-20). As operas took on a through-composed structural form after music drama became the common form of composition, the breaks that had previously permitted mental and physical release, albeit brief, no longer existed on the same scale: “one of the changes wrought by the establishment of Wagner’s work in London was a decline in [the] habits” related to audience appreciation during the performances (Rodmell 20).

Traditional aria-based operas remind audiences of the “artificial” (Longo 196) conditions, as the applause following an aria breaks their attention from the suspended reality that an opera provides. Modern operas, on the other hand, hold the audience’s attention – and tension – captive for longer periods. Within Koppel’s opera, the number of moments where an audience can be heard applauding numbers only four during the premiere. Some applause is obviously uncertain, and other moments where applause may be possible, the audience hesitated, possibly due to the through-composed aspects and the closer relationship to theatrical structures. Similar numbers exist in the other three later operas shown. In contrast, in the traditionally-structured operas, Chelard provides 38 moments where audiences could applaud, Verdi and Taubert provide 16, and Rossi could be presumed to have included approximately the same, based on the number of main structures. Mozart’s operas contain 42 and 22 with Verdi’s *LA TRAVIATA* containing 18 possible moments. To what extent this interferes with Hutcheon’s concept of the *showing* mode of engagement is not clear and would require further research. However, the change highlights the shift in conventions that occurred in the lead up to the start of the twentieth century. This change caused a readjustment in the interaction between performer and audience. The way the cast interacted changed in the latter half of the nineteenth century (Rodmell): previously “interaction was between the singer and the audience and the former’s success in communicating directly with the latter (rather than with other members of the cast) was prized” (18). Rodmell presents anecdotes that describe a culture amongst performers of indifference towards the dramatic purpose, although, along with staging, “[t]his indifference was of relatively little concern to audiences of the 1870s” (19). This are many who support this concept with regards to the function of opera, such as Corse, who states that “[opera] belongs to its performers; because of the special skills involved, actors in an opera must first be singers, so that the conductor often has a more direct control over the performance than the stage director” (12-13). Sections assigned to Orson Welles also refer to this issue, and although the quote is questionable due to the format of being placed within a ‘play’, it is nevertheless relevant to the issue of stagemanship over dramatic purpose:

Opera, in general, has come upon evil days. It’s all in the hands of the stage directors. They’re always asking me to direct operas and I always refuse because I don’t think the boss of the opera ought to be the stage director. I think it ought to be the conductor and then the next bosses ought to be the leading performers. The stage directors today are doing tricky revisions

of the operas and spoiling the intentions of the composer for the most part. (Tarbox Act One: Scene Three)

The number of start and end points in Table 26 that was mentioned above refers to locations that *could* be used to start or stop within the music that are possible without requiring any considerable re-composition. These judgements are based upon the musical setting, which changes in line with the emotional and psychological content of the text, an aspect that is particularly observable in Koppel's opera.¹³¹ Whereas cuts during the *adaptation/composition* and *production* phases of theatrical texts involve only a matching of the emotional content contained in the text, cuts and alterations to operatic adaptations require a match of dramatic content, rhythm, harmony, melody, and orchestration, as well as a lead-in for the singers if necessary. This is further evidence that *directable printed* adaptations are not the same as directed adaptations, suggesting yet again that the manner in which adaptation is discussed needs to be reconsidered with this in mind.

Another change that has occurred to the medium of opera was the increase in the usage of the "Chorus", which is a term used on sections of the opera that are set for the 'choir' of performers on stage. As is also shown in Table 26 above, there has been a reduction in the number of choruses in the *MACBETH* operas since the instigation of the music drama format. The traditionally-structured libretti were able to transfer the narrative elements into new structures that could be used as choruses, as will be discussed in the third chapter of *Part III*. The operatic setting of *Macbeth* as a music drama is problematic in this regard because of the lack of regular chorus opportunities. Rarely does Shakespeare provide large numbers of cast members on stage at any time in *Macbeth*, with only some possibilities such as "Lords" and "Soldiers" expanding the possibilities. However, in these cases, these roles speak very little. In the traditional operas, this requires an increase in the number of performers in operatic settings. For example, Verdi increases the three witches to be a female chorus, with other operas increasing the number of servants or similar roles. Collingwood composed for a "Chorus of witches (behind the scenes)" and "Lords, Attendants, Servants" (Reduction page 2).

It should also be remembered that the number of choruses shown in Table 26 does not necessarily imply the level of importance given to these performers. For example, in the traditional operas, the chorus is often on stage alone or with (a) key cast member(s). These are usually entire numbers, or are in important sections such as the finales. Although there are only three instances in Bloch's opera, they are each quite lengthy as well as critical, such as the Banquet Scene, a joined 4.2 and 4.3, and the combined scene that amalgamates Act 5 into the finale. Gatty also has three instances of chorus in his opera, although they are short. Therefore, the "3" shown for both Bloch and Gatty does not represent

¹³¹ A comprehensive analysis of this opera and its relationship to the text – and the emotional and psychological content – can be found in the first three chapters of *Part IV*.

the duration or importance placed on the choruses. There are also other differences that exist between the operas related to the use of choruses, such as 'gendered' groupings (e.g. 'female' voices only, 'male' voices only). However, these differences do not form a trend but are specific to each composer, unlike the change that occurred as soon as music dramas became the convention. There are also additional issues related to cast usage in both Hamilton's and Styles' chamber operas due to their specific settings, specifically the reduction in the number of cast members which is partially due to contractual reasons and partly due to the time constraints. What the removal of the chorus – and also the traditional ballet¹³² – following the dominance of music drama means to an audience is that there are two separate forms of foreknowledge involved in knowing audiences. Those who are aware of the traditional form of the operatic medium would expect an altered libretto, and those who are used to music dramas could expect the source text set to musical forms. This is part of the dilemma for composers in modern times that will be detailed more in the third chapter of *Part III*: conform to tradition and be criticised for straying from the language, or conform to music dramas and be criticised for straying from the traditional operatic style. One provides the spectacle of opera with its powerful choruses and climaxes based on the needs of the music. The other provides a theatrical performance accompanied by music, although this requires a simultaneous acceptance of theatre and opera.

Promoting opera(s): in the digital age

In the previous section, the examination of changes to musical structures caused by music dramas highlights the effect on structural conventions and on audience conventions. As will be shown, the structural changes that are detailed above have made the dissemination of the operas more difficult, although some mitigating factors through the use of technology and intermedial productions have at least partly balanced the difficulties. This section reflects on some of the difficulties and mitigating factors and focusses on the effects to the promotion of the operatic medium and individual operas.

As mentioned in the previous section, the proliferation of operatic repertoire was achieved partly by releasing arrangements for piano and voice that were able to be performed at home. Audiences were able to learn the music to the operas in their own time, and aspiring performers had the opportunity to practice as required. However, two changes that have occurred over time limit this method of promoting opera. The first of these changes is the establishment of the through-composed style of operatic composition mentioned in the previous section. The problems that involved the reduced ability to end a section and make it 'stand-alone' means that the arrangement of individual sections has become more difficult. With traditional arias and duets, there is a possibility to easily and simply isolate a section of the opera, and subsequently perform and record the performance. This strengthens

¹³² e.g. Verdi contains three ballets sections, Chelard has three dances, and Rossi two, whereas Gatty, Collingwood, and Koppel do not. Bibalo does, however, set the massacre at Fife as a ballet.

and perpetuates two aspects: *knowing performers* and *knowing audiences*. Without these two aspects, the rise to prominence of an opera – as well as its survival – would be all but impossible, particularly as aspiring performers would not be likely to perform them in recitals. The second change is that of instrumentation and orchestration.¹³³ This change has been a further disruption to the standard of performing arias in recitals because of the shift of conventions within orchestral accompaniment. As well as technological changes that have seen improvements to the instruments themselves, there has been an ever-increasing reliance on percussive effects in modern orchestral music. This might not be a problem with regard to performance techniques and rehearsal requirements involving professional orchestras. However, given the difficulties of representing sound effects on an accompanying piano, it is likely that the effectiveness of piano reductions is considerably limited. Altering an unpitched sound effect in a full orchestral score to a pitched sound in a piano reduction has potential consequences related to the reception of the sound. It could also potentially draw the attentional focus of an audience away from a singer and toward the accompaniment, potentially undermining the understanding of the text intended by the composer. Furthermore, the performer may also focus on and rely on different aspects of the accompaniment. To what extent the creation and use of piano reductions constrains the ability of composers to have their operatic works performed over a long period is not known. However, the difference in soundscape between the orchestral accompaniment and a piano reduction accompaniment could be considerable. This difference could result in an opera being disregarded over a longer term, at least for operas that rely heavily on timbral qualities that cannot be replicated on a piano. As occurred with Collingwood's opera (refer to *Part V – Chapter 2*), the opera was first performed with limited success as a concert with only piano accompaniment. For a work such as Styles' chamber opera, which draws on percussive effects throughout much of the work, this possibility would be considerably more limited.

Operas such as Verdi's *MACBETH*, which contains sections that can be performed in isolation by the singers – individual or pairs – due to there being arias, and which is more easily transcribable for piano, have a greater potential for students to perform them in recitals, as well as professionals to perform them in concerts. The arias, partly also due to their brief length, are also more likely to be placed onto compilations by soloists who perform numerous sections from various operas. In these ways, an opera is more likely to achieve exposure. If exposure means that the opera is less likely to enter into obscurity, then the use of segmented elements such as traditionally structured arias should assist in the perpetuation of the entire opera. The unfortunate obscurity of Herman D. Koppel's *MACBETH* (refer to *Part IV*) highlights this issue. The only section of the opera performed outside of the 1970 full opera performances was Lady Macbeth's sleepwalking scene, the only aria in Koppel's opera. Lone Koppel

¹³³ Instrumentation refers to which instruments/voices are used; orchestration to the way in which they are used.

describes the opera in this respect well, by stating that “it’s more a drama rolling [on] rather than stopping and making an aria... There’s only the sleepwalking scene... otherwise there are no arias in dad’s opera... one of the [reviews] blames the opera for that.” (Koppel, L., App. F, Part 1, 7-8). The review mentioned obviously did not take into account the change that had occurred to libretti related to music dramas – or the critic was unable to give in to the changes from traditional operatic settings. Anders Koppel also discusses the libretto that he created with his father, stating that “it wasn’t any more successful than it was because people like to have arias” (Koppel, A., App. F, Part 2, 512).

If an audience knows the music, then they are more likely to understand what is occurring within an opera itself. If an opera is not recorded and can only be heard in a full production, then there is an extreme limitation on the how audiences become accustomed to the music. While the arguments for exposure need to be balanced with the arguments for maintaining intellectual copyright, a discussion about which is contained in the following chapter, the likelihood of obscurity appears to increase when an opera is not able to be performed in smaller sections.

The mitigating factors that can be applied to the operatic medium are varied and have also changed over the past century. These changes have allowed for recordings of professional opera performers to be mass produced, with a progression through technical media such as records, tape cassettes, CDs, and the current digital streaming technology. These all contain their own constraints and freedoms including the varied amount of playing time possible in each. Nevertheless, the availability of any recordings, whether that be auditory only or audio-visual material, permit audiences a chance to develop expectations. As well as promoting the opera itself, it also provides a chance for the medium to expand. An introduction of the screen-based forms of opera is contained in the following section: intermedial forms such as television and film that promoted operas and operatic performers in the latter decades of the twentieth century.

Toutant (2008) questions whether opera is moving increasingly toward popular culture and discusses the changes that the twenty-first century trend of live broadcast has brought about. Although “an aura of elitism and snobbery” still exists, the change in accessibility for audiences through the live broadcast technology, in the referenced case of the New York-based Metropolitan Opera, has made “world-class live opera available to countless persons who cannot travel to New York and pay the price for tickets” (Toutant). The technological changes have indeed created “points of intersection between different cultural groups” (Henry Jenkins *Textual Poachers* 2-3), opening the medium to audiences that would otherwise not have existed. This suggests that the traditional opera houses where ‘elite’ audiences mingle with champagne during the interval could potentially be joined – or indeed countered – by online groups that can communicate as separate individuals. Similarly, television and film have become mediators between these varied cultural groupings. Jenkins further states that “[t]aste distinctions

determine not only desirable and undesirable forms of culture but also desirable and undesirable ways of relating to cultural objects, desirable and undesirable strategies of interpretation and styles of consumption" (*Textual Poachers* 16). This restriction on performers being able to segregate a particular section of an opera for performance in a non-operatic setting could potentially be one of the downfalls of theatrically-structured or theatrically-conceived operas. Without the possibility for an audience to hear a short section of the opera without needing not only a recording or performance of an entire act, but potentially also the knowledge of the play itself, the music is more likely to disappear. The promotion of opera(s) therefore requires other methods, such as the intermedial ones discussed below.

The effects of new media and technology on existing media

Screens of various technologies are embedded in our lives and normalised as extensions of our bodies. In those opera productions in which directors change the time and place of opera plots, use technology, and are less concerned with what the composer or librettist intended (which we can only guess), the iconographic images create multi valances, textuality similar to Mikhail Bakhtin's notion of multiplicity of voices. Hence, a plurality of meanings. (Toutant)

Screens have altered *every* stage of the operatic adaptation process, not only through the modernised productions of older operas as suggested above, but also in the creation of new ones. This includes researching during the conception phase, various processes within the adaptation/composition phase, aspects of the production phase such as surtitles, and the use of intermedial forms during the reception phase. This section looks briefly at the changes to the compositional process, the direct and indirect effects that other medial forms have had on opera, and the relationship to television and film productions that came to prominence in the later parts of the twentieth century. These intermedial co-productions are important from a cultural perspective because "Television Opera, that is opera commissioned for television, was one of the television industry's earliest attempts to confront the distinction between 'high' and 'popular' culture" (Barnes vii). Citron states a similar viewpoint: "Screen opera offer a modern form of the Gesamtkunstwerk and challenges the boundaries between high art and mass media" (Citron).

Whereas composers originally composed on manuscript paper, it is now almost exclusively done on computer-generated notation software. As mentioned above, the changes to instrumentation and orchestration are able to be performed in playback modes, providing the opportunity to hear synthesised versions of the score, or indeed, individual instruments and/or voices. Notation software has also dramatically changed the processes within the mediation phases, removing the majority of the workload from follow-on text-types such as piano reductions and orchestral parts, all of which are able to be automated, at least partially. While the process of notating music by hand was time consuming, the mental processes required to compose were allowed a great deal of time to make decisions related to the section being composed and to the sections that were to follow. With the implementation of music notation software, this process changed. The need for a piano – and indeed the skill needed to play piano – was replaced by the need for computer keyboard and mouse skills and knowledge of software functionalities.

One of the cultural changes that has required mitigation of the past century is the impact of various forms of mass media. It is difficult to know exactly how media such as radio, film, and television impacted opera because of the mitigation strategies that were employed. However, at a conceptual level, it could be imagined that there was decreasing exposure to traditional media due to increasing exposure to new media, at least in some parts of society. As new media are adopted over time, eventually fewer people are exposed to and accustomed to older media. This could be expected to

occur with television broadcasts as the recent technology of streaming overtakes it. If it were possible to know exactly what percentage of a population actively used each medium across history, we would probably find that there are increases and decreases that occur due to the introduction of new media and new technology, potentially including the increase of operas from 1600 onwards. In London between 1820 and 1870, “the audience base had broadened but, as a percentage of the population, it remained minute” (Rodmell 21), and opera patronage has not dramatically changed since. As opera faces the need to mitigate against – or indeed alongside – intermedial influences, whether the percentage of the population that engages in the different medial forms of access increases or decreases could depend on how well they incorporate these newer forms. However, the combination of medial forms is important, because as Barnes states: “Half a century represents a small part of opera history, but those years wrought immense changes in television” (3).

As is represented by hypothetical relationships in Figure 72, the increase in the use of film might have been severely diminished by historical events such as the Great Depression and technological developments including the introduction of the television, which in turn would have been impacted by the introduction of VHS cassettes and computer games. These media may also eventually lead to an increase in patronage of some media due to the educational exposure that they provide and access to the medium that costs had previously minimised. The combined patronage of a medium that would occur due to live and recorded viewing (e.g. VHS cassettes) is likely to increase the percentage of a population exposed to the conventions of that medium’s structures, styles, and aesthetics. Similarly, the access that the new technology provides could impact other media, as influences across medial forms are easier to create.

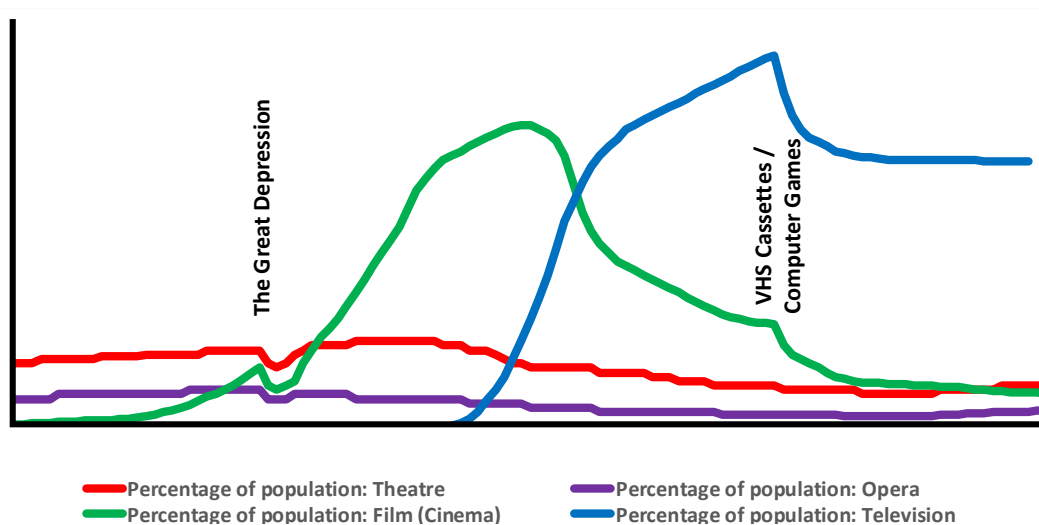


Figure 72: Hypothetical impacts on existing media usage caused by new media and technology

This hypothetical concept is also applicable to the effect that exposure to one medium can have on the expectations of an audience within another medium: in the following cases, the possible effects that television had on opera viewers, particularly *unknowing opera audiences*. During the time that Herman D. Koppel composed his operatic adaptation of *Macbeth* from 1966 to 1968, television had already started to cause intermedial changes, with an article in 1967 being “the first to splice the languages of television and opera” (Thomas Eastwood, mentioned by Barnes 5). During the premiere of Koppel’s opera in 1970, the director attempted to apply a visual aesthetic that involved minimal setting, as described in detail in *Part IV – Chapters 1 to 3*. With an audience that was increasingly aware of other forms, including the introduction of colour television, it is unlikely that such a minimalistic setting would have attracted people to opera. Other television operas of the period involved “contemporary realism” with “traditional camera set-ups in a manner designed to be visually provocative” (Barnes 9). The changes that the mix of operatic and television formats being created were already being questioned around this time: “By 1971, the Television Opera was perceived by many as an opera dominated by television techniques and, in ways never specified, compromised by its television origins” (Barnes 2). By the time that Antonio Bibalo composed his opera in 1989, television was undoubtedly the dominant medium, from both the perspective of usage and mass production. As detailed in *Part IV – Chapter 4*, Oslo television broadcast a performance of the opera that was widely viewed and well received, resulting in the opera still being known forty years later. Composers such as Koppel and Bibalo demonstrated an understanding about how to mitigate against these changing circumstances within their works. However, there are many aspects that constrained them, particularly that of economic viability and clashing production concepts. The latter of these issues was experienced in the production of Koppel’s opera, where his concept of a modern Cold War era-theme production was ignored and a traditional setting applied: a mismatch between music and staging that proved disastrous to the reception of the opera.

The more recent method of boosting economic viability with recordings and streaming services is still an unknown quantity in terms of positive or negative long-term effectiveness. The impact on audience numbers of auditory-only recordings, filmed live performances, and filmed studio performance versions is not yet fully clear. Although Citron suggests that “[l]ive and screen opera do not compete with each other but enhance each other” (Citron), the impacts of technologies that have come into existence since her work have raised more questions that remain unanswered – and perhaps unanswerable. Based on the small number of available live theatrical stage performances of *Macbeth* until recent times, it is probable that any negative impact to operatic spheres has been minimal, as major theatres would be unlikely to open up to product releases at their own long-term expense. Whether an audience familiar with operatic forms would stop attending live performances purely because they own a copy already or whether unknowing audiences are more likely to attend because

they have been influenced by a recording is unclear. However, the option is one that could make new operatic adaptations of *Macbeth* more viable as well as supporting their existence beyond premiere seasons.

The difference between the medial categories of live stage plays, filmed (former) stage plays, television, and film adaptations was specified in the intermedial findings of *Part II*. The discussion highlighted the differences in the production phase of similar forms of theatrical performances including the influence that the more modern medial forms have upon the level of textual fidelity. This was one suggestion in favour of the splitting of the fidelity debate into medial fidelity and aesthetic fidelity, as proposed in the *Introduction*. As will be shown, a similarity to the differences shown in those intermedial forms exists between live stage productions of opera and productions that rely on these more modern medial forms, although the amount of quantitative data that is currently available is restrictive. The creation of these categories and differences has occurred over decades, including “the 1950s live broadcast, the 1970s edited video and the 1990s amalgamation of television, film and computer” (Barnes 14), as well as more recent changes developing computer usage further.

These medial combinations are also important from the point of view of Hutcheon’s theoretical aspects, as the concepts of *modes of engagement* and *knowing and unknowing audiences* during reception are both affected (refer to *Part I – Chapters 2 and 3*). For example, “the venues of the two different media create different viewing conditions and encourage different expectations and responses from a viewer” (Citron), even if the target text-types (libretto and notated score) are the same. As was suggested in the *Introduction*, adaptation theories such as those about novel to film processes tend to focus on the production and reception phases, by-passing the adaptation/composition phase described earlier. If such theories were transferred over to these intermedial productions of operatic adaptations, similar findings involving aesthetic fidelity would result. These intermedial productions involve constraints and freedoms different to those of live stage operas, each different form “governed by different production methods and capable of achieving very different results” (Barnes 2). An example of the freedoms observable in the Bologna television production (D’Anna and Chailly) include external filming and the separation of some characters between the performer singing and the performer acting, as was the case with both Banquo and Macduff. As “[c]inema and television depend much more on movement and action, and thrive of a faster pace”, it is no wonder that their combination “creates a formidable challenge” (Citron 7). In describing screen-based operatic productions, Hutcheon posits that:

the naturalistic conventions of cinema are used to translate a most unrealistic staged art form. The integrity of both the musical score and the verbal libretto is usually retained, despite the different exigencies of a different medium. (*A Theory of Adaptation* 49)

This shows that television opera should be placed in a different category to that of film music, for example, if for no other reason than the opera is treated as the adapted text-type as if it were the screenplay dialogue merged with film music. Similar views are held by Citron, who describes “cinematic opera” where “image has triumphed over music in a hybrid genre with irreconcilable elements” (14). While such sentimentality may also lead to statements such as “no film or telecast can be quite so satisfactory as a stage performance of equal excellence, witnessed from the auditorium” (Donington 190), it is these (hybrid-)medial differences that separate television opera from live stage opera, as well as from filmed live stage operas. It should also be noted that the rules of medial engagement in television opera and film opera can be reversed from those of music in films. The theoretical concepts applicable to film music are:

not applicable to televised opera. In opera, the music is the vehicle which conveys the drama. [...] [t]he composer supplies the script, to be edited by the cameras. Rather than the music supporting the production, the production is built around the music. (Barnes 6)

The separation of screen-based opera sub-categories is also supported by technical differences in shooting, where television is stated as using multiple cameras and film only one, as well as issues such as miming pre-recorded soundtracks (Barnes 11; Citron 8). These production-based interpretation options stand in contrast to theatrical performances, where “our business is to present the symbols in words and music and staging just as we find them allied in the piece itself, trusting them to do their own interpreting” (Donington 192). The miming of sounds itself changes the reception phase, as “[o]pera delivers real and embodied sound: it is emitted at the same time it is heard, and the physical source is generally knowable. For cinema and most of television, sound is emitted at the time the work is recorded, not when it is screened” (Citron 8).

All of these issues show that the development of simultaneous productions, such as that of Bibalo’s televised opera (*Part IV – Chapter 4*), has led to new (hybrid-)medial forms being generated. Although within the publicly and/or commercially released productions of *MACBETH* operas this only directly affects Bibalo’s opera and the numerous recorded forms of Verdi’s, it also relates indirectly to unreleased private/archive film recordings of live performances such as that of Styles’ Glyndebourne production. In terms of *MACBETH* operas, the historical changes that screen-based technology have had on the transformation of opera are still in progress. Nevertheless, for opera overall, particularly for operas that are likely to slide into obscurity, filmed forms of the productions are likely the only way of ensuring that an opera is likely to achieve any long-term recognition, whether due to simple filming of live performances or hybrid forms of media production.

Part III – Chapter 2: The lack of research into and prominence of *MACBETH* operas

The first surviving complete opera is *Euridice*, a version of the Orpheus myth that Peri and Giulio Caccini jointly set to music in 1600. The first composer to understand the possibilities inherent in this new musical form was Claudio Monteverdi, who in 1607 wrote *Orfeo*. (Toutant)

Although Shakespeare completed *Macbeth* at the same time in history as the completion of the foundations for the medium of opera, the play was not set to operatic formats for an extremely long time. This could be because of the time that was required for a play to be disseminated, the time it took for the medium of opera to be accepted and developed, or the need for a play to be translated into acceptably ‘operatic’ languages. The time taken to do so contrasts heavily with the modern ability to disseminate texts and develop media across technologies. Surprisingly, although a great deal is known about Shakespeare's *Macbeth* due to it receiving an enormous amount of attention in academic research, and although there is a great deal of literature providing knowledge about the medium of opera, there is a very little that has been written about the *MACBETH* operas. With the exception of research into Verdi's adaptation, a small amount about Bloch's opera, and minor mentions of others, there is almost no research that has been published. Throughout the sources accessed for this research shown in Table 27 (which follows over multiple pages), many of the composers of *MACBETH* operas are not even mentioned, let alone the operas themselves. This is despite some of the composers having composed other operas as well as being linked to the dates of publications and the focus and purpose of the sources.

Source	Extensive <i>MACBETH</i> research	Specific mention of the <i>MACBETH</i> operas	Mention of the composers	Comparisons between the operas
<i>Der Opernführer [1892] (Lackowitz)</i>	None	None	Taubert, Verdi.	None
<i>Führer durch die Opern: 220 Operntexte [1901] (Melitz)</i>	None	None	Verdi for other operas than <i>MACBETH</i>	None
<i>A Guide to the Operas; Sym. Poems; Overtures, Inc. Music and Songs [1914] (Irwin)</i>	None	Verdi	Verdi for other operas than <i>MACBETH</i>	None
<i>The Musical Times, April 1, 1919 (Wilson)</i>	<i>Some details:</i> Verdi; Chelard; Taubert; Bloch		Taubert and Verdi for operas other than <i>MACBETH</i>	None
<i>Grove's Dictionary of Music and Musicians [5 volumes] [1927-28] (Colles "Grove's Dictionary of Music and Musicians")</i>	Verdi	Bloch, Chelard, Gatty, Rossi, Taubert	Collingwood, Chelard, Gatty, Rossi, Taubert and Verdi for operas other than <i>MACBETH</i>	None
<i>More Opera Nights [1954] (Newman)</i>	None	None	Verdi for other operas than <i>MACBETH</i>	None
<i>Giuseppe Verdi: His Life and Works [1931/1959] (Toye)</i>	Verdi	None	Verdi extensive work for operas other than <i>MACBETH</i>	None

Differentiating medial patterns: *Macbeth*

Source	Extensive <i>MACBETH</i> research	Specific mention of the <i>MACBETH</i> operas	Mention of the composers	Comparisons between the operas
<i>Knaurs Opernführer [1957] (von Westermann)</i>	None	Verdi	Verdi for other operas than <i>MACBETH</i>	None
<i>Shakespeare in Music [1966] (Stevens et al.)</i>	None	Chelard, Taubert, Verdi, Rossi, Bloch, Gatty, Collingwood: almost no details about any.	Taubert, Verdi, and Gatty for operas other than <i>MACBETH</i>	None
<i>Herders Musiklexikon: Oper, Operette, Musical [1972] (Hellwig)</i>	Verdi (some details)	Verdi	Bloch, Verdi.	None
<i>Romantic Opera and Literary Form [1977] (Conrad)</i>	None	Verdi: mentions only	Verdi: considerable sections on operas other than <i>MACBETH</i>	None
<i>Literature as Opera [1977] (Schmidgall Lit. As Opera)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>The Concise Oxford Dictionary of Opera [1964/1983] (Rosenthal and Warrack)</i>	Verdi (some details)	Aspelmayr, Bishop, Chelard, Taubert, Rossi, Bloch, Gatty, Collingwood, Goedicke: almost no details about any.	Verdi for operas other than <i>MACBETH</i>	None
<i>Macbeth: High King of Scotland 1040-57 [1980] (Ellis)</i>	None	Verdi, Collingwood	No other mentions	None
<i>An Illustrated Guide to Composers of Opera [1980] (Gammond)</i>	None	Verdi	Verdi	None
<i>Endlers Opern Führer: Was wirklich im Libretto steckt [1980] (Endler)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>A Verdi Companion [1980] (Weaver and Chusid)</i>	Verdi	None	Verdi for operas other than <i>MACBETH</i>	None
<i>Opera in Perspective [1980] (Drummond)</i>	None	None	Verdi: considerable sections on operas other than <i>MACBETH</i>	None
<i>Oper: Eine illustrierte Darstellung der Oper von 1597 bis zur Gegenwart [1981] (Mezzanotte (ed.))</i>	None	Bloch, Verdi	Gatty and Verdi for operas other than <i>MACBETH</i>	
<i>Four Centuries of Opera: Manuscripts and Printed Editions in the Pierpont Morgan Library [1983] (Rigbie Turner et al.)</i>	None	None	Verdi for other operas than <i>MACBETH</i>	None
<i>Oper in vier Jahrhunderten [1984] (Oehlmann)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>The Definitive Kobbé's Opera Book [1919/1987] (Kobbé)</i>	None	Verdi: 7 pages of notes	Verdi: considerable sections on operas other than <i>MACBETH</i>	None
<i>Das große Opernlexikon [1985] (Seeger)</i>	None	Bloch, Chelard, Collingwood, Rossi [BIORN], Taubert, Verdi.	Bibalo, Bloch, Chelard, Collingwood, Rossi, Taubert, Verdi, all for works and operas other than <i>MACBETH</i>	None

Source	Extensive <i>MACBETH</i> research	Specific mention of the <i>MACBETH</i> operas	Mention of the composers	Comparisons between the operas
<i>Verdi [1985/1987] (Budden)</i>	Verdi	Verdi	Verdi	None
<i>Oper als Text: Romanistische Beiträge zur Libretto-Forschung [1986] (Gier [ed.])</i>	None	Verdi	Verdi: mentions for operas other than <i>MACBETH</i>	None
<i>Verdi: A Life in the Theatre [1987] (Osborne)</i>	None	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Das Libretto: Theorie und Geschichte einer musikoliterarischen Gattung [1988/1998] (Gier Das Libretto)</i>	None	None	Verdi for operas other than <i>MACBETH</i>	None
<i>Fra et hjem med klaver: Herman D. Koppel's liv og erindringer [1988] (Behrendt)</i>	Koppel: (108-110)	Koppel	Koppel, Verdi, Bloch	None
<i>Analyzing Opera: Verdi and Wagner [1989] (Abbate and Parker [eds.])</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Geschichte der Musik: Beethoven und das Zeitalter der Romantik [1989/1993] (Raeburn and Kendall Heritage of Music: The Romantic Era)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Geschichte der Musik: Die Hochromantik [1989/1993] (Raeburn and Kendall Heritage of Music: The Nineteenth-Century Legacy)</i>	None	None	Verdi for operas other than <i>MACBETH</i> ; Koppel	None
<i>Geschichte der Musik: Das 20. Jahrhundert [1989/1993] (Raeburn and Kendall Heritage of Music: Music in the Twentieth Century)</i>	None	None	Bloch, Gatty	None
<i>Shakespeare and Opera [1990] (Schmidgall Sh. & Opera)</i>	Verdi: minor	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Opera and its Symbols: The Unity of Words, Music, and Staging [1990] (Donington)</i>	None	None	Verdi for operas other than <i>MACBETH</i>	None
<i>Operas in German: A Dictionary [1990] (Griffel)</i>	None	Taubert: no significant details	Bibalo, Chelard, Taubert: all for composing operas other than <i>MACBETH</i> , no details or notes	None
<i>Lexikon der Oper [1991] (Kapp)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>The Viking Opera Guide [1993] (Holden)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Who's Who in British Opera [1993] (Adam)</i>	None	Verdi (324: list)	Listed for composing operas other than <i>MACBETH</i> , no details or notes: Hamilton; Verdi	None
<i>Zwischen Opera buffa und Melodramma: Italienische Oper im 18. Und 19. Jahrhundert [1994] (Maehder and Stenzl)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Opera: Desire, Disease, Death [1996] (Hutcheon and Hutcheon)</i>	None	None	Verdi: for one opera other than <i>MACBETH</i>	None

Differentiating medial patterns: *Macbeth*

Source	Extensive <i>MACBETH</i> research	Specific mention of the <i>MACBETH</i> operas	Mention of the composers	Comparisons between the operas
<i>Oxford Concise Dictionary of Music [1996/2007] (Kennedy and Kennedy)</i>	None	Bibalo, Bloch, Collingwood, Hamilton, Verdi	Bibalo, Collingwood, Hamilton, and Verdi for operas other than <i>MACBETH</i>	None
<i>Settling the Score: A Journey through the Music of the 20th Century [1999] (Oliver)</i>	None	None	Verdi : for two operas other than <i>MACBETH</i>	None
<i>Operas in English: A Dictionary [1999] (Griffel)</i>	None	Collingwood, Goldman (1957), Halpern (1965) : none with detail.	Possibly (<i>operas are all noted alphabetically without index</i>)	None
<i>Opera: The Rough Guide [1999] (Boyden)</i>	Verdi : some details and synopsis		Verdi for operas other than <i>MACBETH</i>	None
<i>Die "Macbeth"-Opern von Giuseppe Verdi und Ernest Bloch [2000] (Kramer)</i>	Bloch, Verdi	Bloch, Verdi	Bloch, Verdi	Bloch, Verdi
<i>Opera on Film [2000] (Fawkes)</i>	None	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Bodily Charms [2000] (Hutcheon and Hutcheon)</i>	None	Verdi	Verdi	None
<i>Opera on Screen [2000] (Citron)</i>	None	Verdi	Verdi	None
<i>The life of Verdi [2000] (Rosselli)</i>	Verdi	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Opera's Second Death [2002] (Žižek and Dolar)</i>	None	None	None	None
<i>Television Opera: The Fall of Opera Commissioned for Television [2003] (Barnes)</i>	None	None	Verdi : three operas other than <i>MACBETH</i>	None
<i>Music in the Nineteenth Century [2005/2010] (Taruskin 19th Century)</i>	None	Verdi	Verdi for operas other than <i>MACBETH</i>	None
<i>Music in the Early Twentieth Century [2005/2010] (Taruskin Early 20th Century)</i>	None	None	Bloch: Verdi for one opera other than <i>MACBETH</i>	None
<i>Music in the Late Twentieth Century [2005/2010] (Taruskin Late 20th Century)</i>	None	None	Verdi	None
<i>A Theory of Adaptation [2006] (Hutcheon A Theory of Adaptation)</i>	None	None	Verdi for operas other than <i>MACBETH</i>	None
<i>Adaptation and Appropriation [2006/2016] (Sanders)</i>	None	None	Verdi : for one opera other than <i>MACBETH</i>	None
<i>The Grove Book of Operas [1992/2006] (Sadie The Grove Book of Operas)</i>	Verdi	Verdi	Verdi : for operas other than <i>MACBETH</i>	None
<i>Selected Essay on Opera by Ulrich Weisstein [2006] (Weisstein)</i>	None	Verdi	Verdi : for operas other than <i>MACBETH</i>	None
<i>Opera: the basics [2006] (Gallo)</i>	None	Verdi	Verdi : for operas other than <i>MACBETH</i>	None
<i>A History of Opera [2012] (Carolyn Abbate and Roger Parker)</i>	Verdi	Verdi	Verdi : for operas other than <i>MACBETH</i>	None
<i>Music, Text and Translation [2013] (Minors)</i>	None	None	Verdi : for operas other than <i>MACBETH</i>	None

Source	Extensive <i>Macbeth</i> research	Specific mention of the <i>Macbeth</i> operas	Mention of the composers	Comparisons between the operas
<i>Translating for Singing: The Theory, Art and Craft of Translating Lyrics</i> [2016] (Apter and Herman)	None	None	Verdi for operas other than <i>MACBETH</i> . Bloch : for a work other than <i>MACBETH</i>	None
<i>Opera Surtitling as a Special Case of Audiovisual Translation: ...</i> [2016] (Rędzioch-Korkuz)	None	Verdi	Verdi	None
<i>Obscure Composers 2: ...</i> [2015] (Sarkett)	None	None	Bloch : for numerous works other than <i>MACBETH</i>	None
<i>Obscure Composers 3: ...</i> [2017] (Sarkett)	None	None	None	None
<i>Obscure Composers: Classical Period 18th Century</i> [2017] (Sarkett)	None	None	Bloch (<i>name only</i>)	None
<i>Obscure Composers: Romantic Period 19th Century</i> [2017] (Sarkett)	None	None	None	None
<i>'Tomorrow, and tomorrow, and tomorrow': a comparison of three operatic adaptations – Master's Thesis</i> [2018] (Parr)	Verdi, Collingwood, McIntyre, Styles	Chelard, Bloch	None	Verdi, Collingwood, McIntyre, Styles

Table 27: The appearance of *Macbeth* operas in the available literature

Perpetuating and propagating operas is almost impossible when musicologists and historians – and publishers – make intentional choices that exclude certain composers and/or operas when collating or summarising information. The table above lists a variety of works with just as many purposes, most of which work against an opera being noticed over a long period of time. Whether inclusions and exclusions of specific operas are made for commercial reasons, the popularity of the operas at the time of the research, the availability of the scores and recordings, the nationality of the composer, or because of personal preference, the exclusion of any opera from a publication is likely to increase its chances of being relegated into an ever-increasing position of obscurity. Without information about the opera, as well as other aspects that will be discussed in various sections that follow, it is unlikely that opera houses or individual performers will reintroduce an opera or sections of an opera into public life. Unfortunately, this is the dilemma facing the vast majority of the *MACBETH* operas. As will be shown, very few of them are performed, and even fewer of them are performed regularly. Only Verdi's is part of the 'standard' operatic repertoire, with Bloch's and Sciarrino's operas next in line with regards to the number of performances.

Table 27 also shows that Verdi's opera is incredibly well researched but not often compared to other *MACBETH* operas. Another area of cultural interest is that of the seemingly empire-centred collection of information. Two *MACBETH* operas composed in London, Gatty and Collingwood,¹³⁴ both show up in sources such as *Grove's Dictionary of Music and Musicians*, for which Gatty was an editor, directly after the operas were completed. However, Gatty's provincial upbringing and his withdrawal from life in London in the late 1920s appears to have resulted in the entry about him disappearing from the same dictionary from the Fifth Edition in 1954.¹³⁵ This is supported by what Rodmell describes as the "capital-centric culture" which "tended to emphasise the difference – and metaphorical distance – between central London and everywhere else" (Rodmell 4). This highlights just one reason that the operas and their composers effectively disappear from notability.

The relative obscurity of the *MACBETH* operas is further highlighted by the statistics for performances that have been made available as an online database by OperaBase, despite not all operatic seasons being available. As can be seen in Table 28, which highlights the performances of each *MACBETH* opera, and Table 29 on the following page, which highlights total operatic performances for all operas composed by each composer, many of the composers have effectively disappeared from the practice of opera, as have their operas based on *Macbeth*.

		2012/13	2013/14	2015/16	2017/18
Chelard	1827/29	0	0	0	0
Verdi	1848/65	732	760	789	793
Taubert	1857	0	0	0	0
Rossi	1877	0	0	0	0
Bloch	1910/51	7	3	0	7
Gatty	1924	0	0	0	0
Collingwood	1925	0	0	0	0
Koppel	1970	0	0	0	0
Bibalo	1989	1	0	0	0
Hamilton	1994	0	0	0	0
Chiusano	2001	0	0	0	0
Sciarrino	2002	5	5	5	5
Styles	2015	0	0	1	1

Table 28: Performances of *MACBETH* operas 2012 to 2018

¹³⁴ These two operas are the focus of *Part V – Chapter 2*, where they are discussed and compared in detail.

¹³⁵ The Fifth Edition was unfortunately not able to be fully analysed for all *MACBETH* operas and composers due to the restrictions imposed during the 2020-21 pandemic.

		2012/13	2013/14	2015/16	2017/18
Chelard	1827/29	0	0	0	0
Verdi	1848/65	13003	14259	15472	15333
Taubert	1857	0	0	0	0
Rossi	1877	0	0	0	0
Bloch	1910/51	0	0	0	0
Gatty	1924	0	0	0	0
Collingwood	1925	0	0	0	0
Koppel	1970	0	0	0	0
Bibalo	1989	0	6	6	5
Hamilton	1994	0	0	0	0
Chiusano	2001	0	0	0	0
Sciarrino	2002	64	77	81	86
Styles	2015	0	0	0	0

Table 29: Performances of operas other than *MACBETH* 2012 to 2018

According to data compiled by Sarkett ("The Obscure Composers Index Tm") in Table 30, the availability of recordings of any of the works by the *MACBETH* opera composers also highlights the perpetuation of Verdi's opera at the expense of all others even if purely through the interest shown in the composers' other works.

	Recordings of any works
Chelard	0
Verdi	3501
Taubert	1
Rossi	8 ¹³⁶
Bloch	276
Gatty	0
Collingwood	1
Koppel	21
Bibalo	3
Hamilton	7
Chiusano	0
Sciarrino	53
Styles	2

Table 30: Available recordings of any work by the *MACBETH* opera composers

¹³⁶ Data related to Rossi is potentially incorrect due to the plurality of the Rossi surname and potential errors in the databases accessed.

What all of these statistics suggest is that composers are not only confronted with the decision of whether to maintain fidelity to Shakespeare's original text, but also whether to maintain fidelity to the conventions that Verdi's operatic setting established as the benchmark for both *MACBETH* operas and traditional Italian-style operas. It may also suggest that composers who have not completed a significant number of operas are unlikely to be performed regularly, as the Italian composer Sciarrino is the only other composer to be performed with numerous seasons of performances each year. However, many of the *MACBETH* opera composers completed significant numbers of other operas. Therefore, this perhaps implies that the subjective *quality* of the operas is important, as also discussed by Anders Koppel in 2018: "I once heard that somebody had said that a composer has to [compose] ten bad operas to write his first good one" (App. F, Part 2: 210). Though this is a generalised statement, composers would need to experience numerous works and then happen to time their *MACBETH* opera as their best, were it to become popular and accepted. Similarly, if performances and recordings perpetuate an opera's existence in practice, then it would be difficult to see any future *MACBETH* operas achieving recognition and surviving the effects of commercialism and – at the least relative – obscurity. When works such as Verdi's *Macbeth* receive a great number of performances, "audiences see the same works repeated many times, but in different interpretations" (Toutant), whereas *Macbeth* operas that receive only a handful of performances are never granted such luxury of interpretation.

All of these factors combine to create the difficulties that composers face when adapting any canonical work, including the issue of reception that Hutcheon describes:

Knowing or unknowing, we experience adaptations across media differently than we do adaptations within the same medium. But even in the latter case, adaptation *as adaptation* involves, for its knowing audience, an interpretive doubling, a conceptual flipping back and forth between the work we know and the work we are experiencing. As if this were not complex enough, the context in which we experience the adaptation - cultural, social, historical - is another important factor in the meaning and significance we grant to this ubiquitous palimpsestic form. (Hutcheon *A Theory of Adaptation* 139)

Therefore, the common perception of the opera as being elitist also compounds the difficulties faced by composers. However, the use of the television to broadcast an opera production have assisted in raising the awareness of operas, as was the case for Bibalo's *MACBETH*, which was broadcast in Oslo, as documented in *Part IV – Chapter 4*. Similarly, the use of other technical media technologies such as the VCR and CDs, as well as the more recent shift to DVDs and Blu-Ray discs and advertising through platforms such as YouTube, has assisted in perpetuating and propagating operas, including some of the *MACBETH* operas.

As mentioned in the section of *Part II – Chapter 1* related to adaptations unable to be accessed, research difficulties due to problems with physically finding and/or accessing the notated music occurred. Hamilton's full score was reported missing after it was requested and only the piano

reduction was available. Rossi's sketches of his music are mostly unavailable online but can be seen in attendance in Naples, although no copies may be made by foreigners. The version of his *MACBETH* sketches translated by Marshall and known as *BIORN*, exist only as a libretto.¹³⁷ Goldman's score was not forwarded by the New York State Library due to copyright issues and required physical attendance once the score had been taken from storage. Unfortunately, this resulted in the work remaining in obscurity. The story behind Gatty's music and its near discarding following the disbanding of the Music Department at the University of Exeter, which is noted in *Part V – Chapter 2*, was one of luck. However, accessing the score still requires physical attendance at the University of Exeter, and only for research purposes, or at the Royal College of Music for the piano reduction. This problem is conflated by the issue which follows: that of copyright.

Copyright and 'grand rights' works

Opera *aficionados* are extremely attentive about any violation to the original spirit, or essence, of a given work. This opens debate about adaptation and staging to match a contemporary audience: is the choreographer, the director, the adaptor in general allowed to deviate from the original opera? If so, to which extent? Should law intervene to prevent such kind of "heresy"? [...] [C]ritical editions of operas are of course derivative works but also add original value: in legal terms, they dance on the border between plagiarism and creative elaboration. (Annunziata and Colombo 7)

In addition to this consideration of maintaining what is essentially the fidelity debate specifically for operas,¹³⁸ a problematic issue that can prevent some of the operas from being performed – and indeed researched – is that of copyright, in particular in countries where they are recognised as *grand rights* works (EBU). Desblache states that "[v]arious forms of international copyright conventions applicable to music emerged in the nineteenth century, leading to the Berne convention in 1886 and to the foundation of the CISAC (Confédération Internationale des Sociétés d'Auteurs et Compositeurs) in 1926, created to protect artists' rights. Classical music's advantage over popular music is that it was often free of rights" (Desblache). However, "free of rights" in this case refers to music that has entered the public domain, which is not always the case for operatic repertoire. Works such as operas, ballets, and some large choral symphonies are usually considered grand rights works and require special permission for their use. As the notated music cannot be purchased, they often require a system of hiring.¹³⁹ As at the time of this research there is no controlling copyright body for many of the *MACBETH*

¹³⁷ Details about this opera are available in *Part IV – Chapter 5*.

¹³⁸ It should be noted that this is yet more evidence in support of the difference between views of operas and films involving different phases of mediation: adaptation/composition and production respectively.

¹³⁹ Some of the *MACBETH* operas were able to be purchased on the condition that they not be passed on following the completion of research, such as the conditions of accessing Sikorski's copy of Bibalo's *MACBETH*.

operas including Nicholas Gatty's and Lawrence Collingwood's operas, there is no simple means of obtaining permission for performance or recital. There is also no simple process to gain permission to replicate the notated forms of the operas, to record the operas, or to pay royalties for their use. The organisational and bureaucratic processes required to gain such permissions reduce the likelihood of their use, even if only from the perspective of pure economic benefit. With relations to programming, if opera companies apply the path of least resistance from both an artistic and a financial perspective, then the requirement for grand rights works to have a controlling body effectively eliminates an opera from practical use. This is, however, unproblematic in the case of extremely popular works such as Verdi's *MACBETH*. Although Gatty and Collingwood were well-connected and well-known within their own musical communities, and both had composed numerous works, including other operas that had been performed, their *MACBETH* operas have completely disappeared. This will remain the case until the issue of copyright and royalties on operatic works changes and allows for situations such as this to be overridden.

In contrast to the failings of 'uncontrolled' copyright ownership, Herman D. Koppel's opera *MACBETH* is controlled by the publishers Edition-S in Copenhagen, which is at least partially funded to oversee Danish composers' works. This means that a grand rights work will still be able to have permissions granted whether or not the composer and their heirs are still directly accessible. Whether the amount of funding provided to Edition-S is enough to ensure that the physical manuscript scores of a work such as Koppel's opera survive for generations or are indeed transferred onto a digital notation system is an entirely separate issue. However, given the ability to access Koppel's *MACBETH* from a legal perspective,¹⁴⁰ it is more likely to escape permanent obscurity than those of Collingwood and Gatty. The Koppel family and Edition-S permitted a detailed analysis including notation and the use of the premiere recording, which is a scenario that for the purpose of research is invaluable. Because of this permission, the opera now has the potential to be better understood and therefore could avoid permanent obscurity.

While Sanders states that "in the music industry musical language doesn't carry quotation marks" (53), the use of notated or recorded excerpts in academic contexts is assumed to be the same. However, outside of academia, the issue of plagiarism, is more complicated especially in performed music. Sanders highlights how this issue functions in practical realms with Shakespeare's work as the focus:

As an out-of-copyright author, Shakespeare's work becomes a form of open access content available to the global community for glorious reinvention. Where the work is 'owned' by a

¹⁴⁰ In this case, specific access to the score and use of notated excerpts was granted by the publisher, and a copy of the recording from 1970 was provided with permission to include the recording and excerpts of the recording was granted by the family, as well as the assistance of Anders Koppel, plus Lone Koppel and her husband Björn Asker. Details of the opera are in *Part IV – Chapters 1 to 3*.

living author or performer, the ramifications of reworkings are more complex, though comic pastiche can provide a legal get-out clause for some works of adaptation. (Sanders 195)

The issue of intellectual copyright in practical music spheres is one that can be costly. This was the case with *Men at Work's Down Under* when, 30 years after its release, it was revealed that the flute solo contained a children's song that was still under copyright (Suzor and Choi). Under current laws in most Anglophone countries, "copying without permission is only permitted if it falls under a prescribed purpose – such as for research or study, criticism or review, parody or satire, and reporting the news. There is no exception that allows artists to quote and rework the material that inspires them" (Suzor and Choi).

Although there is an incredibly huge divide between *Men at Work's* music and the *MACBETH* operas, the issue of copyright is one that has not only been a constant in musical development, but has also separated the issues of source and adaptation in intermedial terms. Old plays are simple to rework into new forms, and especially in the case of *Macbeth* because "Shakespeare is helpfully outside copyright law, making him both safe and cheap" (Sanders 60). Old operas, even if they are out of copyright and lie in the public domain are obscure and difficult to rework. Added to this is the difference between adapting a stage play as a source text and adapting a *MACBETH* opera that is itself an adaptation of the stage play.

The interesting twist in this copyright dilemma is that two of the *MACBETH* operas, Sciarrino (2001/2) and Sandström (2001), both use excerpts from other operas within their works: for example, Mozart and Verdi's *MACBETH* respectively. Although this is done in an explicit manner that makes the use of the works obvious, the issue of copyright usage is evidenced here as perhaps not what is experienced in other usages throughout the world. Release into the public domain for general use should ensure that an opera has a chance of escaping obscurity, but at the cost of losing decisions about creative control, which is one of the intentions of the law.

Could the *MACBETH* operas help to fill theoretical gaps in adaptation theory?

In opera, music is arguably as important a narrating component as are the words; this function is in addition to its manifest affective and even mimetic power. (Hutcheon *A Theory of Adaptation* 41)

The difficulties faced by operatic adaptations hint at things that should be avoided in the practice of adaptation. Understanding what these difficulties were – and are – could reinforce knowledge about the processes of adaptation. Even though this knowledge has been developed in academic fields over numerous decades, the overriding focus on screen-based adaptations as well as the differences between what has been suggested as the adaptation/composition and production phases of the mediation process has left uncharted territory within adaptation. As “a few acknowledged operatic masterpieces are almost universally considered great art, although a large body of operas that were once important are now forgotten or rarely performed” (Corse 11), it is important to examine why this is the case. Understanding exactly why *MACBETH* operas are rarely performed should indicate what sort of creative paths should not be followed.

In the case studies that form the following two parts of this dissertation, there are key areas that highlight what has worked or has not worked within the four proposed phases. The majority of negative results appear to predominantly involve the production phase. Koppel’s opera was a disaster on stage, despite having arguably the most appropriate musical setting of all of the operas (*Part IV – Chapters 1 to 3*). Bibalo’s opera was well received and has not been completely forgotten, partly due to the mass audience of its television production (*Part IV – Chapter 4*). Rossi and Marshall’s opera *BIORN* was considered a laughing stock, partly because of the altered libretto that transformed *Macbeth* into Norwegian folklore, but mostly because of the staging and performers (*Part IV – Chapter 5*). Chelard’s opera was received poorly in French, but following reworking and translation into German, was accepted relatively well, and Taubert’s opera was tolerated in Berlin but not elsewhere (*Part V – Chapter 1*). The first two full operas completed in English, by Gatty and Collingwood respectively, demonstrated that securing performances of new operas has proven difficult over time, with Gatty’s failing to ever be staged (*Part IV – Chapter 2*). Both English composers discovered that, as in the late nineteenth century when “the tried and tested dominated” in a culture, in London’s Italian companies at least, where the policy was “to follow rather than innovate” (Rodmell 13), being *untried* all but prevented operatic productions.

One key area that the comparative visual representation sheds light on is the reasons within the usage of text that Shakespearean operas in English fail to be performed on a regular basis, and in most cases are either never performed, or performed only once or for one short season. With the analysis of the various *MACBETH* operas available in notated form, it is clear that what is expected of an opera by audiences and what is expected of Shakespeare do not always go hand in hand. In order to detail the

aspects that are evident in practical applications of operatic Shakespeare adaptations, the intramedial findings that the vcr permits are presented in the following chapter. As will be seen, these aspects present composers with certain options that require decision-making as part of the conception phase. Firstly, do they wish to conform to more traditional operatic settings by calling for a libretto that is loosely based on the source text or secondly, conform to the music drama style by forming the libretto based purely on the source text itself? The result in either option is a complex mixture of audience expectations that require meeting, as was shown in the Venn diagram in *Part I – Chapter 2* (refer to Figure 21, page 55) during a discussion about an extension of Hutcheon’s concept of *knowing and unknowing audiences*. Following the presentation of the intramedial findings about the structural patterns of operatic adaptations, the ways in which librettists and composers create or form the libretto for their *MACBETH* operas therefore also forms a part of the discussion in the following chapter.

Part III – Chapter 3: Intramedial categorisation of MACBETH operas

The needs of opera distil the great speeches in the original down to a few essential words.
(Rosselli 58)

Rosselli's statement highlights a commonly-held perception that condensing a source text is a norm in operatic libretti. As was seen in the intermedial findings in *Part II – Chapter 2*, although operas do tend to condense a source text in the case of *MACBETH* adaptations, some of the operas actually contain more text than some samples from other media such as films. What the findings show is that other factors should be taken into consideration, such as the length of performance for the adaptations of each medium. In doing so, statements such as Rosselli's should actually refer more to the amount of text per minute of performance, instead of generalised summaries that do not actualise across the medium. It is exactly this point that defined the usefulness of the quantitative analyses described in *Part II*. However, there is more to the definition of operatic adaptation than the intermedial analysis can offer, especially due to the potential to separate the sub-categories of the medium. Therefore, an intramedial analysis is necessary in order to differentiate the sub-categories of the medium.

The benefit of the intramedial research into the *MACBETH* operas that is contained in this chapter lies in the patterns of structural conventions. These patterns could further suggest why the operas have attained almost complete obscurity as well as whether the conventions are linked to historical changes within the compositional choices of composers and librettists. As few of the composers involved were novices in their field at the time of the operas' creation, they mostly attained some level of support and recognition within their musical communities. Furthermore, they had all had performances of other works prior to the conception of their *MACBETH* operas, including other operas in most cases. This suggests that their own expertise of music was not a key factor in their opera's obscurity.

There are variations such as historical period, compositional style, and technological advances in both notation and theatres that cannot be controlled in a quantitative comparison. This is particularly true in cases such as this analysis where the sample size is so small. However, the patterns that are observable within the *MACBETH* operas themselves demonstrate what are essentially three sub-categories¹⁴¹ of operatic libretti that will be defined following the presentation of the intramedial findings. At the end of this chapter, a brief summary of the intramedial findings presents a more detailed overview of the dilemma that faces operatic librettists and composers regarding the use of theatrical plays as source texts, including issues arising from the differences in source text translations.

¹⁴¹ Future research of other theatrical source texts and their related operas should reveal whether these cover all types or whether there are additional sub-categories. Furthermore, future research into non-theatrical source texts and their operatic adaptations may confirm or develop these sub-categories into a fuller understanding of the ways in which libretti are formed.

Intramedial statistics for operatic adaptations of *Macbeth*

The overall *intermedial* findings for statistics discussed in *Part II – Chapter 2* highlight how operas are separated from other media with relation to the structural conventions that are involved. The intermedial differences and similarities demonstrated some of the ways that operas are aligned to some media, such as the conformity to the macro-structures in live stage plays and to the percentage of text verbalised in films. What these high-level findings do not provide is a differentiation of the medial patterns within the operas themselves, involving the aspects of textual use that were involved in the intermedial analysis, but with a much more detailed focus on the subtler conventional differences and similarities between the *MACBETH* operas.

One of the most obvious but influential differences between play and librettos is simply that the latter must be considerably shorter. A great many words must be left out when the librettist begins with a play, especially a Shakespearean one. (Corse 69)

The amount of text is used in opera libretti prescribed by Corse above is discussed in similar ways by numerous intellectuals (e.g. Hutcheon *A Theory of Adaptation* 38). However, even Hutcheon comes to the defence of opera which she states “has been singled out as particularly guilty on both the loss of quality and quantity”, by countering that “the customary theoretical generalizations about the specificity of media need to be questioned by looking at actual practice” (Hutcheon *A Theory of Adaptation* 38). However, defining an actual amount as a percentage or even as a fraction of an original text has previously been avoided, partly due to the usage of re-written texts and translations, with researchers therefore preferring vague references such as Corse’s “considerably shorter” and “great many words” in the quotation above. Nevertheless, despite the vagueness of previous discussions, it is possible to place a more precise figure on this when related to operas that use original text as the basis for the libretto and, less accurately, when other libretti are approximated to the original text. For operas where additional text has been used, the percentage is potentially misleading, as the amount of additional text cannot be quantified to text that does not exist. Therefore, in these cases, the *amount* of text set in the opera is actually higher than the percentage of text relative to the original text that is shown, and therefore provides no comparative value. It is also important to remember that the performance length can affect the percentage of text used, particularly as two of the operas that have been quantified in this research are chamber operas: one of which, Styles’ opera, has a performance length of just over an hour. Within the constraints of scope in this research, there are only eight *MACBETH* operas that were able to be quantified. Therefore, the following analysis involves a sample size that requires additional research into other adaptations of other source texts and their relevant operas. Nevertheless, the medial patterns that are observable provide some insight into the variance that exists in operas, as well as the divergence from the expectation of massive abridgement, as was also evidenced in the earlier intermedial findings.

Figure 73 presents the percentage that each of the eight operas uses based on each act of *Macbeth*. In line with the overall intermedial findings, there is an obvious tendency to condense Act 4. However, Collingwood maintains almost twice as much text in this act than Koppel, who also composed a considerably higher percentage of text than the other composers. This is perhaps not unexpected when understanding that his opera had a performance duration of approximately four hours, which is almost four times the length of the shortest opera. The condensing of this act reflects the number of cast members required in some of the scenes, especially in 4.3, where almost 160 lines require only Malcolm and Macduff, and many that follow involve sections of historical appeasement¹⁴² that hold little relevance to later and modern audiences. An extremely long period would be required for such a large amount of dialogue to be sung, and this would not necessarily conform to the attentional requirements of operatic audiences, particularly in the music dramas of longer duration. A long recitative between two characters that also involves little physical action on stage would dampen the dramatic motion of an opera. However, the small amount observable in the statistics nevertheless permits the calmness directly before the climax of the battle in Act 5: a battle that also permits chorus usage and once again captures the attention of the audience.

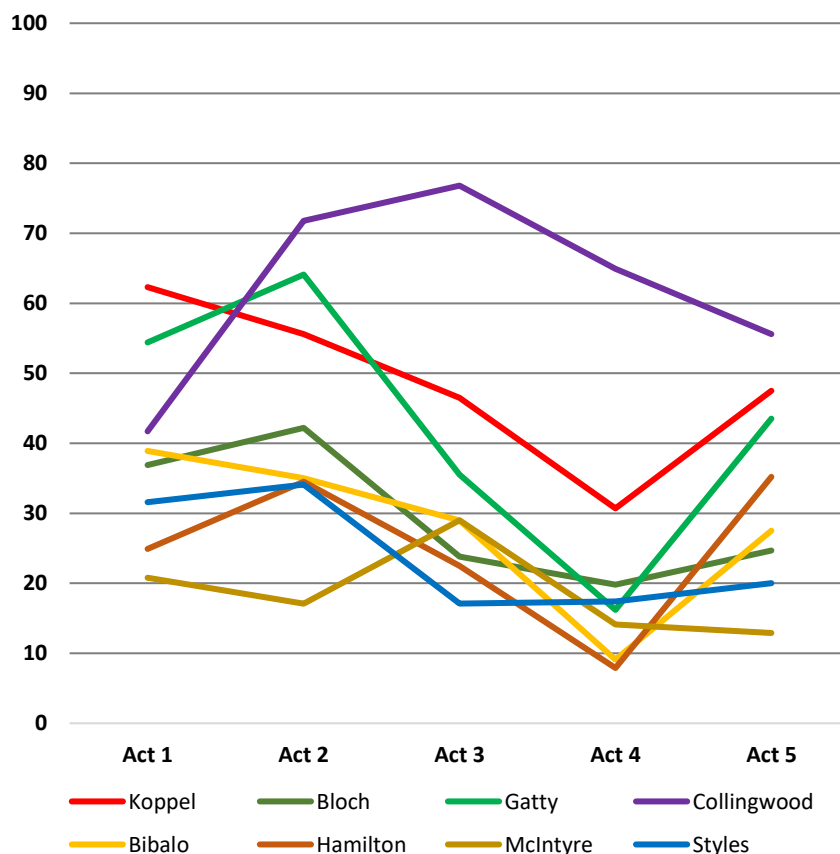


Figure 73: The percentage of the source text used in the operatic adaptations by act

¹⁴² Refer to the discussion of 4.3 in the observations contained in the latter parts of *Part II – Chapter 2*.

Establishing a correlation between percentage of text and the duration of performance is naturally difficult based on the analysis because it has been achieved through the use of the text-types created in the adaptation/composition phase and not performances undertaken in the production phase. Records and recordings of performances of the operas therefore provide evidence only of production length, which does not necessarily represent the adaptation in terms of a composer's intentions. This is seen in the difference between the original form of Koppel's opera and that of the reduced version used in the premiere season, which is comprehensively documented in *Part IV – Chapters 1 to 3*. However, a hypothetical attempt at correlating the operas based on the information known about them from records, recordings, and the scores, reveals the following relationships shown in Table 31.

11. Operas (chronological)	Percentage of text	Performance duration in minutes (approximate)
Nicholas Gatty (1924)	41.64	180
Lawrance Collingwood (1925)	61.53	240
Ernest Bloch (1910/51)	29.10	133
Herman D. Koppel (1968) [premiere version with cuts]	40.80	133
Antonio Bibalo (1989)	27.58	92
Iain Hamilton (1990)	23.94	90
Paul McIntyre (2005)	19.03	90
Luke Styles (2015)	23.81	75

Table 31: The correlation between percentage of text and duration

Although it should be remembered that the totals involve different methods of assessing the duration, such as self-reporting by the composers, duration of recordings, and (subjectively assessed tempos during the analysis of Gatty's score), and therefore the accuracy of the data is not guaranteed, there is nevertheless a trend that can be observed in Figure 74 on the following page. The trend supports the statement above that counters the anecdotal belief that operas condense text and that they should actually refer to the amount of text condensed per minute of music. This is perhaps a guide that could be held for composers in the future, in a similar way that screenwriters know that the conventions of screenwriting formats approximate one page of screenplay to one minute of film, as was mentioned earlier in this dissertation. However, for this possibility to be strengthened, the data needs to be accumulated for a larger sample size across numerous source texts and adaptations, as was already discussed.

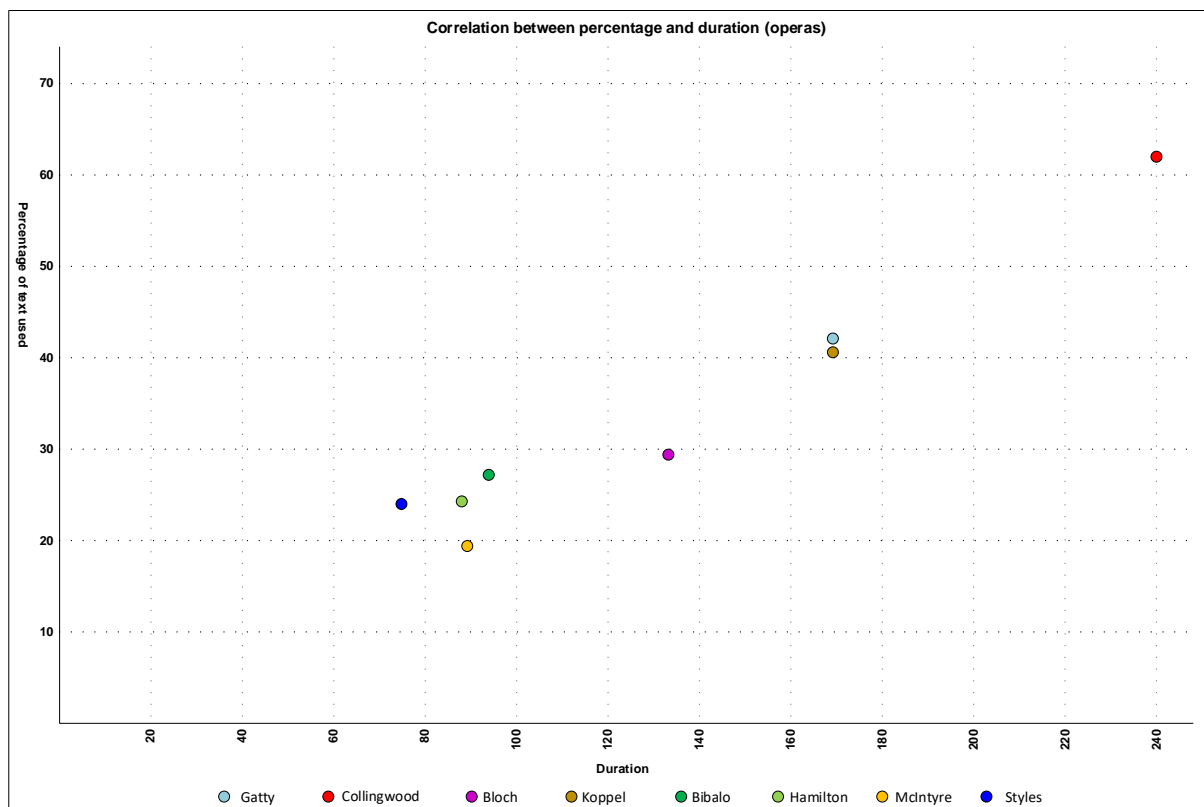


Figure 74: Correlations between percentage of text and duration

In order to further differentiate the medial patterns of the operatic adaptations analysed for this research, it is necessary to compare the other types of alterations that were analysed in the visual comparative representation. These alterations – additions, repositions, repeats, and amendments – are a further means of assessing the structural conventions within opera. While it is essentially limited to the music drama operas due to the research scope, these alterations assist in the differentiation of potential categories. The categories that will be discussed in the following section can be determined partly by the summary shown in Table 32 below.

11. Operas (chronological)	Percentage	Additions	Repositions within a scene	Repositions to another scene	Repeats	Amendments
Nicholas Gatty (1924)	41.64	73	60	11	43	12
Lawrance Collingwood (1925)	61.53	1	4	0	4	0
Ernest Bloch (1910/51)	29.10	154	89	17	81	7
Herman D. Koppel (1968)	48.25	1	10	0	8	0
Antonio Bibalo (1989)	27.58	13	36	8	41	1
Iain Hamilton (1990)	23.94	2	4	7	26	1
Paul McIntyre (2005)	19.03	4	4	2	6	0
Luke Styles (2015)	23.81	0	6	0	2	6

Table 32: Totals of structural elements of the operatic adaptations

Defining sub-categories of textual usage in operatic adaptations

The intramedial statistics presented above provide the information required to differentiate the operas based on medial patterns. Analysing these medial patterns makes a difference to this differentiation because what the statistics show as similarities are not easily perceivable during the reception of a production. While the easiest method of separating the types of text usage is reading the libretto in simple textual form (primary text-type), this does not always provide information about some of the alterations that are formed in the music, such as repeats. It is also not always clear how the text is used (e.g. recitative, aria, ensemble) unless the characters are actually marked. This section presents the three sub-categories¹⁴³ of libretto within the *MACBETH* operas based on the information from the intramedial analysis and discusses additional issues related to each sub-category specifically. A general discussion about issues related to translations that can be applied to any of the sub-categories is provided in the section that follows.

Corse's generalised summary of librettos would suggest that all librettos are created in the same way:

[L]ibrettos include both aesthetic and communicative functions of language to a degree somewhat different from that of more traditional literary forms; they often lie at the edge of literature. Frequently derived from literary sources, librettos, in the process of becoming librettos, are stripped of many of the elements that make them seem literary. (Corse 14)

As will be discussed in the following subsections, this is not the case. Since approximately 1900, music dramas began relying more heavily on original source texts. This would suggest that, certainly in these cases, the librettos have not been stripped. However, the reduction in the amount of text set could be interpreted in the same way. The *MACBETH* operas show a clear tendency to follow either the theatrical text or operatic conventions within librettos, with only a few inventing text amongst the original textual sections. The timing of this, at least for the *MACBETH* operas researched, occurred in the same period as the music drama came into prominence, as already described. This means that instead of the narratives of Shakespearean plays being transferred into operatic structural conventions with totally reconstructed and rewritten texts, the operas were reformed to the existing structures of the original theatrical text. The macro-structure (order of scenes) is generally maintained, although many scenes are not set. The music also conforms to the micro-structure of the text, which necessitates a melodic and rhythmic structure that conforms to text that was originally intended to be spoken, not set to music. In this sense, the importance of the source or target language used in the opera is less than in traditional libretti.

¹⁴³ It should be noted that there are likely to be other categories of libretto/textual usage in *MACBETH* operas. This is due to the scope of the research being restricted, potentially ignoring some 'looser' adaptations that at least call themselves operas or call themselves adaptations of *Macbeth*, despite the text being unrecognisable as such.

The focus on English language operas in this research is not due to any perceived difference in quality within libretti but instead to reduce the variables involved in the visual comparative analysis. As it took until 1924¹⁴⁴ “for an entire operatic version of *Macbeth* to appear in the English language, this is possibly because, at least at Covent Garden, “the overt incorporation of either native repertory or performers was typically viewed as parochial and a lowering of standards to be avoided” (Rodmell 8). Although Rodmell refers to “English operas” as operas composed in the English language (1, 6 [footnote]), this term is avoided in this dissertation because of the ambiguities with nationality, particularly due to the historical bias toward foreign language operas that Rodmell mentions. The more specific term of “English-language operas” is used in this dissertation, with “original text” referring to the English text within the Shakespearean play itself. The sub-categories that will be presented in this section can involve English text or translated texts, as the types of translation that are possible do not appear to change the medial patterns of usage contained in these sub-categories. The issues of sub-categories being possible in any language is focussed on their practical application during the conception and adaptation/composition phases. There is perhaps also of no disadvantage to the reception of the musical composition itself, as language may not alter the acceptance of the music, as suggested by Desblache’s discussion of song translations:

A song in a foreign language is perceived differently by a listener, who will find its lyrics much more challenging to understand. Lyrics can, of course, impoverish a song which, paradoxically, may be more successful with a foreign audience. (191)

The concepts of adaptation and translation are often linked during discussions of source texts and their relationships to target texts, and although aspects of translation relevant to operatic adaptations are weighed up following the three sub-categories, the theoretical collaboration between adaptation theorists and translation theorists appears to be limited. Sanders attempts to minimise the issue of fidelity within Adaptation Studies by pointing out the position of translators:

Recent work in translation studies, an important cognate field to adaptation studies, is helpful here in suggesting that even in the context of translation of one text into another language, where that process is in part expected to retain aspects of plot, narrative and form in ways that adaptation palpably need not, the concept of strict fidelity is unhelpful. (9)

However, this is not necessarily the case in all types of translation, such as literal translations, where the various elements of the source text are transferred as faithfully as possible into the target language and culture.

During the conception phase, decisions about which source text¹⁴⁵ to base a libretto on are the first step towards preparation for the adaptation/composition phase. In so much as the decision-making

¹⁴⁴ Gatty’s opera was the first ‘full’ English language *MACBETH* opera that has been found during this research.

¹⁴⁵ The discussion here relates to stage plays as source texts, which is the general focus of this research. The options discussed here may differ for source texts in media other than stage plays, e.g. novels.

processes during the conception phase, exactly which language the source text uses is effectively irrelevant, as the options once the language has been chosen are essentially the same. This does not imply that there are no differences related to the usage of translated languages within libretti and during composition, but refers to the structural options chosen from during the conception phase. As will be shown, the language of the source text does not vary these options for the steps that follow. For example, in choosing *Macbeth* as a source text, composers could set the original text or choose a literal translation in any language. Assuming that the literal translation has succeeded in holding the same or very similar properties (e.g. macro and micro-structures, prose, verse, rhyming schemes), then the conceptual decisions from this point involve the level of textual and/or medial fidelity of the libretto in relation to the chosen source or translated source. Once the source text has been chosen, the main decision is whether to maintain its theatrical structure as a music drama, transform it into the structures of traditional operatic libretti, or situate the libretti somewhere in between.

As can be seen in Figure 75 on the following page, there are numerous options for the type of source text upon which an opera libretto can be based. The diagram is divided into two parts, with the options within the source language in the upper half and the options within a translated language underneath. Except for the language of the source text, the options shown in the upper half and the lower half are effectively the same, as mentioned above. For example, Collingwood¹⁴⁶ opted for the original English text of *Macbeth* when setting his music drama and, excluding a few minor alterations, essentially only abridged the source text to the length he desired. This option is located underneath and to the left of “source text (source language)”. Koppel¹⁴⁷ used a Danish literal translation, also essentially only abridging the source text. In this case, his libretto is located directly below Collingwood’s, underneath and to the left of “translated source text (target language)”. Gatty’s opera¹⁴⁸, which not only abridged the original text but created new sections to go with it, would be located to the right of the Collingwood option. To the right of the Gatty option, the only opera analysed that could be involved is that of Rossi’s *BIORN*,¹⁴⁹ where Marshall’s English language libretto was formed around the structures of traditional operatic numbers. None of the operas analysed in this research was involved with the other options to the right of Rossi’s option, as they were all based on the original text from *Macbeth* and not on intermediary target text-types. However, if the scope of this research had allowed libretti that had been adapted from other adaptations, then these would have assumed the various positions on the right half of the diagram.

¹⁴⁶ See *Part V – Chapter 2* for details of Collingwood’s opera.

¹⁴⁷ See *Part IV – Chapters 1 to 3* for details of Koppel’s opera.

¹⁴⁸ See *Part V – Chapter 2* for details of Gatty’s opera.

¹⁴⁹ See *Part IV – Chapter 5* for details about Rossi’s opera and Marshall’s English libretto.

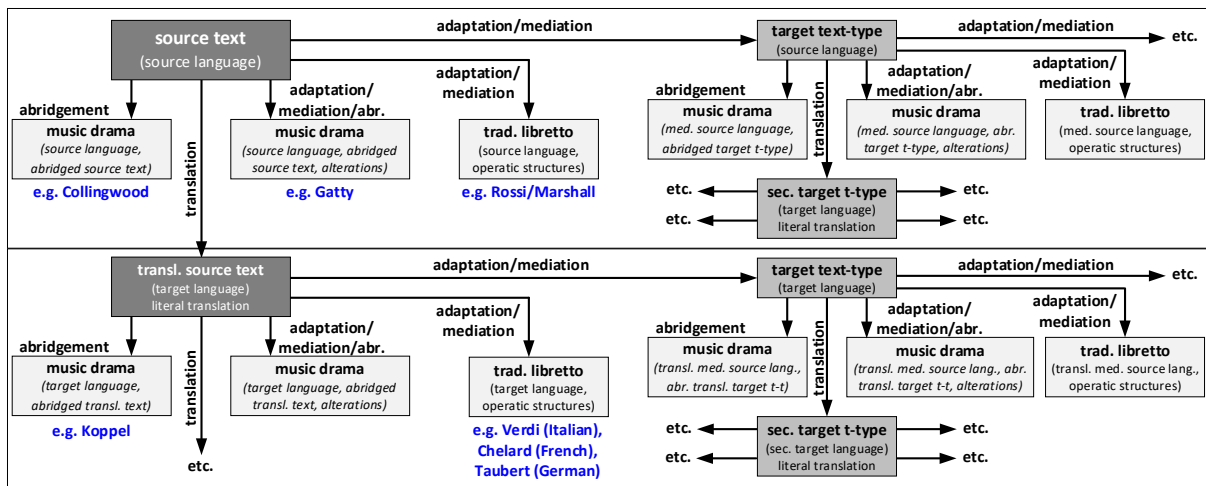


Figure 75: A simplified flowchart of text source options during the conception phase

As can also be seen in Figure 75 above, the operas by Verdi, Chelard, and Taubert, all involve libretto that were transformed into structures that conformed to the medial conventions of operatic repertoire. These were on the same conceptual level of transferral as the English libretto created by Marshall for Rossi's music mentioned above. As opposed to the deference given to canonical source texts such as *Macbeth* since the concept of the music drama began, composers behaved without an expectation of musical subservience to the texts created by the librettists, as explained by Corse:

Composers and musicians have traditionally treated opera as primarily a musical form, with the words sometimes reduced to a rather flimsy excuse for the music. Because the libretto must be written first, composers can do anything they wish. (Corse 12)

This highlights the difference between the music drama options and the traditional setting options, no matter whether a target language is involved or not. In the case of Shakespearean source texts, composers are more likely to be accommodating to the theatrical workings of his drama at the expense of the traditional operatic patterns of composition. Whether this is the case when a libretto is taken from the altered language of a target text-type (the options in the right-hand side of Figure 75) is unknown due to the constraints of the research. However, the level of faithfulness to the libretto may be different in such cases.

The translation (and adaptation) on the following page (Schiller and Shakespeare 184-185) is an example that highlights the differences between literal translations (e.g. Table 35 in Sub-category 1), direct translations (e.g. Table 36 in Sub-category 1), and translations that do not maintain the micro-structures of the source text, such as those defined in Sub-category 3. As can be seen in the structures of this particular scene, Schiller employs three different types of translation at different points.

[Section A]	ERSTE HEXE	Wann kommen wir drei uns wieder entgegen ,	
		In Donner, in Blitzen oder in Regen ?	
	ZWEITE HEXE	Wann das Kriegsgetümmel schweigt ,	
		Wann die Schlacht den Sieger zeigt .	
	DRITTE HEXE	Also eh der Tag sich neigt .	
	ERSTE HEXE	Wo der Ort ?	
	ZWEITE HEXE	Die Heide dort .	

[Section B]	DRITTE HEXE	<i>Dort führt Macbeth sein Heer zurück.</i>	
	ZWEITE HEXE	<i>Dort verkünden wir ihm sein Glück.</i>	
	ERSTE HEXE	<i>Aber die Meisterin wird uns schelten,</i>	
		<i>Wenn wir mit trüglichem Schicksalswort</i>	
		<i>Ins Verderben führen den edlen Helden,</i>	
		<i>Ihn verlocken zu Sünd und Mord.</i>	
		DRITTE HEXE	<i>Er kann es vollbringen, er kann es lassen;</i>
			<i>Doch er ist glücklich, wir müssen ihn hassen.</i>
		ZWEITE HEXE	<i>Wenn er sein Herz nicht kann bewahren,</i>
			<i>Mag er des Teufels Macht erfahren.</i>
		DRITTE HEXE	<i>Wir streuen in die Brust die böse Saat,</i>
			<i>Aber dem Menschen gehört die That.</i>
		ERSTE HEXE	<i>Er ist tapfer, gerecht und gut;</i>
		<i>Warum versuchen wir sein Blut?</i>	
	ZWEITE UND DRITTE HEXE	<i>Strauchelt der Gute, und fällt der Gerechte,</i>	
		<i>Dann jubilierten die höllischen Mächte.</i>	
	ERSTE HEXE	<i>Ich höre die Geister!</i>	
	ZWEITE HEXE	<i>Es ruft der Meister!</i>	

[Section C]	ALLE DREI HEXEN	Padok ruft. <i>Wir kommen! Wir kommen!</i>	
		Regen wechsele mit Sonnenschein !	
		Häßlich soll schön, Schön häßlich sein !	
		Auf! Durch die Luft ein Weg genommen !	

The micro-structure of Shakespeare's *Macbeth* is maintained in Section A (above the first division line) and is mostly maintained in Section C (below the second division line). In Section A, Schiller also demonstrates similar choices to the language evidenced in Dorothea Tieck's translation (see Table 35 in Sub-category 1). In between these sections of literal translation, however, Schiller inserted a created section of text. This additional middle section appears to have a function that is similar to the texts in traditional operatic libretti, including the additional rhyming schemes that dominate the entire section. The narrative and characterisation are transferred into the target language in forms that suit couplets, which, although couplets are regularly assigned to the witches in later scenes, are not in any way related to 1.1 in the source text. The text contained in Section B conforms to the style of Sub-category 3, which involves both translation and adaptation of the source text to a primary text-type that is not similar to that of the source text. This highlights the difference between the direct application of theatrical texts into music dramas and the creation of traditional operatic libretti: the libretti in Sub-category 1 primarily involve abridgement into music drama; those in Sub-category 2 combine abridgement and alteration into music drama; and those in Sub-category 3 necessitate mediation of the source text into a different textual form. Sub-category 3 can also involve sections of text that conform to the first two sub-categories. All of these differences are described in more detail in the following subsections.

Sub-category 1: Original text (including literal and direct translations)

The first sub-category of primary text-types involves an abridgement of the source text through primary-mediations that attain or almost attain textual fidelity, effectively with no or minimal alterations. This sub-category also includes literal translations and direct translations¹⁵⁰. In other words, the macrostructures (acts and scenes) and microstructures (lines) of the source text are maintained faithfully, but are merely abridged: there are few additions, repositions, repeats, or amendments, if any. While the majority of the text is retained by the relevant character, occasional differences due to the character setting may exist. Three of the *MACBETH* operas analysed fit within the definition of this sub-category: Collingwood (1925), Koppel (1968), and Styles (2015). As can be seen in Table 32 in the section on intramedial statistics, the number of alterations is minimal and the percentage of text is comparatively high (Styles' opera was contracted for a shorter length of only 75 minutes).

The use of text in this sub-category references the application of structures from and within the text, not the reception of a libretto as a whole. For example, in the case of Styles' opera, there are also significant omissions that affect the reception of the opera for knowing audiences, such as the omission of the witches. Dyson summarises which narrative elements should be included in adaptations of *Macbeth*:

Any complete account of *Macbeth* must give full value to the opening scene,...; to the raven-martlet contrast...; to the kingship of Duncan expressed in terms of fertility and grace; to the murder scene...; to the banquet scene...; to the witches' "banquet"; to the sleepwalking scene...; and to Macbeth's final soliloquies. (Dyson 370)

While Dyson's summary shows that receptive differences caused by omitted sections are a necessary consideration, the analysis here refers to the actual structural aspects of the text within the adaptation/composition phase, not necessarily the interpretative and receptive effects that result from the choice of *which* structures are set into the libretti.

Of the three operas in this sub-category, one also involves a literal translation of the source, that of Herman D. Koppel's 1968 opera in Danish. Koppel's opera was based on Valdemar Østerberg's early

¹⁵⁰ As terminology within Translation Studies also involves ambiguous and synonymous usage, the terms are defined here as intended within this research. **Literal translation** is a transfer of a source text's meaning to a target language with the same target text-type (e.g. a play to a play) or one with similar aspects (e.g. a play to a libretto). The structural functions within the source text (e.g. rhyming schemes) are also transferred into the target text [where possible], thereby also transferring the intended purpose and style of the source text, and are the most faithful of any form of translation analysed in this research. These are also known as **literary translations** (e.g. Apter and Herman 1). However, this term is not used here due to the potential confusion with 'literary adaptation' and because of its potentially broad application. **Direct translation** is a transfer of a source text's meaning to a target language within the same text-type (e.g. a play to a play) or one with similar aspects (e.g. a play to a libretto), but where the structural functions within the source text (e.g. its rhyming scheme) are *not* transferred into the target text. A direct translation does not have to allow for the intended purpose or style of the source text but can simply provide an understanding of the meaning. Direct translations as defined here are less 'faithful' to the source text than *literal translations*.

twentieth-century literal translation, with only a few amendments made due to the pronunciation of the text when sung. Comprehensive details of how this was achieved as well as what text was used are documented in *Part IV – Chapters 1 to 3*, including some examples of the changes that were necessary because of the mix of Danish language and sung pronunciation. The term ‘literal translation’ (Apter and Herman 57) refers to translations that are essentially a representation of the original text in both structure and purpose. The term here will not be used in such a sense as that provided by Wright in which there is “no obligation to produce a target text that functions as literature in its own right” (58). The intended meaning here is that they maintain the meaning and function of the original text as closely as is possible within the constraints of linguistic and cultural aspects. Within this sub-category, the use of literal translations allows for minimal changes to the micro-structural elements such as the target language’s syntax within lines, the number of syllables, or rhyming patterns in order to avoid such strict adherence to the form of the source text. However, the macro-structural elements of acts, scenes, and number of lines are essentially maintained. Rare repositions or repetitions alone do not exclude an opera from being placed in this sub-category. These literal translations are not viewed as being adaptations of the source text. The macro-structure is obvious to a reader comparing the texts, even if only one of either the source language or the target language is known. Analysis of the micro-structure, however, requires at least a basic knowledge of both the source language and the target language in order to determine the minor differences including the ordering of the translated words.

The literal translation created by Valdemar Østerberg in 1908 is written in what is currently considered to be ‘older’ Danish, similar to the way that the original Shakespearean English preoccupies modern audiences, but with less difference to modern Danish than between Shakespearean and modern Englishes. In comparison with Shakespeare’s original text for Act 1, Scene 1, the rhyming structures and line structures match, with the exclusion of an additional rhyming couplet that Østerberg translated into lines 6b and 7 with “øde” and “møde”. There are nevertheless important positional changes within the text which are noteworthy and which are discussed later in the musical analysis of Scene 1 in *Part IV – Chapter 2*. As can be seen in Table 33 on the following page, two of the re-positions include that of “Macbeth” to an earlier position in line 7 in order to achieve the additional couplet mentioned above, and the re-positioning of the natural elements in order to achieve the rhyme in lines 1 and 2 – effectively re-ordering line 2 to “In lightning, rain and thunder”. The only other difference is in lines 10 and 11, where Østerberg combines the two separate witches into an individual two-part line performed by the second witch, as also occurs in the German translations as will be discussed later.

Line No.	William Shakespeare, <i>Macbeth</i> . (128-129).		Valdemar Østerberg (transl.), <i>Macbeth</i> . (Shakespeare <i>Macbeth</i> 3).	
1	1 WITCH	When shall we three meet again ?	Første Heks	Naar skal vi vel ses paa ny
2		In thunder, lightning, or in rain ?		I Lynild, Regn og Tordengny ?
3	2 WITCH	When the hurly burly's done ,	Anden Heks	Naar det vilde Brus er svundet ,
4		When the battle's lost, and won .		Slaget baade tabt og vundet .
5	3 WITCH	That will be ere the set of sun .	Tredje Heks	Ja, før Dag er end udrundet .
6a	1 WITCH	Where the place?	Første	Hvor paa Lag?
6b	2 WITCH	Upon the heath.	Anden	Paa Heden øde .
7	3 WITCH	There to meet with Macbeth.	Tredje	Og Macbeth vi der skal møde .
8a	1 WITCH	I come, Gray-Malkin.	Første	Jeg kommer, Murre.
8b	2 WITCH	Paddock calls.	Anden	Skruptuds kalder. – Straks!
8c	3 WITCH	Anon.		
9	ALL	Fair is foul, and foul is fair ,	Alle tre	Smukt er stygt, og stygt er smukt ;
10		Hover through the fog and filthy air .		I Kvalm og Taage gaar vor Flugt .

Table 33: The relationship between Shakespeare's text and Østerberg's literal translation of *Macbeth*, Act 1, Scene 1

In 2017, a Danish academic and translator, Niels Brunse, released literal translations in a collection of all of Shakespeare's plays, including that of *Macbeth* (Shakespeare *Ny Oversættelse*). It contains similar internal patterns to Østerberg's text, as can be seen in the following example in Table 34.

Line No.	William Shakespeare, <i>Macbeth</i> . (128-129).		Niels Brunse (transl.), <i>Macbeth</i> . (Shakespeare <i>Ny Oversættelse</i> 553)	
1	1 WITCH	When shall we three meet again ?	Første heks	Hvornår skal vi tre ses igen ?
2		In thunder, lightning, or in rain ?		Når regn og torden driver hen ?
3	2 WITCH	When the hurly burly's done ,	Anden heks	Når tummel og rummeler endt ,
4		When the battle's lost, and won .		slaget tabt og sejren vendt .
5	3 WITCH	That will be ere the set of sun .	Tredje heks	Det blir inden solen går ned .
6a	1 WITCH	Where the place?	Første heks	På hvilket sted ?
6b	2 WITCH	Upon the heath.	Anden heks	På Heden, den øde .
7	3 WITCH	There to meet with Macbeth.	Tredje heks	Macbeth skal vi møde .
8a	1 WITCH	I come, Gray-Malkin.	Første heks	Jeg kommer, Gråmis.
8b	2 WITCH	Paddock calls.	Anden heks	Hør, Kvabtudse kalder.
8c	3 WITCH	Anon.	Tredje heks	Vi er der straks!
9	ALL	Fair is foul, and foul is fair ,	Alle	Skidt er skønt, og skønt er skidt ;
10		Hover through the fog and filthy air .		i skiden tåge vi svæver frit !

Table 34: The relationship between Shakespeare's text and Brunse's translation of *Macbeth*, Act 1, Scene 1

Similar literal translation structures are also observable in the following German translations of *Macbeth*, Act 1, Scene 1 (Tables 35). These translations were used during the adaptation/composition phase in Koppel's *MACBETH*. The first version in Table 35, by Schlegel and Tieck, was the version used in Max Reinhardt's *Regiebuch zu Macbeth*, which was the source that Koppel used to form the general psychological basis of the scenes as well as the individual lines. However, as is also detailed later in *Part IV – Chapter 1*, the German version of the text which Koppel pencilled in at a later stage was that of the second translation, by Ludwig Tieck's daughter, Dorothea Tieck (*Macbeth*). In her translation, she mostly maintains Shakespeare's rhyme structures. Both of these versions include additional rhyming structures in lines 6 and 7, similar to those of the Danish literal translations above: Schlegel

and Tieck created the same rhyming structure as that of Østerberg's translation, Dorothea Tieck developed this rhyming structure further to incorporate a rhyming triplet, yet in a different position to the triplet in Brunse's translation. Once again, partly due to the requirements of German syntax, the repositioning of "Macbeth" in line 7 allows the possibility of rhyme. However, unlike Østerberg's repositioning of the natural elements, the position of "thunder, lightning, or in rain" (1.1.2) remains with essentially the same structural order as the original Shakespeare text.

Line No.		August Wilhelm von Schlegel und Ludwig Tieck (trans.) (Reinhardt)	Dorothea Tieck (trans.), (<i>Macbeth</i> 7)
1	ERSTE HEXE	Sagt, wann ich euch treffen muß ,	Wann kommen wir drei uns wieder entgegen ,
2		In Donner, Blitz oder Regenguß ?	Im Blitz und Donner, oder im Regen ?
3	ZWEITE HEXE	Wann der Wirrwarr ist zerronnen ,	Wenn der Wirrwarr stille schweigt ,
4		Schlacht verloren und gewonnen .	Wer der Sieger ist, sich zeigt .
5	DRITTE HEXE	Noch vor Untergang der Sonnen .	Das ist, eh der Tag sich neigt .
6a	ERSTE HEXE	Wo der Platz?	Wo der Ort ?
6b	ZWEITE HEXE	Der Heide Plan .	Die Heide dort .
7	DRITTE HEXE	Da wolln wir dem Macbeth nahn!	Da wird Macbeth sein. Fort, fort!
8a	ERSTE HEXE	Ich komme, Murner.	Grau Lieschen, ja! Ich komme!
8b	ZWEITE HEXE	Molch ruft auch: – sogleich	Unke ruft: – Geschwind –
9	ALLE	Schön ist wüst, und wüst ist schön :	Schön ist hässlich, hässlich schön :
10		Wirbelt durch Nebel und Wolkenhöhn!	Schwebt durch Dunst und Nebelhöhn!

Table 35: Two German literal translations of *Macbeth*, Act 1, Scene 1

The direct translation below in Table 36, by Barbara Rojahn-Deyk, completely disregards the rhyming structure, instead focussing on the meaning. While this version has no link to any of the operatic adaptations researched, it is important to show that the theoretical differences between literal and direct translations as defined here are also observable in practical samples.

Line No.		Barbara Rojahn-Deyk (trans.), (Shakespeare <i>The Tragedy of Macbeth</i> 9)
1	ERSTE HEXE	Wann sehen wir uns drei wieder?
2		Bei Donner, Blitz oder bei Regen?
3	ZWEITE HEXE	Wenn sich der Aufruhr gelegt hat,
4		wenn die Schlacht verloren und gewonnen ist.
5	DRITTE HEXE	Das wird vor Sonnenuntergang sein.
6a	ERSTE HEXE	Wo der Ort?
6b	ZWEITE HEXE	Auf der Heide.
7	DRITTE HEXE	Um dort mit Macbeth zusammenzutreffen.
8a	ERSTE HEXE	Ich komme, Graymalkin!
8b	ZWEITE HEXE	Kröte ruft.
	DRITTE HEXE:	Sofort!
9	ALLE	Schön ist abscheulich und abscheulich ist schön.
10		Schwebt durch den Nebel und die trübe Luft.

Table 36: A translation of *Macbeth*, Act 1, Scene 1 by Rojahn-Deyk

Table 37 contains an Italian literal translation of 1.1 that is translated in the same manner as the Danish and German literal translations in Tables 33 to 35 discussed above. However, it does not manage to translate with each of the rhymes from the original, as can be seen when comparing the relevant tables.

Line No.		Ugo Dettore (trans.), <i>Macbeth</i> , in <i>Romeo e Giulietta, Amleto – Macbeth</i> [Milan: I libri di Gulliver (" <i>Macbeth</i> "): 263].	Libretto from Sciarrino's opera <i>MACBETH</i> (Sciarrino)
1	PRIMA STREGA	Quando incontrarci potrem, sorelle ,	
2		Noi tre, fra tuoni, lampi e procelle ?	
3	SECONDA STREGA	Quando sia spenta la furia avversa ,	
4		Quando la pugna sia vinta e persa .	
5	TERZA STREGA	Prima che il sole sia all'orizzonte.	
6a	PRIMA STREGA	Dove?	
6b	SECONDA STREGA	Sul piano.	
7	TERZA STREGA	Via! Tutte e tre	
		Incontro a Macbeth.	
8a	PRIMA STREGA	Vengo con te ,	
		Graymalkin.	
8b	SECONDA STREGA	Paddock chiama.	
	TERZA STREGA	Siam pronte!	
9	TUTTE E TRE	Il bello è brutto e il brutto è bello :	Brutto il bello, bello il brutto.
10		Fra nebbie e fumo corri a rovello .	

Table 37: An Italian translation and the relationship to Sciarrino's *MACBETH*

The Italian literal translation is provided here as an example to explain why the Italian libretto to Sciarrino's opera is not included in this sub-category. As is shown in the right-hand column, Sciarrino does not start with 1.1. In fact, his opera starts with aspects of the details of the battle from 1.2 provided by the bloody sergeant before returning to the line above in his second scene. The line is, however, a reversed formation of "Fair is foul and foul is fair" (1.1.9). The scene continues immediately with repositioned text from 1.3, as Macbeth states "Cosa siete? / Parlate, se potete." ["What are you? / Speak if you can."] (1.3.47b, reversed order). 1.1.9 is used once again at the end of Scene 2 in Sciarrino's opera.

Sub-category 2: Altered original text (including literal and direct translations)

The adaptations in this sub-category involve the original text as described above for the first category but with a considerable number of alterations (refer back to Table 32), once again including the use of literal and direct translations. As opposed to Sub-category 1, where the macro and micro-structures are maintained, the acts, scenes, and lines are mostly maintained in Sub-category 2, but a significant number of alterations to the structural components exist. In some cases, there are also additional macrostructures (new sections of scenes) that contain a similar writing style and language to that of Shakespeare. The *MACBETH* operas that conform to this textual sub-category are Gatty (1924), Bloch (1910/51), Bibalo (1989), Hamilton (1990), Chiusano (2001), Sciarrino (2002), and McIntyre (2005).

All of the operas that have been situated into this sub-category are in English except for Sciarrino's Italian libretto. However, it should be noted here that Bloch's English libretto involves back-translation (Shakespearean English to French in the 1910 opera; French to mostly Shakespearean English in the 1951 version). However, many sections of the English libretto conform to the original text or are very close to it, showing that the librettist back-translated with reference to the English source text. There are a considerable number of approximations to the original text (shown in green in the visual comparative representation) in parts of the opera, probably due to the need to mould the back-translated text to existing musical elements (e.g. melody, rhythm) that had already been composed for the French libretto. In addition to the approximations, much of the opera involves a large number of alterations, particularly amendments and repetition. However, the opera is a through-composed music drama, with no sections of libretto formed around traditional operatic numbers "driven by and for narrative functions" (Chalmers 54).

Reginald Gatty's libretto to Nicholas Gatty's *MACBETH* includes some additions that prevent the opera from being added to the list in Sub-category 1. Although the opera mostly sets the original text, there is one addition in particular that stands out, involving a scene between Macduff and Shepherd, with Fleance appearing after Macduff's exit. The text is written in a similar style to that of Shakespeare, including using actual text from other parts of the play. However, it draws upon characterisation and narratives as if a form of narration that does not exist in the source text.

MACDUFF

But is it true that Banquo's dead?
How know you Banquo's dead?
When died he?

SHEPHERD

Why sir, this self-same night,
Slain by a murderer's dagger in the dark,
Before the stars came out;
And Fleance, Banquo's son, was with him,
But he fled, and so escap'd I' the dark.

MACDUFF

How know you this?

SHEPHERD

Why, forsooth,
Heard I not the rascals as they ran,
Looking for Fleance?
But they found him not!

MACDUFF

Say nought of this,
And bring me such intelligence you learn.

SHEPHERD

I shall, my lord. But it is true,
Macbeth hath come to Forres from Scone,
Where he hath been crown'd King of Scotland.

MACDUFF

Macbeth hath come from Scone to Forres,
Where he doth hold a feast tonight as King of
Scotland!

SHEPHERD

And go you thither, thane?

MACDUFF

You ask as well as talk; Farewell!
[Exit Macduff. Enter Fleance]

FLEANCE

(in great alarm) Good shepherd, help me hence!
I trust no man in Scotland!

SHEPHERD

Macduff is sound I warrant.

FLEANCE

I trust him not.
I trust no man in Scotland!
Help me flee!
The coast is nigh,
Ship me to England! Wales!

SHEPHERD

Courage, my boy; if you will hence,
I know a trading vessel that will bring you south to
Wales.

FLEANCE

Then take me, shepherd!

SHEPHERD

Go we then!

(Gatty "Full Score", Act III, 9-14)

In addition to the structural alterations that occur in this sub-category, some of the operas demonstrate considerable changes to which characters perform specific lines and in some cases switch entire roles. For example, in the libretto to Hamilton's chamber opera, Hecate assumes the role of all three witches, thereby creating a different receptive understanding of the text. However, as with the definitions of each of the sub-categories, the definition of the textual usage relates to the structures used during the adaptation/composition phase and not to the changes in reception that any altered character and dialogue relationships involve. The visual comparative representation does not register these role changes, partly because some may not be discernible (e.g. during auditory-only adaptations).

Sciarrino's text is created through a mixture of literal translation and direct translation, although there is a large amount of approximation involved in some of the lines. Additionally, it is also a considerably restructured opera in so much as the text is often repositioned in smaller sections. For example, in Act 1, Scene 2 of the opera involves a section that contains short segments from various scenes (1.3, 1.4, 1.5, 2.3), which work in a Marowitz-like collage:

VOCI I		
Signore di Glamis!	[All hail Macbeth, hail to thee,] Thane of Glamis!	
Signore di Cawdor !	[All hail Macbeth, hail to thee,] Thane of Cawdor!	
Macbeth, sarai Re.	[All hail] Macbeth, that shalt be King [hereafter].	(1.3.48-50)
MACBETH		
Velate stelle i vostri fuochi	Stars hide your fires,	
le mie smanie nonvedano lume.	Let not light see my black desires.	(1.4.50-51)
VOCI II		
Orrore, orrore, orrore,	O horror, horror, horror.	
Ah né lingua né cuore	Tongue nor heart can	
possono darti nome	[conceive nor] name thee.	(2.3.63b-64)
LADY		
Innocenza fingete sul volto	[Your hand, your tongue;] Look like the innocent flower	
Siate un'aspide celata sotto il fiore	But be the serpent under it.	(1.5.60-61)

This type of alteration to the macrostructure separates the level of textual fidelity of Sciarrino's libretto from that of the operas situated into Sub-category 1, where the structural order of the source text is rarely changed in those libretti, if at all. While the text in Sciarrino is not always formed through the combination of segmented sections from various scenes, it nevertheless highlights the combined literal and direct translations within the text, but with the significant alterations that separates this sub-category from Sub-category 1.

Chiusano's opera is also mentioned in this sub-category because although it was excluded from the visual comparative representation due to its divergence from the original text, there are a considerable number of approximations to the text. While some parts involve the original text, other sections are effectively direct intralingual translations from Shakespearean English into more modernised English.

Sub-category 3: Narrative (re-)structures (traditional libretti)

Operatic adaptations in this category transfer information into the traditional numbers and recitative structures of operatic libretti prior to music dramas, a type of translation that is more generally known as “paraphrase” (Colina 22). The mediation of narrative information from the source text into traditional operatic structures occurs in numbers, and recitative sections often contain literal translations or direct translations. However, not all sections of recitative contain text directly linked to the original text in the source text, but can be based more loosely on the narrative ideas. In the numbers, large sections of the libretti are rewritten to conform to the rhyming requirements of the structures, such as arias. The operas that have been included in this sub-category include Chelard (1827/29), Verdi (1847/65), Taubert (1857), Rossi/Marshall (1877). These operas are mediated in a manner where “[m]usic and text together... reshape meanings in order to create a new work that resembles but does not duplicate the Shakespeare source” (69), which are the same as what Corse discusses here in relation to Verdi’s *OTELLO*.

Chelard’s opera has a similar issue to the back-translation that was undertaken in the creation of the English libretto to Bloch’s opera described in Sub-category 2. As is detailed in *Part V – Chapter 1*, the original version of Chelard’s opera was a French translation and mediation of *Macbeth*. After the poor reception it received, Chelard reworked the opera with a German translation and adaptation of the French text. Although the exact details about how this was undertaken are not known, the process of translating from Shakespearean English to French, then from French to German, and finally a comparison from the German libretto with the original English source text creates many theoretical and methodological problems. These problems are one reason for the exclusion of this opera – as well as the other operas in this sub-category that required comparative back-translation – from the quantitative analysis.

All of these libretti were created prior to 1900, when the focus of operatic composition had shifted to music drama and predominantly the use of the original theatrical forms of the source texts, as was seen in the previous two sub-categories. The libretti in this sub-category are works in their own right, although criticisms about the quality of such libretti is often given, such as Schmidgall, who states that “when masterly literature is taken up for operatic treatment, literary values do not necessarily loom importantly in the process” (*Lit. As Opera* 3). Schmidgall’s quote, presumably intended to be related to these narrative forms of libretti, does not necessarily take into account every aspect of literary works. However, the original text is often consumed by loosely related meanings: meanings which can in themselves contain literary devices and “literary values”.

The German libretto by Friedrich Eggers for Wilhelm Taubert's opera¹⁵¹ contains a wonderful homonym in the opening scene. *Die Haide*, or in modern German spelling conventions, *die Heide*, can mean both *heath* and *heathland*, as well as *pagan* or *heathen*. This double meaning is employed in the meaning of the weird sisters as they discuss the heath.

Wenn die Windsbraut fegt **die Haide**,
find' ich meine Schwestern beide.

When the whirlwind sweeps **the heath**,
I'll find both my sisters.

Wenn **die Haide** Menschenblut
Siedend von des Hasses Gluth
stromweis eingetrunknen hat,...

When **the heathen** [witches] have
swallowed streams of human blood
that bubbles from Hatred's embers,...

This word play returns in Number 11b, which is one of the songs within the overall banquet scene. After the libretto focusses on "You swap life twice, if you swap blood and wine", Lady Macbeth sings:

Wess Blut noch nicht **die Haide** trank,
Trink mit uns Blut vom Wein.

Whose blood **the heathen** have not yet drunk,
Drink with us the blood of wine.

Translating old German texts leads to the potential for interpretation differences. Translating the libretto created by Friedrich Eggers 160 years after the opera was completed is an example of this issue. When considering the above word play which appears to have been quite intentional, it would suggest that ambiguity of meanings was also possibly quite intentional. However, without the visual and contextual staging clues which the printed musical score and libretto do not provide, the interpretation of these meanings can only be presented as the options.

In the opening scene, we are presented with ambiguity in meaning both on a direct and potentially metaphoric level. In the opening scene, there are other possible homonyms with "*Unheil wird dann ausgegohren*", as *Unheil* could be interpreted as either *evil* or *the curse*, and *ausgegohren* could mean either *be achieved* or *be finalised*, or *ferment*. When referring to the intention the witches have to curse someone, it could be interpreted as "*The curse will then ready*", or if referring to the brewing potion that is in the cauldron "*The curse will then ferment.*" This could also be interpreted metaphorically as "*Evil will then ferment*", referring to the future actions and events to which the curse leads.

Number 3 contains an interesting homonym with the repetition of "heil" from "All hail Macbeth" in another homonymic – and grammatical – form, with "heile" used to rhyme with "eile" (hurry, or "Hie thee hither" in 1.5.25). In this homonym version, "heil" is also used as the verb "heal".

¹⁵¹ This opera is discussed in *Part V – Chapter 1* during a comparison with Chelard's opera.

Only one of the *MACBETH* operas in this sub-category was written in the English language: Frank Marshall's intralingual translation and adaptation of an opera composed by Lauro Rossi, which he presumably renamed *BIORN* (1877), of which only the libretto has been traced to this point in time. Manuscripts of some numbers from the opera still exist and are held in Italy, and demonstrate the original intention of the opera to be in the Italian language. However, the text that Marshall created is effectively an intralingual adaptation which transfers *Macbeth* to a Norwegian setting with altered character names and altered plot. As is examined in *Part IV – Chapter 5*, although Marshall's libretto contains much of the language from Shakespeare, it is nevertheless altered in many different ways. This follows creative conventions that had developed prior to Marshall applying his libretto to the opera, summarised by Branam:

It seemed reasonable to eighteenth-century adapters that they might add “art” to Shakespeare's natural genius and turn out a superior work. It was not Shakespeare's fault that he had been born in an age that was ignorant of the art of writing plays. (4)

It should be remembered that this sub-category is the final of the three identifiable during this research. It is by no means expected to be the last category with which libretti are able to be classified, whether traditional or theatrical in convention, because the scope of this research excluded other works that announce themselves as *MACBETH* operas, such as Cunningham's *OKAVANGO MACBETH*, despite there being no direct association with the structures of the source text itself. An adaptation such as this may be more likely to be ascribed the term “conceptual libretti” or the like, where the general concepts that exist in a text are transferred without any direct micro-structural relevance to the source text. However, additional sub-categories of textual usage would require an expansion of the research focus from that described in this dissertation.

Issues related to translation

Prior to the concluding remarks about the intramedial findings that follow this subsection, this subsection relates some of the issues encountered in translation of operatic libretti to the theoretical constructs introduced in *Part I – Chapter 2*. It focusses on the receptive process required for knowing and unknowing audiences and the way that surtitles affect the receptive process.

Linda Hutcheon’s concept of *knowing and unknowing audiences* and the extensions to this concept that were proposed in *Part I – Chapter 2* require the inclusion of language knowledge if operatic adaptations are to be truly incorporated into Adaptation Studies. As operatic adaptations can involve a considerable variety of languages, the way that a viewer approaches the language as a native speaker, language learner, or proficient speaker, including the relevant (inter-)cultural associations, needs to be considered. As every member of an audience will have a different mix of knowledge related to an adaptation than the people around them, the inclusion of the performance language (as well as the additional languages printed in the synopsis, libretto, and surtitles) could dramatically affect the level of understanding that is made possible. In the case of an adaptation of *Macbeth*, this could be a varied level of knowledge related to the narratives of the original play, the specific language used and its meaning, the conventions of and between the medial forms involved, and of the conventions within the media itself. These four different aspects are represented in the Venn diagram in Figure 76. Additional layers could also be added to this complex mix of receptive factors, including the physical access to the translated forms, including whether surtitles are even visible from the viewer’s position.

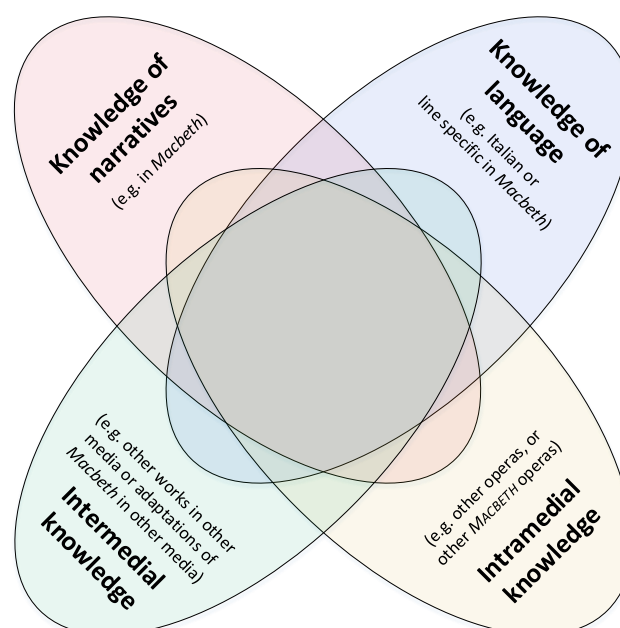


Figure 76: Venn diagram of key aspects of knowledge affecting acceptance (of *MACBETH* operas)

Foreknowledge of language(s) is also an aspect that has changed for audiences during the history of operatic development. Translations were also changed to assist performers and academics, with the conventions varying depending on the form that was published. In discussing the forms of translation made available, the following quotation also provides a hint of the fidelity debate where the musical medium is considered in the same way that source texts have been idolised in Adaptation Studies.

Norms were gradually established over four centuries of Western music publishing and four types of editions became available in classical music, driven by different use: facsimile (a printed edition meant to reproduce the first score available), urtext (*urtext* editions, as their German name suggests, favour the notion of authenticity, considering that the original intention of the composer prevails), performance editions (often affordable and intended to support amateur musicians) and critical editions (scholarly editions). (Desblache 202)

A translation of a libretto for an audience is not necessarily something that will improve a viewer's appreciation of an opera. The additional cognitive load required to assess a written language simultaneously with the language being received in auditory form may, in fact, detract from the experience. This is suggested in discussion of popular music translations by Desblache, who states that "[a] song in a foreign language is perceived differently by a listener, who will find its lyrics much more challenging to understand. Lyrics can, of course, impoverish a song which, paradoxically, may be more successful with a foreign audience" (191). If this is the case, why are surtitles viewed as being necessary for enjoyment of an opera? Chalmers also states that "it was not necessary to have a word by word understanding of the sung text to appreciate the overall experience" (Chalmers 50). He also considers this to be the result of technological advances negating the printed texts given to audiences: "When it was decided to dim the lights in the theatre this support solution was no longer a practical option, but for a long time the custom of reading the text and translation in real time survived" (50). Chalmers also infers that "sung text is not always immediately comprehensible, that composers or singers are not always capable of making it so, and even that the text has a right to be seen and read independently" (50).

While surtitles being projected simultaneously to the performance of an opera may assist people through translations of the performance language, such parallel processes are not always desired. This is mentioned in the subtitling in screen-based products: "Subtitling requires reading, watching and listening at the same time, and many viewers find that this distracts them from the enjoyment of watching a programme" (Desblache 198). If a comparison between screen-based media and opera is accurate, then it is also likely that there will be intercultural differences involved with acceptance of surtitles in opera, as there are cultures where subtitles are rare but are replaced by voice-overs, or 'dubbing', such as in Germany. In these cases, "media consumers are unaware of the process taking place, particularly in the case of interlingual adaptation. They wish for a product that is easily watchable and dubbing allows this to take place with no additional demands on the viewer" (Desblache

198). Surtitles in opera are unlikely to achieve this simplicity. Chalmers states that “[e]xperimentation in the context of surtitles, on the other hand, has suggested, again, that read translation should not draw attention to itself by self-consciously mimicking the original, with the risk of forced rhymes and arch locutions” (54).

Although the analysis of a small group of operas adapted from one play cannot form a definitive theoretical framework that encompasses all operatic forms, all adaptations, or all styles of translation, the issues that arise from the mediation into the sub-categories of libretti should be adopted. For example, several approaches and techniques undertaken with relation to mediating and translating *Macbeth* for operas are potentially useful to the development of a framework over a longer term. These approaches and components of translating include direct or approximate meaning, maintaining the line structure, maintaining or varying the rhyme patterns, and focussing on the more important narrative content to be transferred from the original play. These appear to be the key concepts that translators and librettists consider when transferring from the original Shakespearean text into operatic forms, and should therefore be amalgamated into the extensions of theoretical frameworks. The medial patterns which are observable within these operas may assist in providing an overview of the processes involved in a combined adaptation and translation once research into adaptations of other Shakespearean plays has been completed.

Damned if you do, damned if you don't: to set or not to set Shakespeare's original text

[A]dapters must satisfy the expectations and demands of both the knowing and unknowing audience. (Hutcheon *A Theory of Adaptation* 128)

Hutcheon's concept of *knowing and unknowing* was reviewed in *Part I – Chapter 2*, where extensions to the concept were proposed. One of these proposals was the splitting of knowing into foreknowledge of the source text and foreknowledge of the adaptation's medium, amongst other considerations. It is here that this extension assumes its most important scenario with regard to this research: an audience's foreknowledge of Shakespeare and their simultaneous foreknowledge of opera, as was shown above in Figure 76. As will be seen, this combination has not always been helpful in the reception or acceptance of the *MACBETH* operas, particularly by critics who have taken aim at the fallacies that they have observed in the libretto and/or in the music. The general problem of an opera's acceptance is highlighted by Corse, who states that:

[o]pera is usually considered a musical form, although the debate, present wherever operas are performed or discussed, over whether the text or the music is most important, whether music serves or is served by language, has been a problem since the inception of opera as a self-conscious entity. (11)

The ways in which librettists and composers have used the text are therefore crucial to the perceived success of each opera. Therefore, the findings that were formed from the vcr required analysis in terms of intramedial adaptation in the operatic medium. The categories of textual usage that are described in this chapter highlighted the general dilemma that composers and librettists face if adapting a Shakespearean theatrical text into the operatic medium. Although there are potentially other categories that could be evidenced during intended future research into the adaptations of other plays such as *Romeo and Juliet* and *Hamlet*, these categories will most likely occur across all operatic adaptations.

The critical debate related to all forms of media also presents a dilemma related to decisions about textual usage. Proponents of the fidelity argument heavily criticise any deviation from the original Shakespearean text. Opponents of the fidelity argument would find a lack of originality to be enough grounds for criticism, whether that be in the structural formations or interpretive setting of the text. Further to this dilemma, there are also different views related to medial settings. Audiences intent on maintaining traditional values, for example those who wish to maintain medial fidelity to a traditional operatic structure, could react against a textual setting that does not allow conventions within the medium to be utilised. Audiences that believe in medial fidelity based on, for example, theatrical delivery and structures, would be confronted with a text that challenges their knowledge, and would therefore need to absorb a new textual formation in addition to the medial differences. This is similar to the situation in film adaptations, where a discussion about Welles' film states that "there are those who find the film a disappointment in its failure to achieve theatrical stature on the one hand, or to

arrive at a filmic spatial realism on the other” (Davies 97). Acceptance of a film – or a production in any medium – must therefore involve the source text and the conventions of the target medium.

As has been described throughout the three chapters of *Part III*, the critical acceptance of a libretto and the survival of an opera both rely on a mixture of various factors, some of which were defined in the Venn diagram in Figure 76. This mixture includes the variety of historical, cultural, and legal developments discussed in this *Part*, intermedial, technological, and production-based influences, as well as compositional style, all of which affect audience reception in a variety of ways. The numerous responses recorded following the *MACBETH* operas show that composers and librettists are essentially damned if they maintain the original text as closely as possible in order to maintain textual fidelity and/or damned if they alter the text in order to maintain medial fidelity: damnations for breaking operatic conventions or theatrical conventions respectively. The only way to avoid being damned appears to be to the creation of a traditional libretto, although this has not resulted in many cases of critical acclaim. This dilemma can only change over time if audiences become more aware of the intermedial and intramedial conventions and are able to switch between them comfortably. Until then, the transference of Shakespearean theatrical texts into the operatic medium appears to be fraught with a plethora of complications that are more than likely to damn an operatic version of *Macbeth* to obscurity.

PARTS IV and V: Operatic case studies

Part IV presents seven of the operas adapted from *Macbeth*: three individual case studies and two comparative case studies. In *Part IV*, Koppel's 1968 opera in Danish is comprehensively detailed over three chapters with a focus on the necessity for collaboration in the successful staging of an opera. Bibalo's 1989 opera, composed using Shakespeare's original text, is discussed with relation to the suitable pairing of avant-garde visual and auditory operatic aesthetics in *Chapter 4*. The final chapter of *Part IV* documents the opera by Rossi and Marshall. This opera involved a libretto in English derived from *Macbeth* but transformed to operatic forms, and is analysed with regards to the narrative changes that were made as well as the mystery surrounding intellectual ownership of these changes that the actual order of the creative process appears to have taken.

In *Part V*, pairs of operas are situated within and against their respective historical periods and their musical and cultural environments. Two of the earliest *MACBETH* operas by Chelard and Taubert are compared, in this case both German language operas from the nineteenth century. Two other operas presented in *Part V* are from the 1920s, both by Englishmen, Gatty and Collingwood, who were connected through the Royal College of Music and the Old Vic theatre in London.

PART IV: Individual case studies of *MACBETH* operas

Part IV consists of three case studies. The first, which is a comprehensive analysis and discussion of Herman D. Koppel's Danish opera *MACBETH*, is the principal study in this thesis. This is in part due to the willingness of Koppel family members to participate and assist in the research of this monumental work as well as the permission that has been granted for the use of both notated musical examples and the use of the recording of the premiere from 1970, all of which permits deeper discussion and analysis of the work and its relationship to cultural, literary, and musical aspects, which in turn relate to adaptation theory. The second case study, which is considerably less detailed due to the scope of the research and the minimal historical background information available, relates to the 1989 opera *MACBETH* by Antonio Bibalo. A full score of Bibalo's opera was also provided for research purposes and the television version was available on the internet, once again permitting a 'piecing together' of the opera and a subsequent analysis of the work. Although these two operas were composed approximately twenty years apart, Koppel's opera maintained traditional orchestration, whereas Bibalo's work displays the increasing influence of technology on the orchestration, including the use of tape recorded sounds. The final individual case study, *BIORN*, is Marshall and Rossi's adaptation of *Macbeth*, and is the only English language opera in the traditional operatic forms that were discussed in *Part III*. The focus of research for *BIORN* is on the libretto created by Marshall as well as an attempt to define the process of creation that must have occurred. These three case studies will also be placed in context of some of the comparative studies in *Part V*, where some of the other *MACBETH* operas are discussed in various combinations.

*It should be noted that the analyses in the following parts attempt to make the material understandable for readers with and without musical knowledge. Excerpts are presented in notated form for musicologists but are described in normal English for non-musicians where this is possible. Where this is not possible, footnotes are provided to give definitions in plain English. All of the excerpts from Koppel's *MACBETH* are available in the digital appendices attached to this dissertation.*

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Edition-S, Worsaaesvej 19, 5. sal. 1972 Frederiksberg C, Denmark
www.edition-s.dk

Part IV – Chapter 1: Case Study 1 – Herman D. Koppel’s *MACBETH*, op. 79

[I]n his soul, my father wanted to write a more conventional opera, but couldn’t do it because of Shakespeare. (Koppel, A., App. F, Part 2, 21)

In 1970, eight performances of Herman D. Koppel’s opera *MACBETH* were given in Copenhagen (Behrendt 110). The opera was heavily criticised on visual aesthetic grounds, but received mostly positive reviews related to the music. Created soon after the interpretations in Jan Kott’s *Shakespeare Our Contemporary* (1964), the historical timing of the opera position it in a time when there was a significant shift in critical thinking about Shakespeare: it was completed in the same year as Marowitz’s *A MACBETH* (1968) and premiered a year before Polanski’s *MACBETH* in 1971. This therefore permits intermedial comparison, particularly against the settings of Polanski’s film and Marowitz’s stage play, both of which presented intermedial interpretations of *Macbeth* based upon the same intellectual re-directions of Kott’s work. That a change in intellectual direction occurred – particularly related to plays with themes such as those in *Macbeth* – is hardly surprising considering “the climate of political conformity and persecution which pervaded the post-war years” (Wax 2-3). In addition to Kott’s academic source, Koppel drew from Max Reinhardt’s practical experience as a stage director through his *Regiebuch zu Macbeth*,¹⁵² published in 1966 from a production in the early part of the twentieth century, from which psychological and dramatic directions were incorporated into the opera.

The process of adapting *Macbeth* into the opera involved numerous key personnel from varied cultural and linguistic backgrounds: the Koppel family with a Polish-Jewish cultural background and exceptionally good knowledge of the German, Danish, and English languages; Oscar Fritz Schuh [stage director] from Germany and Austria; Janos Kulka [conductor at the premiere] from Hungary, with knowledge of German; the Polish scholar Jan Kott; and the Austrian director Max Reinhardt, who indirectly contributed through his director’s notes on *Macbeth*.

Koppel’s opera involves inter-generational and cross-generational situations and experiences between the key contributors that highlight many coincidental links between them. Max Reinhardt (Funke), Herman D. Koppel and Lone Koppel fled the Nazis (Anderson; Behrendt; Koppel "Email 1"), Jan Kott surviving the Nazis in Warsaw and by fleeing “from one country to another to escape the Wehrmacht death squads” (Marowitz *Roar of the Canon* vii) and subsequently receiving “political asylum” from the Soviet Bloc in the United States in 1969 (Kustow); and Janos Kulka fled Hungary following the failed uprising in 1957 (Kubadinow). Reinhardt and Oscar Fritz Schuh were both directors at the Salzburg Festival: Reinhardt since its inception until his exile in the mid-1930s, and Schuh following directly after the Second World War. All except Reinhardt, who had died during the Second World War, were

¹⁵² Director’s notes on *Macbeth*.

affected by the Cold War and the changes that the 1960s were to bring about. Neither Reinhardt nor Kott would ever know of the role that their practical and intellectual work would play in the opera's creation.

Historical timing

An adaptation, like the work it adapts, is always framed in a context – a time and place, a society and a culture; it does not exist in a vacuum. Fashions, not to mention value systems, are context-dependent. Many adapters deal with this reality of reception by updating the time of the story in an attempt to find contemporary resonance for their audiences. (Hutcheon *A Theory of Adaptation* 142)

The 1960s was a decade of political turmoil which resulted in rapid changes to social norms throughout the Western world, as evidenced by chronicles of newspaper and magazine clippings from the period (e.g. Carr et al.; Heffer and Ward) which influenced the expectations of the operatic medium. Popular music of the period included The Beatles, Elvis Presley, and Aretha Franklin, and musicals such as *The Sound of Music* and Bernstein's *West Side Story* became major hits. New operas needed to compete not only against this increase in the commercialism of popular music, but also the increase of availability of cinematic films and colour television. Additionally, major changes in the fashion world, all of which were creating a transformation related to the perception and expectation of visual aesthetics was another aspect that created a struggle between traditional and modern expectations. Before the opera had even been thought of, the space race was well underway, the Civil Rights movement was taking hold around the English-speaking world, the Berlin Wall had been established, and China had begun its Cultural Revolution. In the years leading up to the opera's conception, internationally-important events such as the 1962 Cuban Missile Crisis and John F. Kennedy's assassination in 1963 had occurred. Martin Luther King's famous "I Have a Dream" speech was made only three years before Koppel first penned any of the opera. Koppel composed the opera during the Vietnam War and would most likely have been aware of the massive protests against the war, especially considering that the rise of the anti-war movement in Scandinavia probably led to the same in Western countries (Godbolt et al. 395-396). *MACBETH* was begun one year after Malcolm X was assassinated, and was being composed when Robert Kennedy and Martin Luther King were also assassinated. During composition, the Yom Kippur War between Israel and its neighbouring countries occurred, Winston Churchill, Konrad Adenauer, and Che Guevara died, and Richard Nixon became the US President.

Combined with political changes from the previous decade that had long-term effects such as McCarthyism (Schrecker x), it is easy to understand how other ways of relating Shakespeare to these rapid changes and pivotal events of the times would result. The link between scholarly thought and

practical application in adaptation at this turning point in Shakespeare criticism appears not to have been well documented. As Thomas asks: “why has such little sustained critical attention been paid to exploring the similarities and affinities between Shakespeare’s world and that of the Cold War?” (10). Marowitz states that “[i]n New York City, in the mid-Fifties, the spirit of Senator Joe McCarthy lay heavy on the land” (*Burnt Bridges* 1). In such a change to the way of relating theatrical works of the past to the present situation at that time, it is no wonder that “the old way of producing or filming Shakespeare seemed tame and parochial” (Thomas).

It is unlikely that Koppel was completely unaware of the Cold War realities for people living in the USSR. Behrendt (103-105) describes a period in October 1955 when Koppel had been part of a Danish delegation that travelled through parts of the Soviet Union. Whether this had an impact on Koppel is not mentioned, as not many details are provided. However, it is possible that Koppel was at least able to understand the conditions that existed under the Soviet regime at the time, which was still experiencing the thaw of Stalinism.

In Koppel’s biography, the opera is described as being related to a “ticking bomb” (Behrendt 108), referring to a metronomic ticking which was able to be heard over a telephone line – a ticking that would go silent the moment that a nuclear bomb was detonated during testing on the other side of the world: a silent signal that listeners immediately knew related to a moment of devastation occurring on the other side of the world. How this was intended to be incorporated is not documented and it is unclear from the score, the recording, and interviews what precisely Koppel meant by this, if indeed this concept was part of the final adaptation. Behrendt mentions only that the director, Oscar Fritz Schuh, “had no interest in including the atomic bomb-countdown” (Behrendt 109)¹⁵³. However, the cultural significance, and indeed the psychological impact of the terror and fear of the Cold War era juxtaposed against the terror and fear portrayed in *Macbeth* provides an example of how the intellectual developments of academics such as Kott were applied into practical settings of Shakespeare in modern adaptations, providing an important consideration for adaptation studies, that of the relationship between academic discourse and produced adaptations. The countdown to a moment within the opera was probably intended to be similar to that of the RSC performance from 2018 (Findlay) in which Macbeth’s death is signalled throughout the play by a digital clock which counts down to the moment it eventuates.

¹⁵³ “...idéen om a-bombe-nedtællingen bryder han sig slet ikke om.”

Background to the Danish *MACBETH*

Whether an adapted story is told, shown, or interacted with, it always happens in a particular time and space in a society. [...] Nations and media are not the only relevant contexts to be considered. Time, often very short stretches of it, can change the context even within the same place and culture. (Hutcheon *A Theory of Adaptation* 144)

[I]deas do not exist in a vacuum; they must be understood in the context of the cultures from which they arise. (Wax 1-2)

Both of the above quotes highlight one of the focal areas of the principal case study in this dissertation, the historical timing of the adaptation process. As will be discussed, in addition to intellectual and musical abilities and the importance of a family collaboration, this timing formed the foundations for a monumental adaptation which breaks from previous operatic versions of *Macbeth*, both musically and conceptually.

The Danish composer Herman D. Koppel (1908-1998) was multi-lingual, and had begun to learn piano at an early age, despite his parents not being musically trained (Anderson). He was educated at a German school in Copenhagen and had a Polish-Jewish heritage (Koppel, A., App. F, Part 2, 19). He subsequently entered the Conservatorium of Music in Copenhagen, where he had earlier been rejected not because of his abilities but because of his young age (Anderson). In 1943, following advice about the dangers that his family faced, the Koppels fled to Sweden in order to escape persecution from the Nazis (Anderson). After returning to Denmark in June 1945 after almost two years (Koppel "Email 1"), Koppel returned to musical life in Copenhagen. It would be another twenty years before Koppel would begin the opera. This was a period that had seen the end of Second World War and the increasing impacts of the Cold War, and a period in which tyranny of the worst proportions had been at the forefront of historical and cultural developments and intellectual thinking, as will be discussed related to Shakespeare scholars such as Jan Kott.

Koppel's operatic adaptation of *Macbeth* demonstrates numerous critical aspects of adaptation processes, and further highlights the importance of intermedial awareness for all of the people involved in the overall product creation process for an operatic adaptation. The collaboration of family members in this adaptation was critical to its development. There are two separate collaborations formed through family relations which are worthy of consideration: the first, the Koppels, a positive example of close-knit familial connections; the second, the Schuhs, an example that evokes the negative connotations often associated with nepotism in modern eras.

The Koppel family is an incredible example of a group of people that are not only connected through birth, but, more importantly, through musical abilities and intellectual thinking. The family were to become the most prominent musical family in Danish history, with generations of musicians playing prominent roles in the musical development of Danish culture. Herman D. Koppel was one of

Denmark's key composers, an incredible pianist, and a professor of piano. His four children also demonstrated incredible musical abilities over long careers: Therese was a pianist; Lone became a leading international operatic soprano; Thomas was an award-winning symphonic composer and pianist who had had an opera of his own performed directly prior to the conception of *MACBETH* (Koppel "Email 1"); Anders a composer, novelist, and performer. The family has succeeded as performers and composers in classical and popular spheres over numerous decades. The creation of the opera directly involved three of the Koppels focussing their individual strengths across the areas of creation and performance that Herman D. Koppel could not do with his skills alone. The creation of the libretto by Anders Koppel and Herman D. Koppel, the composition of the music by Herman D. Koppel, the critical role of Lady Macbeth performed by Lone Koppel, as well as the artistic director of the Royal Theatre in Copenhagen, John Winther, who would become the composer's son-in-law between completion of the opera and the premiere, were all aspects that drew on the individual abilities and experience of the family members and ensured that the opera made it to the stage. Considering the difficulties that previous *MACBETH* operas had had in attaining performances, it could easily be assumed that without this family-based collaboration, it is unlikely that the opera would ever have been performed, despite the reputation of Herman D. Koppel.

The second collaboration that is noteworthy is the German connection for the staging of the opera. The director, Oscar Fritz Schuh, and his wife, Ursula Schuh, who he allocated as set designer, almost brought a premature end to the opera before its premiere through their own destructive collaboration (Behrendt 109). This collaboration was even more unfortunate in that Schuh had only been the second choice as director.

It was originally John Winther's idea to use Josef Svoboda, the world-famous Czech scenographer, to stage *MACBETH* with his compatriot Vaclav Kaslik as director, but it did not fit into their schedules. (Behrendt 110)¹⁵⁴

The drama that surrounded the Schuhs, as will be discussed later, followed them from Cologne and Hamburg, where Oscar Fritz Schuh had created explosive situations that resulted in his early departure from his roles as artistic director. His departure from Hamburg occurred directly before he first worked at the Royal Theatre in Copenhagen in 1968. Not surprisingly, after a decade of artistic and personal confrontations, Schuh's performance as director during Koppel's opera was heavily criticised. The "Viennese Mozart Style" (Boisits)¹⁵⁵, which Schuh helped develop in Austria during Second World War along with prominent conductors such as Karl Böhm was applied to Koppel's opera. The reliance – and indeed insistence – on this style as the basis for staging in every production no matter whether it suited or not was presumably the catalyst for the artistic differences that led to the confrontations. It was

¹⁵⁴ „Det er oprindeligt John Winthers idé at den verdensberømte tjekkiske scenograf Josef Svoboda skal sætte Macbeth op med sin landsmand Vaclav Kaslik som instruktør, men det kan ikke passes ind i deres terminer.”

¹⁵⁵ „Wiener Mozart-Stil“.

this new style that was successful in traditional Mozart operas that was employed with inappropriate, disastrous effect in Koppel's *MACBETH*.

Despite the unsympathetic forces that the Schuhs presented on stage, Koppel's opera is arguably one of the most important operatic scores in Danish history. That *MACBETH* could be "buried" [Koppel, L., App. F, Part 1, 6] even by the composer's closest family members, who were involved in its conception, adaptation/composition, and production to varying extents, highlights the critical and perilous state that new operatic scores face. The "disaster" [Koppel, A., App. F, Part 2, 18] of Koppel's *MACBETH* is presented as the reason for the exclusion of new operas at the Royal Theatre for the following thirty years (Torres; Asker, B., App. F, Part 1, 18). However, this anecdotal evidence fails to take into account the changing economic, organisational, and collaborative situations that existed in that period. It also fails to consider the willingness of other – presumably – Danish composers in that period to focus heavily on the creation of an opera over a large period of time to the exclusion of smaller, more commercially viable works.

As will be discussed in the remaining sections of this case study, a considerable number of cultural and musical aspects of the era can now be viewed in a different light, as retrospect and hindsight provide the opportunity to analyse the opera in terms of both the twentieth century and the twenty-first century. As will become clear through the remaining case studies and comparative case studies, the changes in audience expectations in combination with the change in the techniques and technology involved with musical composition which occurred after Koppel completed the work separate it from other *MACBETH* operas. Koppel's *MACBETH* is an especially striking example of music that encompasses so many of the elements of the period in which it was written: historical retrospect (Macbeth, Hitler, Stalin) juxtaposed against historical perspective (the Cold War, Jan Kott); intercultural collaboration; traditional media competing against the influence of new media.

The four phases in Koppel's *MACBETH*

Information, during and especially after the war, on what was actually happening in the concentration camps was for Koppel – as for a whole European generation – a shock. All at once a stake was driven through their faith in humanist progress and human justice. How was one to cope with this? The composer had found a mission: to try to give voice to the incomprehensible in music, and to the unspeakable in words. (Torres)

In this statement, Torres shows not only that Herman D. Koppel was motivated to create musical works, but also what one of the driving forces behind this motivation was. His output could only be described as prolific, particularly considering his years in exile and the amount of time that his other roles as pianist and professor would have taken from his compositional life. It is perhaps no surprise, then, that a story such as *Macbeth* would be treated with such care, represented with a range of treatments from delicate to venom as the scenes required, and interpreted in the mindset that was post-Nazism, Cold War Europe. The driving force must have held Koppel in its grips for two years, for the creative processes required to formulate such a monumental work such as his opera are not only extremely challenging, but also intensely complicated. Torres's description above regarding the motivation that Koppel had corresponds to other Jewish exiles in Sweden. Kvalbein (2014) reviews a book by Henrik Rosengren (2013) in which five Jewish musicians' work is analysed, summarising his observations about:

how political ideology more than Jewish identity seems to become crucial for the professional trajectories of the exulants. It is particularly interesting to see how their musical preferences are linked to political ideologies of a more or less totalitarian character. (533)

In the same way that this would be extremely difficult to relate generally to Koppel, whose output of songs that are not related to totalitarianism would exclude him from this comment, it would be similarly plausible to link this statement to his output with regards to *MACBETH*, particularly given his connection to Kott's interpretation of the play, which will be discussed at great length in this section. Similarly, if the characterisation of the tyrant in *MACBETH* that Koppel created were to be compared to Schmidgall's statement that:

Modern dramatists tend to look through the wrong end of the telescope: they see man smaller than he is. Operatic composers and their librettists, on the other hand, have always tended to look through the end of the telescope which enlarges (*Lit. As Opera* 362),

it would be difficult to agree that this had occurred in the creation of *MACBETH*. The creation of the operatic character through the use of theatrical input results in a *Macbeth* role that is not remotely glorified, nor made more powerful than any theatrical version.

This section will detail the different phases of the adaptation, focussing particularly on the phases of *adaptation/composition* and *production* because of the availability of information related to these phases. These phases include processes that involve the strong role of family connections, the importance of the cooperative role of organisations in order to allow such a large adaptation process

to occur, the different requirements of medial conventions and the methods that can link them, the expectations that differing media have created over time, intercultural differences and the requirement to attain cultural knowledge, and, finally, the devastating effects that, with relation to most of these aspects, an ill-informed, single-minded and unprepared director can have on the aesthetic presentation of the adaptation once it had reached public life.

As documented in Figure 77 on the following page, Koppel's opera demonstrates the four general phases of product creation: *conception*, *adaptation/composition*, *production*, and *reception*. In each of these four phases, critical decisions and actions were made that have taken the opera to where it is at the time of this research. Although there are discrepancies in the way the people involved remember the events from fifty years earlier, there are clearly some aspects that all remember. The four phases of the adaptation naturally overlap at various times, particularly with the organisational aspects of the production beginning before the opera was completed. Analysing what happened with the benefit of hindsight obviously makes it easier to identify where problems related to the processes were. However, the creation of such an incredibly large-scale work and then the production of the work itself required a large number of processes that were affected by personal, cultural, and professional inputs from the numerous people involved throughout various stages.

The process flow for the *adaptation/composition* phase highlights the input provided by Anders Koppel with the inclusion not only of the abridgement of Østerberg's translation, but also Max Reinhardt's *Regiebuch zu Macbeth* and at some point in the first two phases the use of Kott's *Shakespeare Our Contemporary*. The bottom half of the process flow chart in Figure 77 provides a visualisation for the *production* and *reception* phases that includes the influences and events that occurred from the start of production through to the eventual donation of the operatic scores to the Royal Danish Library under the control of Edition-S, the organisation that oversees the copyright licencing for and access to the music of Danish composers.

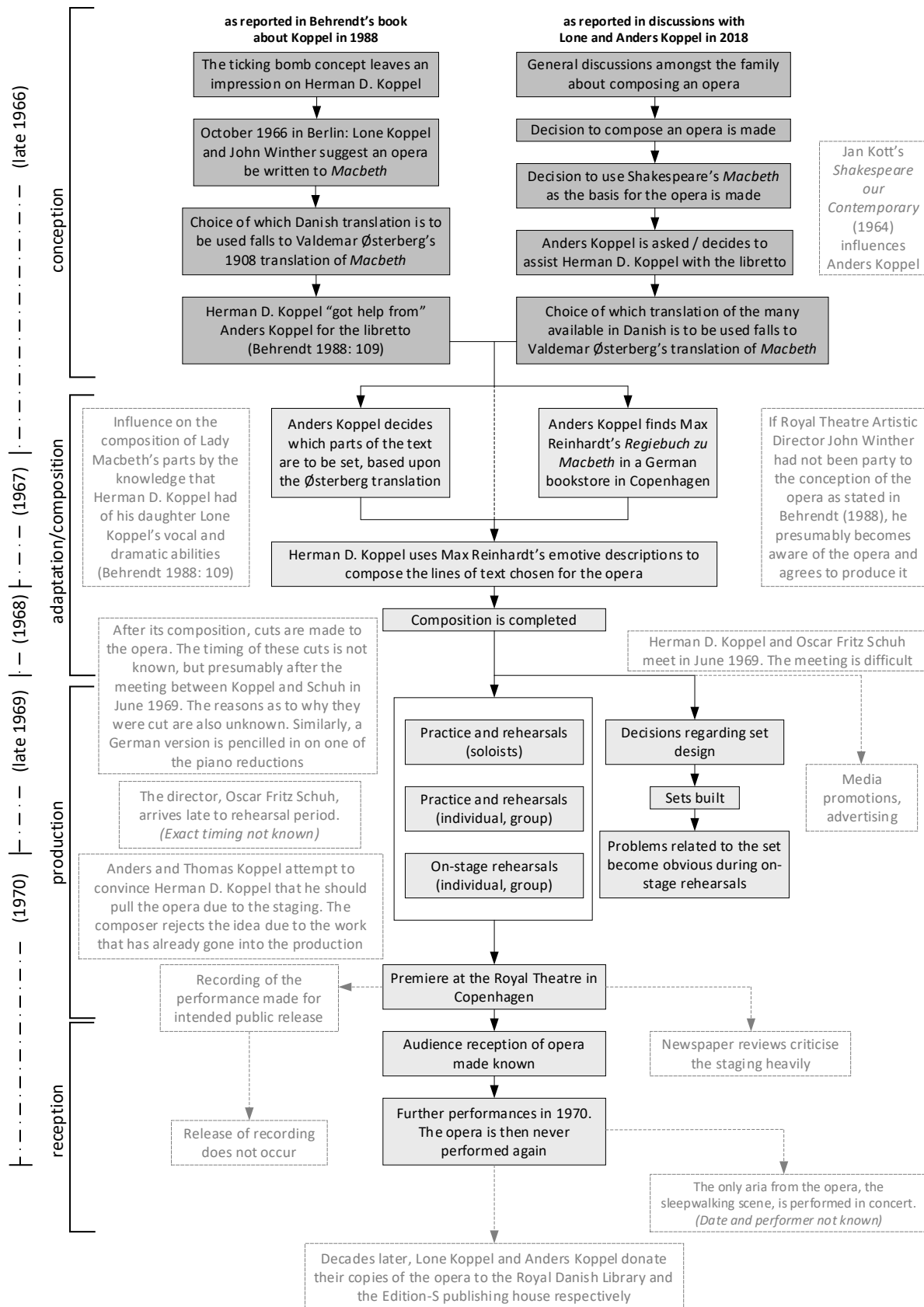


Figure 77: The process phases for Koppel (1968)

Conception

Recollections of how the conception of the opera occurred involve discrepancies between the accounts in written form and interview responses from family members. This is hardly surprising, considering that one of the previous researchers, Flemming Behrendt, published his research twenty years later and fifty years have passed between the creation of *MACBETH* and the interviews with two of the Koppels – the librettist and the production’s Lady Macbeth – that were held in 2018. Nevertheless, there are two threads that appear to be possible based on the available information.

As can be seen in Figure 77 on the previous page, there is a split in the first phase due to the difference in accounts of the *conception* of the work. On the left is a process flow related to the account given in Behrendt’s book about Koppel’s life and work, in which the idea of the ticking bomb led through to the overall concept once Lone Koppel and John Winther suggested *Macbeth*. On the right hand side, the accounts given approximately fifty years later during separate interviews demonstrate the involvement of the composer’s children in the process, including the use of academic thought as part of the concept. Either way, the concept of creating a *MACBETH* opera resulted, with both accounts mentioning the use of other sources to assist in the process.

The choice of libretto appears to have been one of the most important aspects in this phase. Although not mentioned as an option, the choice of a Danish translation not only limited the location of potential audiences, but also the ease in which personnel involved in the production were able to operate during rehearsals. The former issue was recognised by Koppel himself, who at some point following the composition of the opera created a version using a German translation, as will be discussed later. The latter issue will also be mentioned in more detail later during discussions about the German director, Oscar Fritz Schuh.

Adaptation/composition

State-induced paranoia and distrust were features of daily existence; and denunciation became an internalized reflex, poisoning relations between neighbors, friends, and even family members. Such was the paranoid atmosphere of Shakespeare's England. (Thomas 9)

Although the quote above is a link between life in the Soviet Bloc and England during Shakespeare's life, the Koppels would not have had this direct effect while living in Denmark during the Cold War. However, Koppel would certainly have had the deepest understanding that any person could have about tyranny considering the time he spent in exile with his family in Sweden.

The composition of *MACBETH* was achieved in a considerably short time period, particularly in consideration of the almost three-hour duration. It was composed predominantly in a through-composed music drama style in which the scenes are grouped together in unbroken sections and essentially follows the structural patterns of the theatrical play. It is more reminiscent of theatrical conventions than those of traditional operas due to the reliance on a translation of the theatrical text and not the creation of a libretto in which song structures, rhyme, repetition, and the use of ensemble groups are key factors. As shown earlier in Figure 77, the adaptation/composition phase amalgamated not only musical creation, but also the intellectual developments that had been documented by the Polish academic Jan Kott, and the Austrian-born theatre director, Max Reinhardt. The details of how these documents were used forms the basis of the following subsections, showing the link between modern Shakespearean academic thought (Kott), 'avant-garde' musical style (Koppel), and theatrical psychology from the turn of the twentieth century (Reinhardt).



Figure 78: Herman D. Koppel with his wife Vibeke on the Danish island of Læsø, 1967 during the composition of MACBETH (Photo provided by Lone Koppel from her personal collection)

Jan Kott's *Shakespeare our Contemporary* and the changing interpretations of Shakespeare

Prior to beginning work on *MACBETH*, the librettist, Anders Koppel, had been influenced by Jan Kott's 1964 book *Shakespeare our Contemporary*, which he describes as "a major book at that time, because it gave a totally new look on Shakespeare" that provided "a more brutal way to look at Shakespeare's plays" (Koppel, A., App. F, Part 2, 13). This new interpretation of Shakespeare left a deep impression that lasted over fifty years after the completion of the opera: "...that was a fantastic book, as I remember it. And I read the chapters about *Macbeth*" [Koppel, A., App. F, Part 2, 13]. Thomas (2014) states that it was released "in the same year in which Nikita Khrushchev fell from power in the Soviet Union" and that it "burst onto Western liberal consciousness like a well-timed bomb... Suddenly the old way of producing or filming Shakespeare seemed tame and parochial" (20). The juxtaposition of Kott's own experiences in facing the brutality of authoritarianism – both Hitler and Stalin – against a background of tyranny in a Shakespearean play such as *Macbeth* changed academic thinking. Marowitz quotes director Peter Brook as describing Kott's effect as being like a "pebble thrown in a pond where the ripples spread and spread, helping us to see the relativity of apparently unshakeable convictions" (*Roar of the Canon* vii). His summaries of the events of the play are clear and display no romanticism about the Shakespearean play.

He can become a king, so he must become a king. He kills the rightful sovereign. He then must kill the witnesses of the crime, and those who suspect it. He must kill the sons and friends of those he has killed. Later he must kill everybody, for everybody is against him. (Kott 89)

In Kott's case, the perspective of a 360-year old play written in the Western culture viewed from within post-war, USSR-controlled Poland, and in the Koppels' case, from the United States-aligned West. In Koppel's *MACBETH*, in which the musical style relies heavily on dissonance, Kott's views would seem to have been applied to effect. The moral dissonance of Macbeth's post-murder kingdom, the musical dissonance of Koppel's setting, and the cognitive dissonance of an audience trying to assimilate the narratives with the music would appear to be more than appropriate, if Kott's ideas are understood. Kott describes a new world around Macbeth where "nightmare paralyzes and terrifies" (89), and Koppel adds to this by providing a soundscape that often does the same. "Everyone in this play is steeped in blood; victims as well as murderers. The whole world is stained with blood" (90). For audiences to fully understand the murderous life that Macbeth has welcomed, they must be also feel that they are immersed in blood, even if that blood is a metaphor for the visual and auditory aesthetics that surround them. "A production of *Macbeth* not evoking a picture of the world flooded with blood would inevitably be false" (90). This should then also be true of the musical depiction: beautiful flowing melodies would be incredibly out of place, but frantic, unusually shaped and formed melodies would not. An audience should perhaps feel that the opera, both through the visual and auditory stimuli, is "physical and suffocating" (Kott 90-91).

Applying Kott's ideas to the concept of an operatic adaptation is also of interest because of all the operas and operatic composers to that time of history, Kott only mentions Richard Wagner and his opera *Parsifal*, and not one single operatic adaptation of a Shakespearean play. This perhaps highlights the complicated relationships required for intermedial knowledge, which in Kott's particular example focusses almost exclusively on theatrical stage plays.

Not long after Kott released his work, similar sentiments within academia appeared in 1968: "Macbeth takes the path of crime to its end. In *Macbeth* we therefore see not... a single tragic fall into guilt, but by any measure the unprecedented, almost transcending path of a noble person: a path that takes him from initial integrity through to the loss of humanity" (von Stoltzenberg 157).¹⁵⁶ These views were obviously beginning to dominate thinking at the time, and this intellectual thread was beginning to influence intermedial adaptations. The change in mind-set that Kott presents, as well as being linked to the creation of the Koppels' opera, is one that clearly affected other adaptations in the Cold War era and was influential in the creation of at least two other adaptations in this period; Marowitz's stage play adaptation *A MACBETH* (1969), and Polanski's 1971 film adaptation *MACBETH* (Polanski). Mostly due to the difference in popularity and cultural background for these adaptations from that of Koppel's opera, these two adaptations have been researched in considerable depth. Koppel's opera, despite its similar influences, has not received similar consideration. Therefore, the following subsections will consider the effect that Kott's views had upon all three adaptations, in order to demonstrate common aspects that show the change in adaptation across various media that Kott caused.

¹⁵⁶ „Macbeth geht den Weg des Verbrechens zu Ende. In *Macbeth* sehen wir also nicht... einen einmaligen tragischen Sturz in Schuld, sondern die unerhörte, alles Maß fast übersteigende Laufbahn eines nicht unedlen Menschen, die ihn von anfänglicher Integrität bis an den Verlust seiner Menschlichkeit heranzführt.“

The intermedial effects of Jan Kott's *Shakespeare our Contemporary*

Kott's powerful reassessment of Shakespeare as our twentieth-century contemporary was enormously influential on avant-garde theatre directors like Peter Brook. (Thomas 3-4)

The timing of Koppel's *MACBETH*, as mentioned in the introduction to this case study, occurred at a time when some intermedial adaptations of *Macbeth* dramatically differed from those that had previously existed. In addition to the influence on Peter Brook mentioned above, both Marowitz and Polanski released their adaptations at approximately the same time: adaptations that all encapsulated the premises of Kott's book. This suggests that Kott had an intermedial effect: Marowitz's stage play *A MACBETH* (1969), Polanski's film *MACBETH* (1971), and Koppel's opera *MACBETH* (1968) being three obvious examples of this effect. To exactly what extent Kott influenced Charles Marowitz's *A MACBETH*, which presented a completely different way of approaching the performance in a theatrical adaptation, is not clear. However, writing about discussions with Peter Brook from a production of *King Lear* which had been "attributed in large part to Jan Kott's essay 'King Lear or Endgame' in *Shakespeare, Our Contemporary*", Marowitz could not recall "direct allusions" to Kott's work (*Burnt Bridges* 83). However, 24 years later, Marowitz appears to confirm the effect that Kott's work had on Brook (*Roar of the Canon* vii). Whether this is also the case for *A MACBETH* directly is unclear. However, Marowitz's association with Peter Brook and his association with Kott lead to an assumption that an influence from Kott's writing exists, even if indirect. Furthermore, Marowitz shows the importance that Kott had on the theatre, stating that:

[I]t is hard to cite a Shakespearean critic other than Kott who has left an indelible mark on contemporary productions. Directors are always cribbing ideas from a variety of scholars and critics, but only in Kott's case is one able to trace a direct genealogical line between a critical concept and a finished production. (Marowitz *Roar of the Canon* xii)

A MACBETH is intentionally chaotic in its structure. Segments of text from various parts of the play are performed in amongst other segments of the play. Marowitz describes the collage technique which he and Brook began to develop with their adaptation of *Hamlet* as "a kind of cut-up of the work which thoroughly abandoned its progressive story line" (Marowitz "Introduction" 11) and "encouraged the actors to forego all the conventional means by which they usually achieved their effects (Marowitz "Introduction" 12). This technique would naturally be difficult to imagine as an opera. However, superimposing the witches underneath or in between the lines of performers at moments in the play could perhaps assist in developing more of an 'ensemble' style performance within an opera. This would naturally once again break from the traditional conventions of the operatic medium and would certainly break the expectations of how *Macbeth* is structured – as most likely occurred with audiences of *A MACBETH*. Nevertheless, this sudden change in the way that *A MACBETH* was structured – a way in which even the structural variations of Welles' adaptations appear to be almost 'normal', most likely came from the fresh approach that Kott provided.

The Polish director, Roman Polanski, released a film adaptation in 1971 which brought a new level of brutality to Shakespeare on screen ‘which continues to irritate audiences in its presentation of violence’ (Cartmell *Interpreting* 18). The film has been linked to Jan Kott’s writing by numerous scholars (e.g. Hardison; Mazierska; Deanne Williams). According to Mazierska, “Polanski opts for an absurdist *Macbeth* by portraying history not as a road towards a better future, but as a vicious circle of crimes and miseries” (149). She continues by stating that “such interpretation is in line with Kott’s reading of Shakespeare as ‘our contemporary’ – somebody who would not be surprised by the Holocaust or Stalinist atrocities” (152). This view is confirmed by Williams, who writes, “Like his countryman [Kott], Polanski obsessively lingers over violence, challenging the viewer to connect the violence in Shakespeare to the atrocities of twentieth-century history” (Deanne Williams 149). Two other “convergent influences” (Hardison 202) have been noted as combining with Kott’s ideas in the creation of Polanski’s *MACBETH*: “the idea that much Elizabethan theatre was, in fact, a “theatre of blood,” [and] the brutal murder of Polanski’s wife by the Charles Manson gang” (Hardison 202). The result of his work is that “Polanski shows deep distrust of institutions and people in authority” (Mazierska 128), which is understandable in the context of the period. It is also possible that Wajda, the director of a 1969 Polish television adaptation *MAKBET* (Wajda), in which Magdalena Zawadzka portrays a venomous Lady Macbeth,¹⁵⁷ was also affected by Kott, because he “influenced a large number of Polish artists... especially in Polanski’s generation” (Mazierska 215).

The timing of Kott’s work and the three intermedial examples within the context of the Cold War is not surprising, considering the mindset of the general populations of some countries at the time. On one hand, the United States was gripped by McCarthyism, and on the other hand, that of Stalinism in the USSR, though the latter grip had begun to ease since Stalin’s death in 1953. As Thomas describes: “On both sides of the Cold War divide, political polarization was forcing a crude and coercive wedge between obedient citizens and treacherous spies, insiders and outsiders, “us” and “them”” (8). A direct link to the twentieth-century political atmosphere involving informants and Polanski’s direction is highlighted by the change that he makes to the role of Ross within *MACBETH* by Cartmell:

Polanski manipulates the text to suggest that Macbeth is not alone in his facility for violence and ambition. The figure of Ross, who after reassuring Lady Macduff, signals the murderers to enter the castle, changes sides after Macbeth fails to give him preferment; he then hypocritically delivers the news of the massacre to Macduff, and becomes, in this adaptation of *Macbeth*, a sort of Everyman. After Macbeth is killed, it is Ross who picks up the crown and offers it to Malcolm, thereby contaminating the future kingship. (*Interpreting* 18)

¹⁵⁷ In addition to the spitting in the violent projection of the text, Wajda focusses on Lady Macbeth’s eyes at key moments. One particular moment, while Macbeth is kissing her passionately after she seduces him into the murder of Duncan, she stares to the ceiling, completely indifferent to the passion that Macbeth is displaying, yet totally committed to using her sexuality to convince him of the deed.

As with the distance of time that will be discussed with relation to Koppel's *MACBETH* later in *Part IV – Chapter 3*, modern audiences are less likely to be affected by the visualization of violence as was the case for audiences in the 1970s. As Cartmell mentions, “[t]he violence in the film today seems crude – it is difficult not to laugh at the decapitation of Macbeth, as a sophisticated audience is incapable of seeing it as ‘realistic’ in any way” (*Interpreting* 19). However, the Cold War era had an effect on future adaptations of *Macbeth*, even if only by linking them to Lenin, as suggested by Thomas with regard to Rupert Goold's adaptation with Patrick Stewart, although the juxtaposition of a ‘Lenin’ over Macbeth failed to recognise the difference between the cold-bloodedness of Lenin and Shakespeare's character who is “riddled with doubts and remorse” (5-6).

Koppel's opera, partly because of the staging that is discussed later, relies on the musical substance to create the violence. The almost endless dissonance maintains Kott's “bad dream” (97) and ensures that “[w]e cannot accept ourselves, for to accept oneself would mean accepting nightmare for reality, to admit that there is nothing but nightmare, that night is not followed by day” (Kott 97). This intentional failure to resolve the dissonance and thereby intentionally hold a musical grip on the audience ensures that the violence of the story is constantly in the foreground. In doing so, parallels with ‘contemporary’ life would be difficult to ignore, particularly with an audience that is living through such a politically turbulent period of history. In a comparison of Elizabethan England with the Cold War period, Thomas summarises it as “a poisonous atmosphere of distrust and paranoia that was orchestrated from above with the willing participation of many from below” (8) – an atmosphere that had not gone unnoticed by Koppel.

These three examples highlight the almost immediate impact that Kott's work had on intermedial adaptation and that his ideas were malleable across different medial forms. That the three adaptations were completed and released within a few years of each other demonstrates the impact that academic thought can have on practical applications.

The slight inconsistency of terminology: operatic hero or murderer?

He has chosen between Macbeth, who is afraid to kill, and Macbeth, who has killed. But Macbeth, who has killed, is a new Macbeth. He not only knows that one can kill, but that one must kill. (Kott 91)

There is a clear distinction that is missed in – at least the English and German translations – of the above quote from *Shakespeare our Contemporary*: the distinction between killing and murdering. This distinction is important when the missing operatic scenes that provide accounts of Macbeth's heroic traits are taken into account. In Act 1, Scene 2, it is clear that Macbeth has killed. However, this killing is in defence of his land, in defence of Duncan's kingdom. It is a morally acceptable killing.

There can be no doubt that Macbeth is initially a splendid personality. His conduct in war is spectacular. He is "brave Macbeth", "Bellona's bridegroom". He is impervious to fear when merely natural foes confront him. For him there is no terror. (Bernad 49-50)

From the moment of Duncan's murder, however, it is no longer simply 'killing', certainly not from a morally justifiable standpoint. This distinction also disappears in most of the operas and was discussed in the intermedial observations in *Part II – Chapter 2*. The reduction of the number of scenes through the omission of Act 1, Scene 2 results in a Macbeth that is portrayed as only the "new Macbeth", without the heroism of the 'original' Macbeth. This is potentially part of the issue related to the ambiguous vocal pitch relationship of the baritone instead of the traditional heroic tenor, as was also described in more detail in *Part II – Chapter 2*. If an audience is not made aware of Macbeth's heroic qualities in a tale highlighting killing in order to save Duncan's kingdom, do they only recognise him as a murderer? In this case, the killer as hero is gone: only the murderer as prophesized king and king remains. Similarly, does the adapter, who is likely to know the heroic tale provided in Scene 1.2, set his ambiguous baritone voice because they are uncertain whether to present Macbeth as a heroic tenor or an evil bass? Could a composer ever set Macbeth as a heroic tenor if they are aware of the perpetration of murder that occurs in *Macbeth*? As Bernad states:

it is a principle both of moralists and of detective writers that the first crime is the hardest, and that one crime leads to another with progressive ease. The murderer, having done violence to all that he holds sacred, finds it less violent to repeat the deed. He becomes used to the idea of murder and when occasion offers will resort to it again. [...] So it is with Macbeth. (53)

The omission of Scene 1.2 from most of the operas suggests that there are effects upon both *knowing and unknowing audiences* with relation to 'killing', no matter which form it is. What all three adaptations mentioned in the previous subsection impress upon an audience, however, is practical applications of Kott's summary that "[h]istory has been reduced to its simplest form, to one image and one division: those who kill and those who are killed" (91).

Max Reinhardt's *Regiebuch zu Macbeth* and intermedial connections

Max Reinhardt was an incredibly well-respected and well-known Austrian stage director around the beginning of the twentieth-century. He directed the inaugural Salzburg Festival in 1920 and continued to do so until 1937 (Kaut 45-96). It was then that he emigrated to the United States to escape the rise of National Socialism (Funke 80-81). He lived an all but unknown life in exile until his death following a stroke in 1943 (Funke 8, 102, 104, & 107). Reinhardt, despite never having studied at university, received numerous honorary doctorates in the 1930s, including from the University of Kiel and Oxford University (Funke 53).

Although Reinhardt never met any of the other figures that worked together to bring Koppel's *MACBETH* to the stage, his extensive notes from his production of *Macbeth* in the early twentieth-century were to become one of the key resources that Koppel would use during the creation of the opera. It was these director's notes in Reinhardt's *Regiebuch zu Macbeth* that the librettist, Anders Koppel, discovered in a bookshop in Copenhagen. He became aware of the suggestions about the psychology of individual lines within the text which the director had used to perform theatrical productions of *Macbeth*. Reinhardt's suggestions would eventually form the basis for the intensity of accompaniment within Herman D. Koppel's operatic score (Koppel, A., App. F, Part 2, 14). "This was a very big director talking directly to my father while [he was] composing it... the way my father sort of formed or phrased the lines..." (Koppel, A., App. F, Part 2, 14). Reinhardt's notes connect the translated text with a list of descriptive terms and phrases located on the same page. Referring to Act 1, Scene 3, Anders Koppel explains how Reinhardt's book works, firstly about the line of text shown on the left of the page, and secondly, the descriptive terms listed on the right:

So, [line] twenty: 'Ich geb 'nen Wind hinternach.' Twenty: 'gemein lachend'. (App. F, Part 2: 95-96)¹⁵⁸

That Reinhardt's psychological directions were noticed and used by the Koppels should be no surprise, because "in Shakespeare, he projected his view of humanity and of life as it is expected of people"¹⁵⁹ (Funke 33). Funke also describes Reinhardt's qualities further:

Reinhardt took notice of current events, reworked them, and acknowledged them in his application for the theatre without direct effect. No matter how much hardship and death, destruction and cruelty lay on the path before him, through his artistry, he tried desperately to give people a chance.¹⁶⁰ (69)

¹⁵⁸ "So, [line] twenty: 'I'll give you a wind.' Twenty: 'spitefully, laughingly'."

¹⁵⁹ "Reinhardt projizierte in Shakespeare seine Sicht des Menschen und des Lebens, das dem Menschen aufgetragen ist."

¹⁶⁰ "Reinhardt nahm die Zeitereignisse sehr wohl zur Kenntnis, verarbeitete sie aber anders, räumte ihnen in seinem Einsatz für das Theater keine direkte Wirkung ein. So viel Not und Tod, Zerstörung und Grausamkeit auch auf dem Wege lagen, so sehr versuchte er, mit seiner Kunst dem Menschen eine Chance zu geben."

The use of the breakdown of the lines into psychological segments has two aspects: musical and visual. Koppel's attempts to place Reinhardt's suggestions musically would only work if all of the aspects of the staging would permit actions that matched the intended musical delivery. As will be discussed later, the implementation of the set design all but prevented movement around the stage, which would have destroyed any harmonious combination of the music with the visual aspects, thereby voiding the suggestions for delivery made by Reinhardt. This highlights a direct intermedial link between the conventions and expectations of live stage plays and those of opera and the destructive events that can transpire. Because of *MACBETH* then being performed with the interpretative ideas of a different theatrical director, potential intramedial problems could occur, as the expectations of one theatre director may not align with those of another, particularly one who works in a different period of history, with different technological advances, or has different theatrical experiences. As will be discussed later in detail, the failure of the director, Oscar Fritz Schuh, to convert from traditional theatrical productions to the concepts intended by Koppel appears to have been part of the problem with the performances at the Royal Theatre in 1970.

In addition to the clash between musical intentions and the staging as it occurred, audience expectations encapsulated in the concept of *knowing and unknowing audiences* (Hutcheon *A Theory of Adaptation*) also played a role in the level of acceptance that the opera achieved. In one of the rare criticisms of the music itself, one reviewer stated that, relating the final sections of *Macbeth* and Koppel's *MACBETH*:

Finally, when evil has been punished, and a brighter and better era ushered in, the new king's coronation process will be celebrated: Koppel should have allowed quite different, more festive and harmonious fanfare-like tones to blare in order to contrast the darkly-coloured, creepily-dissonant sounds used to this point. Yet they never come. Here the opera is missing an important contrast for musical and dramatic redemption. (Wellejus)¹⁶¹

This ideal is indeed also encapsulated in Reinhardt's setting of Malcolm's final speech, where he defines Malcolm's lines with descriptions such as "in a raised voice", "strongly", "heartily", and "with large gestures". However, in 1970, with the background of the Cold War, Koppel's intended concept of the ticking bomb, and the changes that Jan Kott's writing about Shakespearean texts had begun to create, this joy at the end would seem somewhat out of place. Moreover, the clash between what Koppel had intended and what Schuh had delivered would have been made more obvious because of the music that had been set.

¹⁶¹ "Til sidst, hvor de onde har fået deres straf, og lysere og bedre tider indvarsles, og den nye konges kroningsfærd skal fejres, burde Koppel have ladet ganske andre, festligere og harmoniske fanfare-agtige toner klinge som kontrast til de mørktfarvede uhygges-svangre dissonante klange hidtil, men de kommer aldrig. Operaen mangler her en vigtig kontrast som musikalsk og dramatisk forløsning."

The review also displays either an intermedial or intramedial ‘knowingness’ through their expectation of how the opera *should* have concluded. If the reviewer was referring to the standard hearty theatrical ending, then intermedial knowledge is being applied from one medium to another. If the writer was transferring their knowledge of the ending to Verdi’s *MACBETH*, then an intramedial influence created the expectation of “celebration”. What the reviewer could not have known, was that the majority of Malcolm’s speech had been cut from the opera in the lead up to the performance, adding yet another twist in the narrative between creation and audience reception.

Additional meaning for the adaptation/composition phase?

The treatment of Shakespeare’s text with the conceptual work of Kott and the psychological complements taken from Reinhardt’s work allowed Koppel to create an opera that, despite a considerably different musical style, is similar to Corse’s description of Verdi, who “committed to the romantic notion of music as more intimate or more psychologically revealing than language, attempted to translate the intricate social structures of Shakespeare’s plays into the more personal drama of his opera through his control of musical devices” (69). The collaboration and the process within Koppel’s opera suggests that there is a delay between the changes in theoretical knowledge to the change of expectations that audiences undergo. If critical thinking develops and the way that, in this case, the performance and interpretation of Shakespearean plays change within theoretical frameworks, it could be that the expectations of intellectuals change before those of an audience unfamiliar with these new theories. Figure 79 presents a summarised flow chart of the way in which the academic output, shown in the left-hand box, can influence practical application of adaptations, with examples of the components from the processes in creating Koppel’s *MACBETH*. Somewhere in the creative process, particularly highlighted by this case, intellectual developments directly influenced the output of the librettist and that of the composer, as mentioned in the second box. Anders Koppel’s discussion of the effect that Jan Kott had upon his understanding of Shakespeare further suggests that this change can occur rapidly, as Kott’s work had only been completed a few years before the composition of the opera began.

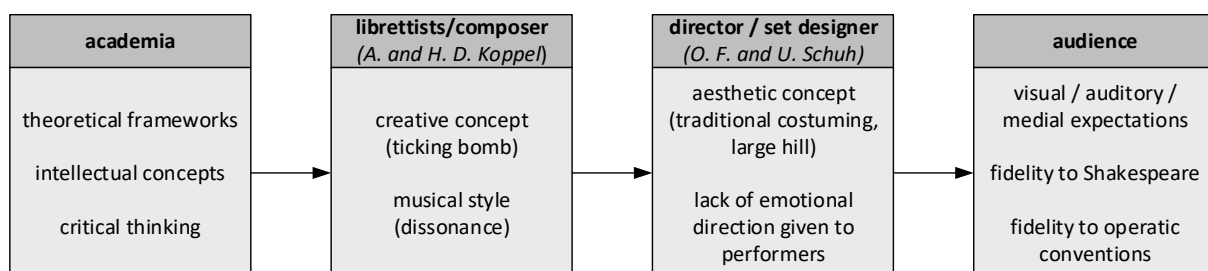


Figure 79: The process of change from intellectualism to audience expectations

Furthermore, if this change occurs at a time where similar changes are occurring within musical style, within technological advances in society, and within political spheres such as the changes occurring throughout the Cold War, then the potential for a clash of conceptual frameworks within the performance is high. A director who maintains a different course than the intended path of the creative team is bound to strike an imbalance between the visual and musical aesthetics: in this case the level of *aesthetic fidelity* as proposed in this dissertation would be high for its relationship to the source text yet extremely low for the aesthetic fidelity to the concept of the adaptation, the exact opposite of the relationships of aesthetic fidelity evidenced in Bibalo's opera, which is discussed later in *Part IV – Chapter 4*. The lack of interest shown by Schuh for Koppel's ticking bomb concept in favour of a more traditional interpretation highlights that it is possible to have a break in the continuation or propagation of intellectual thought: hindsight shows that it was the director who was the ticking bomb that would all but silence the opera due to his failure to adapt to the change in thinking at the time. The third box in Figure 79 refers to the staging of the opera, which did not conform to these intellectual changes shown in the first two stages of the process. The final box refers to the reception stage, which in this case involves Hutcheon's theoretical framework of *knowing and unknowing audiences*. Additional aspects of *knowing and unknowing audiences* with regard to medial knowledge are discussed in more detail in *Part I – Chapter 2*, and should be considered within other aspects: For example, the dissonance of Koppel's writing would seem to suit his "ticking bomb" concept considerably more than that of a traditionally set Scottish hill. Presenting an imbalanced visual and auditory aesthetic mixture to an audience that is neither versed in the most recent critical thinking of the time nor the creative concept of the Koppel family's *MACBETH* enforces a clash between the visually-dominated expectations of aesthetic fidelity to Shakespeare and a new aesthetic auditory soundscape presented by the composer and the performers.

Production

There are many points that can be made and deduced from the production processes related to Koppel's opera. The most important of these is the collaborative elements that were necessary for the opera to reach the stage and the consequences that dysfunctional collaboration predominantly involving the director had for the production. In addition, the role that intercultural knowledge played in the production highlights many practical and theoretical considerations. Although there are many other small points that can be discussed, these principal aspects will be detailed throughout this section. The role of the parties involved and the consequences for the adaptation itself will be discussed in light of the apparent failure that resulted from the production processes.

Collaborative processes during production

[A] performance of an opera is a collaboration of so many worlds, so many different... you have to be very lucky to get the right example, with the right singers, the right director. [Koppel, A., App. F, Part 2, 19]

Anders Koppel's thoughts show the problem with which Koppel's opera was confronted. The adaptation/composition phase had involved successful collaboration within the Koppel family. This had every chance of continuing in a successful way into the production phase, with organisational management through a family member and the role of Lady Macbeth being performed by a world-class soprano who had also had communication with the composer throughout the conceptual and creative phases. However, the luck mentioned by Anders Koppel appears to have ended with the choice of director.

In a production of almost any medium, there is a necessary organisational structure to ensure the fulfilment of each task throughout the process. While this varies from opera company to opera company, there are some essential roles that are generally accepted as 'standard' when it comes to the operational structure of the company. These roles normally include the artistic director, the director, the conductor, and the set designer(s). The artistic director oversees all artistic decisions with regard to planning, including the choice of repertoire and the hiring of all conductors and directors. Directors of a specific production are responsible for artistic decisions that relate to matching the music, drama, and scenery of that production. They also hire and coordinate stage designers and provide direction to the performers as to how the scenes and individual lines should be enacted. The conductor is responsible for the live operational coordination of the orchestral forces together with the on-stage performers, who often take physical cues from the conductor as to when to time the beginning of their lines. The set designer is responsible for providing a set that both supports the artistic concept of the director and the necessary actions of the on-stage performers.

A failure to fulfil any of the tasks within these roles successfully can result in the failure of a production to achieve acceptance. An error in judgement in these roles during preparations can affect the entire production, whereas ‘live’ errors by any of the performers are unlikely to lead to a failure to achieve acceptance. Only the role of the conductor bridges these two phases of production. This, however, should be considered in light of a change of conductor for later performances. As will be discussed in *Part IV – Chapter 2*, the conductor of the premiere performance, Janos Kulka, prepared meticulously for the coordination of the performances. To what extent this occurred with subsequent conductors is unclear. However, the markings that Kulka had already made on the score would have assisted them.

Difficulties in clarifying what happened

In purely verbal communication the intention of the speaker can be more or less readily ascertained. A dramatic performance, on the other hand, unlike linguistic utterance and, indeed, the products of most other arts, is never the work of a single individual, mirroring a singular individual’s intention to communicate. Neither the author, nor the director, however masterly their effort at co-ordinating the work of the team, can ever be wholly in control of the total product, the ultimate meaning of the ‘message’ that reaches the spectator. (Esslin 20)

After Koppel completed *MACBETH*, significant cuts were made to the opera in twelve scenes throughout the opera, with the other eight remaining as originally composed. As can be seen in Table 38 below, the percentage for each act was reduced, with an overall reduction of 7.5% of the overall original text, and only 84.5% of the previously set text remaining following the cuts.

Version	Act 1	Act 2	Act 3	Act 4	Act 5	Total
Complete	62.3	55.6	46.5	30.7	47.5	48.3
After cuts	59.6	42.1	40.2	27.6	32.2	40.8

Table 38: The percentage of text used in the complete opera and after cuts were made

It is not clear why these cuts were made or exactly when they were made. Similarly, at some point, Koppel pencilled in a German text version amongst the original Danish version on the piano reduction. Neither Lone Koppel nor Anders Koppel remembered cuts being made and could only speculate during discussions in 2018. This should not be surprising, as the research into the opera began fifty years after its completion, a fact that both siblings mentioned before and during the discussions.

Figure 80 below displays the location of the cuts that were made with relation to the Shakespearean structure – including additional scenes. The majority of the cuts were made in the final stages of the opera, which had already involved large cuts from later parts of the play. It should be noted here that the scenes in Act 5 are proportionally shorter than many of those which precede. However, it is nevertheless of interest that further cuts were made to the ending sections of the opera.

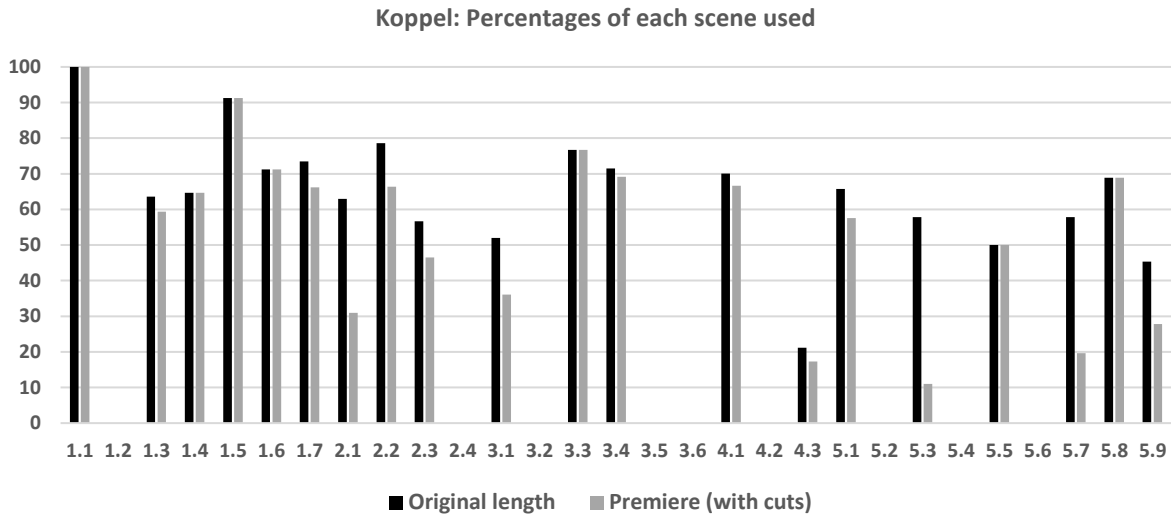


Figure 80: The percentage of text used in the complete opera and after cuts were made

There are, however, some clues as to when this all happened, although the reasoning behind it is unfortunately not recorded. Within the piano reduction, there are numerous loose-leaf pages that Koppel notated and sketched as well as noted the cuts and changes that were made to the opera. As shown in Figure 81, Koppel wrote “Timing’s after Kulka’s suggestions” above a list of timings for each act of the opera. As the total time is considerably shorter than the original length – although still more than in the recording of the premiere, it can be assumed that these were the intended cuts that Kulka recommended that he make. What is not known is whether Kulka suggested these cuts at the composer’s request, the director’s request, because of the time constraints of performances at the Royal Danish Theatre, or because Kulka’s own experience led him to believe the opera was too long.

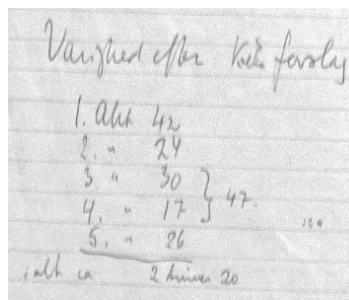


Figure 81: “Timing’s after Kulka’s suggestions”

On the same sheet, the heading that Koppel gave the sheet describes “Corrections to *MACBETH*”, with a date mark showing a meeting occurring between Koppel, Schuh, and Kulka in Frankfurt on September 21, 1969 (Figure 82). In his biography about Herman D. Koppel, Behrendt mentions an unsuccessful meeting between Koppel and the director, Oscar Fritz Schuh, in June 1969 (110), which is assumed to have occurred without Kulka attending.

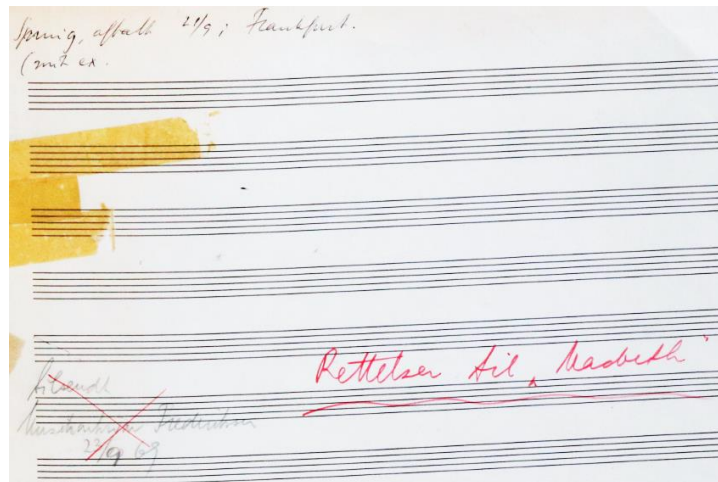


Figure 82: Photo of the first page of a separate manuscript booklet contained in the piano reduction showing: "Cuts, agreed 21/9 [1969]; Frankfurt. With ex[amples]", "to send to music copyist Frederiksen 23/9 [19]69", and "Corrections to MACBETH. Handwritten by Herman D. Koppel.

Another section of the pages (Figure 83) shows the comment "New cuts, agreed with conductor Kulka and Fritz Oscar Schuh in Frankfurt, 21.9.69" followed by an extensive list of cuts that was also made in the composer's handwriting.

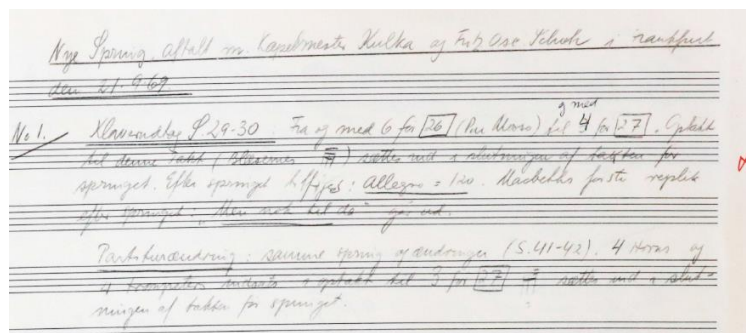


Figure 83: Photo of "New cuts, agreed with conductor Kulka and Fritz Oscar Schuh in Frankfurt, 21.9.69.

It is also likely that Koppel made many decisions about changes and cuts himself, as there are other lists made that do not appear to have designated collaborations, such as in Figure 84, where Koppel wrote simply "Send this to Kulka" and Figure 85, where he shows "Further corrections to Macbeth's part. (Oct 69)".

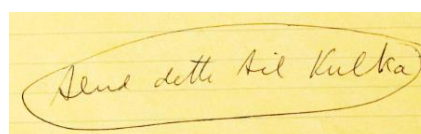


Figure 84: Photo of part of one sheet of corrections contained within the piano reduction stating: "Send this to Kulka". Handwritten by Herman D. Koppel.

Figure 85: Photo of the heading on another set of manuscript pages contained in the piano reduction showing “Further corrections to Macbeth’s part. Oct 1969”. Handwritten by Herman D. Koppel.

The meticulous nature of Koppel’s notes, which were luckily kept and also passed on with the scores, would tend to suggest that he operated alone in ensuring that the opera was shortened. In Figure 86, the beginning of yet another incredibly detailed list of changes that needed to be made by the orchestral parts copyist dated at an extremely late date – presumably following rehearsals – with less than three weeks remaining until the premiere. Koppel starts the list with “To Frederiksen... and Kulka. 14.1.70”.

Figure 86: Photo of a separate booklet of corrections showing: “to Frederiksen and Kulka. 14/1.[19]70”. Handwritten by Herman D. Koppel.

Another clue that could shed light on the timing and reason for the pencilled-in German translation of Koppel’s opera is the final cut made to Malcolm’s speech at the end of the opera. It is the only one of the large number of cuts that does not include a version in German text. The timing of the meetings combined with Schuh’s inability to understand the Danish language within the opera (Koppel, L., App. F, Part 1, 2) would tend to suggest that the German was added at some point after the meeting in June 1969, perhaps when Herman D. Koppel recognised that the language barrier could become problematic. However, Lone Koppel’s memories of Schuh arriving still without knowing the text and subsequently not knowing where in the text the performers were during rehearsals (Koppel, L., App. F, Part 1, 2) would suggest that the assistance that the translation should have provided did not eventuate. This would assume that Schuh had prepared in some way for the music, as well as assuming that he had received a copy of the score prior to arriving. The timing of the translation is further thrown into doubt by Anders Koppel, who, despite not having known about it previously, suggested that his father “hoped for something in Germany... he hoped for a German performance” [App. F, Part 2: 21, 30]. The fact that Herman D. Koppel had re-composed the melodic lines for the German translation also supports Anders Koppel’s suggestion and not the necessity of language barrier. However, why he did not translate all of Malcolm’s speech remains a mystery.

There is a further, major clue as to the timing of the German version: the translation used by Koppel. The version which he pencilled into one of the piano reductions is not based on Schlegel and Tieck's translation which was used in the Max Reinhardt *Regiebuch zu Macbeth*. Koppel instead used a translation from 1833 by Dorothea Tieck which was, perhaps coincidentally, re-released in 1970. Why Koppel used this version instead of the version that he used while composing is unclear. It is probable that Herman D. Koppel had already returned Reinhardt's book to his son following the completion of composition in 1968. If the necessity for a German version had been decided on in 1970, the Tieck translation may indeed have been the only version sold in bookstores at the time. Alternatively, Koppel may have decided for a newer interpretation for the German version. Less likely is that Oscar Fritz Schuh recommended the new version. Even less likely would be the possibility that Koppel chose the Tieck translation due to its rhythmic flow in comparison to the Schlegel and Tieck translation, though this would be unlikely unless he had time to compare the two versions against each other. Whatever the reason for the inclusion of the German translation, and whatever the reason for his choice of the Tieck text, the re-composition of the singers' parts – both rhythmic and occasionally melodic – by the composer himself, presents potential for comparative analysis in future research, both in the treatment of text and the setting of the texts in different languages. Another critical aspect for future research is that the composer was fully fluent in both the languages involved, eliminating the factors that unfamiliarity of linguistic elements would normally lead to in composition.

Based on Koppel's own timings that he had written into the scores with the timing of the CD recording provided by Lone Koppel and Björn Asker, the cuts made to the textual and non-textual music within the opera were extensive, reducing the overall duration by approximately an hour from the original composition. Though it is not possible to ascertain exactly when or why they were made, they also show what could potentially occur as the adaptation is itself adapted for performance, as will also be discussed with relation to Lawrence Collingwood's *MACBETH* later in *Part V – Chapter 2*. No matter whether it was the director or conductor who requested the cuts, the theatre management due to the duration of the opera, or the composer who had later decided to remove elements that he no longer considered to be necessary, the malleability of music is nevertheless evidenced in this case, no matter how limited this malleability is when compared with that of, for example, film-based media.

Due to the time involved between creation and discussions in 2018, Anders Koppel was unclear about why the cuts occurred, or even whether he had assisted. Unfortunately, conversations at the time that were most likely informal and not considered to be important were not recorded, and the timing of this research has meant that speculation is the only option in this regard.

Maybe I said, 'Why don't we take that out?', you know, and he's looked into it. 'Can it be done?' 'Yes, it can be done. We'll take it out.' You know?... Things like that are always quite feverish, because it's... last moment things. (Koppel, A., App. F, Part 2, 20)

This is also the case for changes that were made to the text, two of which provide potentially interesting links with the direction, staging, and performance. The first which is evidenced in the score is a subtle change at the end of 2.3.91, where Duncan's "silver skin" was changed to "silver hair": "Se, lå Duncan, med bræm af gyldent blod på sølvhvid [*hud*] *hår*" ("Here lay Duncan / His silver [*skin*] *hair* laced with his golden blood", 2.3.90-91). In consideration of why this may have occurred, Anders Koppel immediately suggested that it was due to an issue of pronunciation related to the singing of the vowel "u". "Maybe it's not very nice to sing. [*sings*] "Huuuuuuuu[d]"¹⁶²." That's a strange vowel, right. So, [*sings*] "haaaaaaaaaar" is more open. I think it's something like that" (Koppel, A., App. F, Part 2, 19).

The second change, where "Bordet er fuldt" ("The table is full", 3.4.44) was changed to "Hvor kan jeg side?" ("Where can I sit?") is more complex. Speculating on why this occurred, Anders Koppel states:

that was maybe to do with the staging, I don't know... Maybe there wasn't a table, and then it's strange to say "The table is full." So, "Where can I sit?" It's better. (Koppel, A., App. F, Part 2, 21)

When asked about the table, Lone Koppel stated that despite not having clear memories about it, after looking at photos she had from the premiere, she believed that there was no table (Koppel "Email 2"). She provided and referred to a photograph (Figure 88) from her own personal collection from the scene which also suggests that the non-existence of an actual table probably resulted in the change to the line of text.



Figure 87: Niels Møller (*Macbeth*) and Lone Koppel (*Lady Macbeth*).
Photograph provided by Lone Koppel from her private collection. Photographer unknown.

¹⁶² a silent 'd' at the end of the word.



*Figure 88: The banquet scene. Koppel's MACBETH.
Provided by Lone Koppel. Photographer unknown.*

All of these cuts show the collaborative work that resulted in the refining of a monumental three-hour opera down to approximately two hours: a collaboration that required the ability of the composer to accept and indeed coordinate the cuts, the willingness of the conductor to propose many of them, and the awareness that the staging did not represent the text and therefore needed to be changed. This awareness was obviously required due to the implications of the director's stylistic choices which will be discussed in the following section.

Oscar Fritz Schuh: the ticking bomb

It will be a disaster, they said. (Herman D. Koppel discussing his sons' attempts to have him pull the opera from performance, in Behrendt 1988: 109)

In addition to his work as a theatre director, the German director of Koppel's *MACBETH*, Oscar Fritz Schuh, had worked in operatic theatres mostly in Hamburg, Berlin, and Vienna since the 1920s and had survived injuries sustained during two bombings in Vienna in Second World War (Schuh *So War Es* 76-78). He had become known for his operatic direction of Mozart operas and his part in the creation of the so-called "Viennese Mozart Style"¹⁶³ along with conductor Karl Böhm and stage designer Casper Neher (Rathkolb 14), but had his first "breakthrough" (Schuh *So War Es* 52) directing a theatrical performance of *Macbeth*. Schuh had also worked at the Royal Theatre in Copenhagen in 1968 and 1969 on a production of *Don Giovanni* (Behrendt 110). However, although he was "at the height of his career in the 1950s and 1960s" (Zemke)¹⁶⁴, his views on theatre appear not to have conformed with the expectations of his contemporaries, as evidenced by two troublesome periods leading up to his time in Copenhagen.

In 1959, Schuh began working as artistic director at the City Theatres¹⁶⁵ in Cologne (Zemke), and almost immediately began to receive negative and very public attention. After only three productions, Schuh was receiving criticism for his style and the effect it was having on Cologne's theatres (Micbaely). Because of "internal disagreements" (Zemke)¹⁶⁶ he resigned early from his contract as artistic director. A subsequent period at the German Theatre¹⁶⁷ in Hamburg from 1963 also ended prematurely in 1968 following "public disputes"¹⁶⁸ (Zemke). In the German newspaper *Die Zeit* in 1966, Schuh was portrayed as a director who had lost the support of his colleagues to such an extent that he was not only described as being a "monstrously suspicious person"¹⁶⁹, but also as suffering from "inferiority complexes"¹⁷⁰ and demonstrating an inability to meet the high level of the former artistic director (Müller-Marein).

In his autobiographical accounts of this period, Schuh deflects the blame for this period onto external political parties and the shifting political loyalties of the people involved (Schuh *So War Es* 175-176). This disparity in the reporting of these events should, perhaps, be considered in light of Schuh's close professional relationships to prominent Nazi members while working in Hamburg and in Vienna, such

¹⁶³ „Wiener Mozart-Stil“.

¹⁶⁴ „in der 50er- und 60er-Jahren auf der Höhe seiner Karriere“.

¹⁶⁵ „Städtischen Bühnen“.

¹⁶⁶ „interne Streitigkeiten“. In *Burnt Bridges*, Marowitz describes an internal dispute within a theatre company in Bochum which was caused by his descriptions of German actors. However, at least based upon his own recollections, he appears to have been able to ensure that the dispute remained internal (161-164).

¹⁶⁷ „Deutschen Schauspielhaus“.

¹⁶⁸ „Öffentliche Auseinandersetzungen“.

¹⁶⁹ „ungeheuer mißtrauischer Mensch“.

¹⁷⁰ „Minderwertigkeitskomplexen“.

as the conductors Herbert von Karajan and Karl Böhm who were blacklisted until their “denazification” (Salzburger Festspiele "Salzburg 1946") (Uehling 86) and composers such as Werner Egk (Kater 6, 12, 16). This consideration should be made despite the assertion that Schuh was “not a Nazi” (ibid: 129) and that he was “capable of criticizing the Third Reich” (ibid: 12). Though the suggestion is that public figures in musical and theatrical circles were essentially forced into party membership in order to maintain their position, as was apparently the case, for example, with Karajan (Uehling 41), Schuh managed to escape this *direct* political taint and the post-war work bans that it brought.

Schuh describes – in overly-dramatized language – his prepared response to a discussion about joining the Nazi Party with Hamburg Senator Georg Ahrens in 1934 as: “Senator, I would not like that, as it would look like opportunism. To join now, after you have succeeded, cannot be morally justified!”¹⁷¹ (Schuh *So War Es* 55). Post-war sources (e.g. Kater; Lüth; Schuh *So War Es*) also highlight other occasions where Schuh countered the effects of Nazism on the theatrical world, yet where he nevertheless profited from a longstanding association with these high-level artists who had been linked directly to the Nazi party. Profiteering with relation to a person’s career is something that has recently caused conflict in Salzburg, where the Karl Böhm Concert Hall now includes a plaque prescribing his affiliation with Nazism for these reasons ([39] Unknown). It is impossible to determine whether these – at least indirect – associations with Nazism were what led to a reaction by political groups to his continued presence in the theatre in the 1960s, or whether these reactions were actually due to Schuh’s demeanour and behaviours as a director. The way in which Schuh would later describe the beginning of his career in Vienna – incredibly insensitively – was that in 1940, because Jews had already been “expelled, held in concentration camps or had emigrated, there was a vacuum that needed to be filled”¹⁷² (Schuh *So War Es* 61).

In his biography, Schuh presents a detailed overview of failed attempts by the influential conductor and director Herbert von Karajan to have him appointed as his successor as artistic director in Salzburg in 1964 (Schuh *So War Es* 169-172). According to Schuh, his appointment had been given support by the Austrian Chancellor, but, possibly because of the situation in Cologne, Schuh would have been granted restricted control over contractual aspects related to the hiring of actors and the administration of the theatre would have been partner to any decisions. This situation would have led to “an incapacitation of the director”¹⁷³ (*So War Es* 170), to which Schuh was obviously not willing to agree. “We agreed to disagree, as diplomats say”¹⁷⁴ (*So War Es* 171). Once again, this situation

¹⁷¹ „Herr Senator, das möchte ich nicht, das sähe doch nach Opportunismus aus: Jetzt einzutreten, wo Sie gesiegt haben, läßt sich moralisch nicht verantworten!“

¹⁷² „...verjagt, in Lager gesperrt oder emigriert waren, bestand ein Vakuum, das es auszufüllen galt.“

¹⁷³ „eine Entmündigung des Direktors“.

¹⁷⁴ „We agreed, not to agree, wie es unter Diplomaten heißt.“ (Schuh’s original English shown here).

represents another frustrating moment in Schuh's career leading into the production of Koppel's opera.

There appear to be three parts to the criticism that followed Schuh: first, aspects related to his assumed political views; second, behavioural aspects; and potentially most important, the change that was required in the mindsets of audiences because of the implementation of the Viennese Mozart Style. While the second reason obviously played a part, it is the latter reason that is perhaps more interesting from the perspective of the production of Koppel's *MACBETH*. Schuh is quoted with saying that "today's theatre directors should make it their task not purely to serve the public, but also from time to time to shock them"¹⁷⁵ (Micbaely). His artistic beliefs are further stated as:

We don't see opera as a museum, we no longer fulfil the conventional compositional instructions... In the time provided, we eliminate everything to do with the instructions for scenography and keep only what the music and what the characters say to us. Public opinion in Germany supported us greatly for doing exactly this... Precisely, that a museum was turned into a modern theatre,... Needless to say that we must do everything in order to repeatedly bring modern productions into the limelight. (Schuh *Theater in Köln* 13)¹⁷⁶

These quotes highlight a struggle against traditional mindset that Schuh was obviously aware of yet stand in complete opposition to a description of the style as having staging with an aesthetic involving "modern traits"¹⁷⁷ yet not to an extent that "more intensive confrontation with the work itself"¹⁷⁸ occurs (Rathkolb 14). It is quite probable that this style was the main reason that Schuh created cultural turbulence during his period in Cologne. Whether taking into consideration the differences that the traditional mindsets aired and instead gradually introducing the stylistic changes that he thought necessary rather than applying them instantly would have eliminated the conflict could never be known. It would seem that, based upon the remaining part of the statement that began above, his own mindset was unlikely to change, and that he had taken it upon himself to 'update' western German theatres to the same principles that had been applied to Vienna and Salzburg. This singlemindedness of purpose is clear when he states:

Our theatregoers have an innate idiosyncrasy against modern opera... That audiences conceive opera to be predominantly something historical, that they consciously step back into the past when they go to the opera, - this fact appears not to disappear. Nevertheless, it would be wrong

¹⁷⁵ „Der Theaterleiter von heute soll es sich zur Aufgabe machen, sein Publikum nicht ausschließlich zu bedienen, sondern es gelegentlich auch zu schockieren.“

¹⁷⁶ „Wir sehen die Oper nicht mehr als Museum, wir erfüllen nicht mehr konventionelle Komponistenvorschriften. ...wir also alles, was uns zeitgebunden erscheint, aus den szenischen Vorschriften eliminieren und uns an das halten, was uns die Musik und was uns die Charaktere eines Werkes sagen. Gerade hier hat uns die öffentliche Meinung in Deutschland in hohem Maße unterstützt... Gerade, daß hier aus einem Museum ein modernes Theater geworden ist,... Selbstverständlich werden wir alles tun müssen, um auch die moderne Produktion immer und immer wieder in den Vordergrund zu spielen.“

¹⁷⁷ „modernistische Züge“.

¹⁷⁸ „intensivere Auseinandersetzung mit dem Werk selbst“.

not to move forward; because it will happen automatically over time. (Schuh *Theater in Köln* 13-14)¹⁷⁹

Based on the number of extremely public articles that were written during the period, stylistic confrontation combined with headstrong views within theatres obviously does not permit a situation where a director can be accepted by either the players or the public. What was accepted in Vienna after a period of development is not guaranteed to work instantly when applied to Cologne, Hamburg, or even Copenhagen, without the time needed for an audience to adapt to new ways of presenting material through new aesthetic styles.

Schuh also demonstrates an awareness of intermedial effects on the theatre when he discusses an audience's ability to accept the appearance of a singer not matching the beauty ascribed to her in the libretto because of the effect of new media such as film and television, and then uses this intermedial influence to justify his stylistic changes to the medium of opera:

[T]hese things today are no longer possible, because they are simply measured against the values of other artists. Anyone that used to go to the theatre had no comparison with another represented form. Today, even in the smallest city, theatregoers are spoiled, because the television or cinematic screen – if they desire it – brings them into contact with the technical and scenic production of these forms of mass media... And therefore it is no coincidence that the attempts to regenerate the scenic aspects of opera in German theatres have taken prominence and that the homogeneity between music and scene have become an indispensable challenge. (Schuh *Theater in Köln* 12)¹⁸⁰

It was following his resignation from Hamburg in 1968 that Schuh worked in Copenhagen for the first time. If the situations in Cologne and Hamburg were as critical as Zemke reports, then even if Schuh hadn't been forced to resign his positions, his role had become artistically and professionally untenable. Following these two chaotic periods, it would be difficult to believe that Schuh bore no artistic scars or could still have believed that working in collaboration was a positive experience. Under these circumstances then, it is at least remotely understandable that he would resort to trusting the staging to his wife, however disastrous this decision would be for Koppel's *MACBETH*. The appointment of his wife to the important role of designing the physical and visual staging would appear to be completely out of context with her early artistic experience. Ursula Schuh's experience as a translator

¹⁷⁹ „Unsere Theaterzuschauer haben eine angeborene Ideosynkrasie [sic] gegen die moderne Oper,... Daß also der Zuschauer doch Oper in erster Linie als etwas Historisches empfindet, daß er bewußt den Schritt in die Vergangenheit tut, wenn er in die Oper geht, - diese Tatsache scheint mir nicht wegzuleugnen. Trotzdem wäre es verkehrt, den Schritt nach Vorwärts nicht zu tun; denn er wird automatisch von der Zeit getan.“

¹⁸⁰ „...diese Dinge heute nicht mehr möglich sind, weil sie einfach gemessen werden an den Werten anderer Künste. Wer früher ins Theater ging, hatte keinen Vergleich mit einer anderen Form des Dargestellten. Heute ist selbst in der kleinsten Stadt der Zuschauer verwöhnt, weil der Bildschirm oder die Filmleihwand ihn – wenn er es will - mit den technischen und szenischen Produkten dieser Massenmedien in Kontakt bringt... Und so ist es wohl kein Zufall, daß die szenischen Erneuerungsbestrebungen der Oper in erster Linie von den deutschen Theatern ausgegangen sind und daß diese Homogenität von Musik und Szene zu einer unabdinglichen Forderung wurde.“

and painter (DNB 53; Schuh *So War Es*), no matter how good she had been, would not appear to have provided her with the background required to successfully design a fully-functioning operatic set that fulfilled the aesthetic and visual needs of the opera. With minimised staging requirements under the Viennese Mozart Style, input may have been minimal.

In addition to the professional conflicts of this period, Schuh was still heavily occupied by his work at the Salzburg Festival, where he was director from 1946 to 1970 (Boisits). In 1970, the same year as the premiere of Koppel's *MACBETH* and during his final engagement in Salzburg, Schuh created the first Salzburg Street Theatre (Boisits). To what extent these additional obligations in Austria affected his ability to operate successfully in Denmark is not clear. However, the fact that his effectiveness in Copenhagen was questionable would suggest that his preoccupation with Austrian music festivals detracted from his other work.

In addition to questionable levels of self-efficacy and motivation following the upheavals in Cologne and Hamburg, the experience Schuh attained and the abilities he had demonstrated with more traditional operatic forms such as those found in Mozart operas would be unlikely to have prepared him for a new opera with through-composed forms. By the 1970s, it could be expected that Schuh had access to recordings of Mozart operas such as *Don Giovanni* from previous productions and in numerous languages as well as synopses and libretti. A stage director with only a slight understanding of music could conceive an operatic performance by listening repeatedly and studying the structures as described. For the conception of staging for the premiere season of a new *unrecorded* opera, particularly one that involves non-traditional structures, has no synopsis for what is actually contained within the opera as opposed to the source text, and that only has a libretto in an unfamiliar language, a great deal of time and effort would be required. As Luke Styles states within his description of the overlapping phases of adaptation/composition and production in the product creation process for his own 2015 *MACBETH* opera, “[t]he chance for us to hear the complete opera five months ahead of the first rehearsal is something rare in contemporary opera, yet no conductor or director of a new production of *Madame Butterfly* would prepare for their first rehearsal without having heard or seen the opera” (48-49). Therefore, for a new operatic adaptation to be successfully directed from the rehearsal stages, an ability to read a musical score in detail would also be necessary – or a willingness to collaborate with less reliance on hierarchy, as will be discussed in *Part IV – Chapter 3*. Without these possibilities, the conception of a suitable operatic stage direction would be extremely unlikely. The likelihood of this lack of musical ability is questionable, however, as Schuh had directed the premiere of another opera by the Austrian composer Gottfried von Einem, *Dantons Tod*, at the Salzburg Festival in 1947 (Salzburger Festspiele "Salzburg 1947").

In addition to possible musical inexperience, a director such as Oscar Fritz Schuh who “displayed absolutely no interest in the music at their first meeting in June 1969 and not much responsiveness to Koppel’s thoughts about the performance”¹⁸¹ (Behrendt 110) presents a far higher likelihood of “disaster” (Koppel, A., App. F, Part 2, 18). Unfortunately, this appears to have been the case with regards to the stage direction of Koppel’s *MACBETH*. Lone Koppel describes his preparation leading into the rehearsals as being extremely low. “Oscar Fritz Schuh... had not prepared himself at all – with the music. He had done it as drama, somewhere in Germany, and he didn’t know the music at all” (App. F, Part 1: 26-7).

Sanders discusses the change that is required when a source text is joined with “a new context, historical, geographical and/or cultural” as being like the grafting process of trees (Sanders 69). In terms of the grafting process in Copenhagen in 1970, Schuh appears to have ignored the new, upper part of the graft and insisted on keeping only the older part. If an experienced theatre director has little or no understanding of the musical context of an operatic score, the potential for convention-based and medium-based clashes is high, at least in conceptual terms of staging. In June 2018, Björn Asker and Lone Koppel stated that:

Björn Asker: [W]e had, during our careers, experienced quite often that here it has been normal to take in theatre directors into opera... Some of them are really musical and can cope with new things, with musical language... geniuses in absorbing the music, and making something about the music and text together. But other drama directors – without a feeling for the music – have started like you tell us that Oscar Fritz Schuh did, from the text. And the result is never good.

Lone Koppel: He knew the text, but he didn’t know where we were [singing] in the text.
(App. F, Part 1, 9)

It is clear that at least in a professional context, Schuh’s relationships to those he was working with were problematic. This is clear in his relationship with the cast for *MACBETH* in the Royal Theatre in Copenhagen. Discussing film directors, yet certainly applicable in this case, Coursen writes “how often directors simply erase what is potentially there in favor of their own conception, their own reshaping of the materials to conform with what their own vision may be” (Coursen 12).

¹⁸¹ „[Den 65-årige instruktør] viser dog ved deres første møde i juni 1969 absolut ingen interesse for musikken og ikke megen lydhørhed for Koppels tanker med forestillingen.”

Situating the visual “disaster” of the Schuhs’ staging into Hutcheon’s *modes of engagement*

The staging of the opera, despite the minimal visual evidence available, supplies Adaptation Studies with the chance to analyse the result against theoretical aspects of Hutcheon’s *modes of engagement*.¹⁸² The evidence available about the production of the opera provided by the reviews and interviews suggests that the music, at least in essence, conformed to conventional expectations but that the visual aesthetics of the staging did not. Therefore, it is possible to take these suggestions and overlay the ideal of *modes of engagements*, particularly the difference between the levels of imagination required by the *telling* and *showing* modes. If Schuh altered the conventions of the medium with regards to the showing mode, the expectations of the audience may not have been met. If the “spectacle” (Corse 11) of opera was reduced to a point where imagination of visual aspects normally provided in the operatic medium was required, then the shift from *telling* mode to *showing* mode may have influenced the subjective responses to the opera’s staging. Before this is possible, however, it is necessary to piece together and understand the style – and directorial staging theory – that the Schuhs followed when staging the production.

The so-called “Viennese Mozart Style” that was developed in the Viennese theatres during the Nazi era by Schuh and his associates, including Casper Neher and Karl Böhm, involved the use of minimal or the removal of unnecessary visual material in order to focus an audience on the characters themselves (Boisits; [38] Unknown). Schuh describes the theory behind the Viennese Mozart Style as essentially being a method of enforcing imagination through the removal of anything other than “the magic of the word, the enactment and music”¹⁸³ (Schuh and Willnauer 44). This style was heavily criticised in 1959 following a performance of Verdi’s *FALSTAFF* in Cologne: “In *FALSTAFF*, Schuh and Neher skeletonised the stage. Windsor, the setting, was more sketched than painted onto the scenery and backgrounds”¹⁸⁴ (Micbaely). The criticism concurs neither with Karl Böhm’s description of Schuh and Neher’s staging as “among the most beautiful memories”¹⁸⁵ of his time in Vienna (Böhm 49) nor the description provided by Schuh that:

Important set designers such as Casper Neher and Wilhelm Reinking were able to break new, productive ground [in the Redoutensaal]. They were able to solve the problem of inspiring the fantasy of the audience in an unchanging room in a way that the complete theatrical enchantment was achieved (Schuh and Willnauer 44)¹⁸⁶.

¹⁸² Refer to *Part I – Chapter 2*.

¹⁸³ “der Magie von Wort, Darstellung und Musik”.

¹⁸⁴ „Im „Falstaff“ [also] hatten Schuh und Neher die Bühne skelettiert. Windsor, der Spielort, war auf Kulissen- und Hintergrundsprospekten mehr skizziert als gemalt worden.“

¹⁸⁵ „In schönsten Erinnerungen aus der Wiener Zeit“.

¹⁸⁶ „Bedeutende Szenekünstler wie Casper Neher und Wilhelm Reinking konnten hier [Redoutensaal] neue, produktive Wege beschreiten. Sie haben die Aufgabe gelöst, in einem immer gleichbleibenden Raum die Phantasie des Zuschauers derart zu beflügeln, daß die vollkommene theatralische Verzauberung erreicht war.“

It would appear that the Schuhs applied this theatrical philosophy in the staging of Koppel's *MACBETH*. The stage was dominated by "a hill, a little round hill in the middle of the stage, and then it could turn around and then it was a door, and then it turned around and then it was a hill, and it was so... bad. Really bad" (Koppel, L. App. F, Part 1, 1). The hill was intended to represent Dunsinane, but left the performers with "no space to act, no space to breathe. And you really felt that" (Koppel, A. App. F, Part 2, 17). In an interview in 2018 (App. F, Part 1), Lone Koppel also mentions the stagnancy described by Wellejus in the review below as due to the fact that the set design prevented movement around the stage.

Lady Macbeth's famous sleepwalking scene was more than competent, but didn't seem spooky enough for the orchestral accompaniment. It did not give us a chill down the spine... Most of the play's other scenes seemed stagnant and the people stood riveted to the floor as if they would be fined for moving. (Wellejus)¹⁸⁷

Additionally, the hill was made of paper maché and could not be walked on due to its weak surface and structure. As already mentioned, there was no table during the banquet scene because of the fixed position of the hill and the maintenance of the Viennese Mozart Style's philosophy of minimal props.

From a perspective of adaptation theories, it would seem counter-intuitive for an aesthetic style formulated for Mozart operas to be applied to modern Shakespearean music-dramas, where the word often needs to be contextualised in order to allow an audience to understand and conceptualise what is happening. In her discussion about Verdi's *OTELLO*, Corse also reinforces the problem that Schuh's applied theory has even through the simple differences between two composers' textual treatment creates:

Unlike Mozart, Verdi rarely uses music to undermine or contradict the text: rather, his music clarifies or amplifies the thoughts and experiences of the characters. [...] Music is used as a psychological medium to reveal motives that characters hide from each other in their language. (69)

It is even more difficult to understand why the Schuhs would stubbornly pursue this style in the context of a modern, unknown opera, where the music was created with the intention of matching those elements that Schuh eliminated: without the visual input of props such as the missing table, without the movement involved in playing out the actions that are being expressed, without the freedom for the performers to act as they normally would. What is more concerning is Schuh's own understanding of the problem of performer and audience acceptance, where he states that "[p]eople would approve of these new methods, if they could connect the theory to the practice"¹⁸⁸ (Schuh and Willnauer 45). That he stated this many years before implementing it, yet was in no way able to ensure that this was

¹⁸⁷ "Fru Macbeths berømte søvngængerscene var heller ikke ueffen, men forekom dog ikke uhyggelig nok til den orkestrale underlægning. Det løb os ikke koldt ned ad ryggen... De fleste af værkets øvrige scener forekom for stillestående og personerne stod fastnaglet til gulvet, som om de fik bøde for at røre sig."

¹⁸⁸ "Man würde so gern diesen neuen Lösungen zustimmen, wenn sich mit der Theorie auch schon die Praxis verbände."

something that would be possible in Copenhagen, where the Viennese Mozart Style had probably only been seen during his production of a Mozart opera two years earlier, is disconcerting. Blindly applying theoretical knowledge without consideration of intercultural differences was, it would appear, a pattern in this period of Schuh's career. His failure to adapt to the realities of the situation confronting him is perhaps best summarised by a review of the premiere which described the resulting scenography as "narrowly theatrical, and the decorations reeked from such unimaginative solutions that their stench slowly spread to boredom"¹⁸⁹ (Balzer). If the primary purpose of opera is understood as that of a 'spectacle', then the minimizing of visual aspects of the medium removes a large part of the conventionally-based expectations of an audience, as well as the performers.

Modes of engagement: The dangers of breaking from conventions

Schuh's production is therefore worth discussing in terms of the framework of *modes of engagement*. By comparing the difference between imagination and perception that the conventions of each media creates, Schuh's staging theory can be situated against the practical reality of what occurred in Koppel's opera. The situating of this practical example relates to the details that were shown in *Part I – Chapter 2*, with relation to Hutcheon's *modes of engagement*, focussed specifically on the two modes of *telling* and *showing*. These two modes are essentially separated by the requirement of imagination in the former and the need for perception in the latter. What the Schuhs effectively did was to move from a full showing mode as in Live Operas (the upper half of Figure 89) towards an auditory-only sub-mode, by minimising visual elements of a showing mode. According to Lone Koppel, due to the set design involving the "hill", the set design also resulted in the minimisation of movement around the stage. Through the lineal diagrams, it is possible to see what they caused: the almost complete removal of the *visual* purpose of a showing mode, placing it between an audiobook – or in the case of an opera, an audio recording – and a live performance. As can be seen in the lower half of Figure 89, this would have placed audiences unfamiliar with this theoretical style in an unfamiliar mode, one that was not any they had encountered.

¹⁸⁹ "... snævert teatralisk, og dekorationerne lugtede så langt væk af fantasiløse nødløsninger, at stanken langsomt bredte sig til kedsomhed."

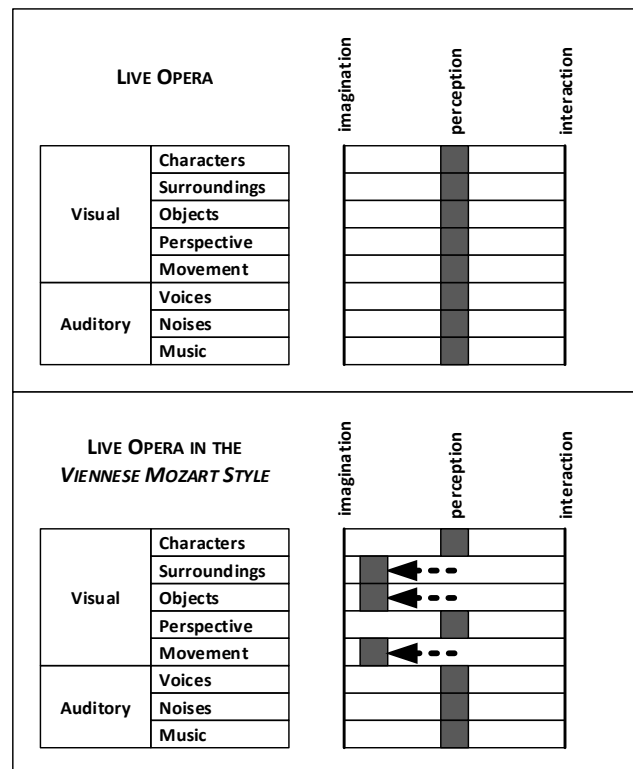


Figure 89: A lineal diagram of the change between operas with and without the Viennese Mozart Style

Therefore, if “performances within the separate media serve distinctly different audience expectations in a production designed for its medium” (Coursen 169), Schuh simply produced an opera that lay outside an audience’s expectations of what the operatic conventions were at the time. This can be seen in the modal shifts shown in the diagrams above. Corse separates the difference between a libretto – in reality a theatrical text in Koppel’s opera – and an opera in a way that further distances expectations based on the conventions of operas and the staging that Schuh provided.

An opera... in contrast to a libretto, does demonstrate considerable aesthetic function. The aesthetic function in opera lies less in the language than in the music and perhaps less in the music than in the interaction among many elements. The words, along with the dramatic situations created by the characters moving and gesturing on stage, the sets, the costuming, makeup, and lighting, create a representational meaning that often has a directness that drama without music does not (therefore a libretto would make an unsatisfactory stage play); the music, along with what remains of the literary qualities of the language and encourage additional or multiple interpretations. (Corse 15)

Coursen discusses the problem that reductions in a play’s structural properties can result in for filmmakers and that they “must edit the language, but carefully; not just toward cutting down on all those words but toward retaining those that reinforce both the visual and intellectual elements of his or her own production” (Coursen 167). The Viennese theory of reducing the visual in an attempt to highlight the words is, perhaps, simply reducing the impact of intermedial effects caused by the increase in exposure to film and television media.

Modes of engagement: Triangulated modes and operatic media

Hutcheon's theoretical framework for *modes of engagement* was presented in *Part I – Chapter 2*, including a discussion about the problematic positioning of the modes as separate entities. What has just been shown is that the visual and auditory elements can be manipulated by directors, and indeed, any member of a production crew. As was the case with the intervention of the Schuhs through the implementation of the Viennese Mozart Style, the visual aspects were shifted towards the requirement of imagination and away from that of perception. In addition to this intentional manipulation, there are other situations that different types of opera present, such as television opera, where the perspective and narrowing of surroundings that a lens creates might actually result in a realignment or hybrid form for those aspects. In a three-option theory, where imagination, perception, and interaction are the only three modes but all might be possible for any visual or auditory element in any particular adaptation, this would require a triangulated diagrammatic representation such as that shown in Figure 90. In this diagram, the position of any of the elements could be shown in a position that represents the – at least – subjective weighting of the modes for that element. Although this would be problematic due to a requirement for subjective judgements, it highlights the problem with Hutcheon's theory, which essentially categorises an adaptation into one of the modes.

Figure 90 is split into three parts: live opera (an assumed generic form); live opera with the Viennese Mozart Style; and television operas, such as Bibalo's opera that is the subject of Individual Case Study 2. In the upper part, the effects of audience participation, such as clapping, calling for encores, or even talking could mean that the position of the elements is moved slightly away from perception toward interaction, and the individual element of perspective may need to move more toward interaction and slightly toward imagination depending on the position in which an audience member is seated. In the middle part, the effect of Oscar Fritz Schuh's application of the Viennese Mozart Style would require three of the elements to be shifted toward imagination. In the third part, the effect of camera perspectives, particularly through close-ups or through focussing may require some of the elements to be imagined, and the interaction that can occur in an opera house mentioned above would be removed, but might be changed through usage as well as control of the timings and order of the recording being viewed, as described by Hutcheon (e.g. 13, 27).

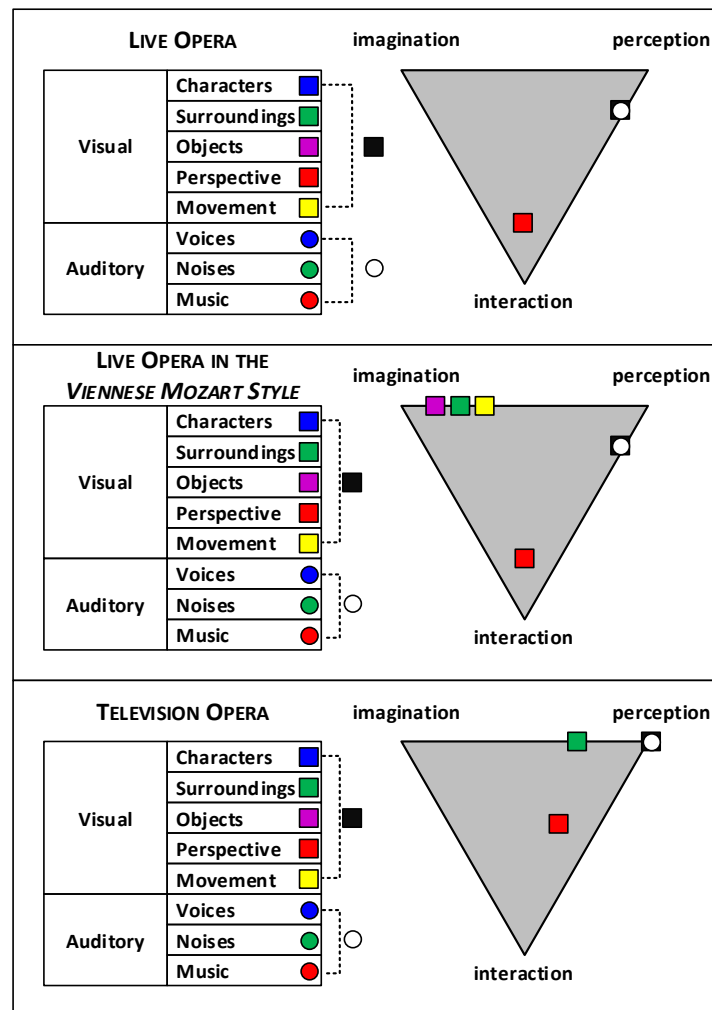


Figure 90: A triangular diagram of different operatic media

While the representations in these three parts are not intended to be accurate, they do, however, show the difficulty that is entailed in attempting to visually represent the *modes of engagement* beyond the simple forms that Hutcheon describes. Additionally, they also highlight the reality of the modes, in that manipulation of visual and auditory elements as well as the different forms and formats of operas can actually involve with relation to the theoretical constructs.

The effects of an unplanned visual aesthetic

Sometimes peculiar facts surrounding the premiere – the availability of a great soprano, an excellent chorus, for example – subvert loyalty to the literary source. (Schmidgall *Lit. As Opera* 8)

Although the premiere of Koppel's *MACBETH* did involve "a great soprano", it would be difficult to argue that the literary source was in anyway subverted, as the skill in performance by Lone Koppel, and indeed Niels Møller as Macbeth, were more than 'loyal' to the roles as audiences would expect of *Macbeth*. With regard to Schmidgall's "peculiar facts", however, there is an unintentional visual aesthetic involved in the "final, eighth performance" (Behrendt 110) of Koppel's *MACBETH* that should not go without mention – certainly because of "the Scottish tragedy's theatrical reputation as a work doomed to devastating failure in production" (Crowl 20) and the superstition of performers themselves. In the final performance, Lone Koppel needed to perform the role of Lady Macbeth with a walking stick following a failed dive from stage. However, unlike the superstition would have people believe, the accident itself did not happen during rehearsals or performances of *MACBETH* but instead during Tchaikovsky's opera *Eugene Onegin*. Lone Koppel described the situation as one where she was to dive off stage into the arms of waiting stage hands. "I just jumped, and hoped someone was there. And there was not" (Koppel, L. App. F, Part 1, 9), and thereby injured her ankle. This incident occurred shortly before later performances of Koppel's *MACBETH*. A photo of Lone Koppel performing with the walking stick was provided by her (Figure 91), and at the time of the discussion about it stated that it "made the role of Lady Macbeth more 'significant' (Koppel "Email 1"). Behrendt also refers to the costumes, such as that worn by Lone Koppel in the photo below, as belonging to a previous production that Schuh had directed of Verdi's *MACBETH* in Salzburg (110), once more hinting at the Viennese Mozart Style influence and the inability to separate a new modern opera from theatrical settings.



Figure 91: Lone Koppel as Lady Macbeth with a walking stick during Koppel's *MACBETH*. (Photographer unknown, provided from Lone Koppel's private scrapbook)

Intercultural knowledge and abilities: working in and with the Danish language

In the production of Koppel's *MACBETH*, there were many issues related to the Danish language that became obvious. These included the benefits of multilingualism, the problems of people in directorial roles *not* understanding the language involved, the generational-cultural differences in Danish operatic singers' acceptance of their own native language, and the consequences that a change in technology had on the acceptance of foreign-language performances with surtitles in opera houses.

As has been discussed, Herman D. Koppel demonstrated the advantages that multilingualism has on numerous occasions during various stages of bringing *MACBETH* to the stage. As will be discussed in *Part IV – Chapter 2*, there are instances in the score that display his intellectual understanding of *Macbeth* in Danish, German, and English, as well as instances where he manipulated the Danish translation into forms that better suited his music and in some cases Schuh's staging. This multilingualism allowed Koppel to amalgamate the theatrical and operatic elements of the adaptation during composition and re-composition. Just as importantly, Koppel's multilingualism allowed communication with Schuh and also with the conductor, Janos Kulka, who despite being Hungarian had also worked in Austrian and German operas houses for over a decade prior to Koppel's opera (*Kubadinow*). Although the relationship with Schuh did not appear to be fruitful, the collaboration between Koppel and Kulka resulted in many functionally positive changes that Koppel made to the music.

Of detriment to the opera was Oscar Fritz Schuh's lack of knowledge regarding the Danish language. This obviously created problems during rehearsals, and presumably during his own private preparations for these rehearsals. According to Lone Koppel, he had no idea where the singers were performing during rehearsals and could not respond to their dramatic needs. Assuming that he intended to give more directional input and that his Viennese Mozart Style did not preclude this, then this probably was a consequence of an inability to follow the Danish text in his score. Assuming that he was unable to follow the music and the staging directions which were also in Danish – and also in handwritten script which in many places is difficult to read, then undertaking the practical role of director would be problematic to say the least.

Charles Marowitz describes his experiences directing companies in foreign languages in a completely different light to that which appears to have exposed Schuh's limits:

[S]trangely enough, there were no language barriers. Either the company understood my English or I their German, Danish, Norwegian and Swedish – not with a grammatical grasp of the language, but by inferring and registering the accents of their speech as they corresponded to the English text spread out before me. One listened not to the words of the foreign language but to the music of its sense. [...] Though listening to a foreign language, one was constantly thinking in English and, like a vigilant conductor, detecting false notes, which the interpreter would proceed to put right in the actors' native tongue. Curiously enough, in places like Sweden and Germany, reviewers would remark upon the verbal clarity of the performances – always assuming bilingualism on my part. (*Burnt Bridges* 159)

If Marowitz's statement is true, it presents a completely different ability to operate outside a known language as well as a considerably greater competence with relation to communication skills. Both directors in that period were – or at least had been, in the case of Schuh – highly respected despite their seemingly different approaches to Shakespeare. However, both appear to have achieved completely different results within a foreign language setting.

Surtitles and 'nationalised' operatic translation

During discussions with Lone Koppel and Björn Asker and subsequently Anders Koppel in 2018, the issue of translated libretti and surtitles was raised, particularly with regard to the impact that the implementation of technology into opera theatres has caused on the use of the Danish language. Prior to the projection technology that enabled surtitles to be presented to audiences in 'real-time' with the performance,¹⁹⁰ operas were normally, excluding in English-speaking nations (Apter and Herman 13), translated and sung in the national language of the location involved, such as Danish translations sung in Copenhagen (Koppel, L., App. F, Part 1, 9). At the time of Koppel's opera, "all of the operas were sung in Danish: Fidelio, Mozart, everything. Wagner, all the operas. Even the Verdi was sung in Danish" (Koppel, A., App. F, Part 2, 20). During the discussions, the cultural change that has occurred in Denmark because of this change in technology was also raised. As operas are now sung in the language in which they were composed and not in a translated form, operatic students in Denmark must learn the pronunciation – often alongside formal learning – of the non-native languages, and no longer focus heavily on the use of their own language. This has apparently created a cultural shift in which the Danish language is no longer appreciated in this form. In the discussion with the librettist, Anders Koppel, he highlights the potential problem that this creates for the composition itself, as the changing of language, for example, even into the German version that Koppel recreated, often entails many other changes within the rhythm, melody, and timbre of the vocalisation.

My father's opera was written to Danish, which would make it a different story, because it was not translated. Yes, of course, Shakespeare's text was, but my father composed it to the Danish text. So, I think it should be sung in Danish. (Koppel, A., App. F, Part 2, 20)

This of course presents potential problems that have been discussed by other academics, such as the incomprehensible text that often occurs during operatic productions, where even native speakers of the performed language are not guaranteed of understanding the text (Rędzioch-Korkuz 76). As Lone Koppel states regarding the directions for performing in *Jenůfa* by the Czech composer Leoš Janáček:

'We should do it in Czech.' Why? Not one [person] understands it. And it was so difficult... [F]ortunately I had done it in... other languages,... so I knew what I was singing, but I don't know Czech. So, I just made sounds and thought it was right... [T]hat shows you why a singer must sing in their own language, too. (Koppel, L., App. F, Part 1, 10)

¹⁹⁰ According to Rędzioch-Korkuz, the first appearance was in Toronto, Canada in 1983 (92).

Part of the reason behind the use of the original language as opposed to the translated version could be that “the English-speaking world has a 300-year history of performing operas and art songs almost exclusively in foreign languages” (Apter and Herman 13). Apter and Herman continue by discussing audiences to whom the text is not the most relevant aspect, but rather the “spectacular costumes and scenery” (13). Whatever the reason may be, the use of surtitles in modern operas negates at least part of this issue. However, the use of projected surtitles causes other issues that need to be addressed within Adaptation Studies, such as the “drawback of forcing the spectator to glance” away from the performers (Rędzioch-Korkuz 100), which could detract from the potential meanings attained through the perception of visual aesthetics and could further cause ambiguity of meaning between what is read (the translated surtitles), what is heard (a different language), and what is seen (the staging).

The ironic part of the cultural change related to the minimisation of Danish language usage is that very little about the Danish opera culture is written in languages other than Danish. That so few operas are now performed in Danish will likely make it more difficult for operas to be performed – and possibly composed – in Danish in the future. Koppel’s creation of a German translation version of his own Danish opera, including significant changes to the melodic lines in both pitch and rhythm, emphasises the commercial problems that a ‘Danish-only’ opera would face. Nevertheless, if Danish-trained singers choose not to sing in Danish within their own country, the operatic repertoire composed in Danish will presumably fall into obscurity.

Reception

This should be an event and it was an event, the premiere of Koppel's "Macbeth": death and pain, dark, bloody, and exciting. Large forces were at play – the composer, the singers, a huge theatre set, and a brilliant old playwright dominating with sorcery. A Danish opera is rare in our not very music-creating nation, but on the whole modern operas are in short supply... It was so good, so skillful, so effective."¹⁹¹ (Chaplin Hansen)

There are two further sub-phases of *reception* that are worth discussing with relation to Koppel's *MACBETH* – the first overlapping sub-phase of reception, in which the performers and the composer's sons had responded during the rehearsal period has already been discussed. However, the initial response following production, including reviews such as the one quoted above, and the completely separate reception to the opera following the passing of fifty years are also important. The former sub-phase created such strong negative emotions in Lone Koppel that it still affects her, although she did appear to find joy in listening to the recording again after such a long period and stated that she now missed her piano score of the opera (Koppel, L., App. F, Part 1, 10). The latter sub-phase is important because of the socio-political and more general historical changes that have happened which subsequently allow for a different perspective on the opera and its historical context.

When discussing the composer's reaction to the performance, his daughter Lone stated that he was pleased with the opera, and that "he didn't know how bad the stage was, the staging" (App. F, Part 1, 9). Despite the negative reception to the visual aesthetics on stage, Koppel at no point mentioned any dislike for what had happened. She also stated that Koppel "saw it with other glasses" [Koppel, L., App. F, Part 1, 9], referring to his inexperience with stage performances. However, it is quite possible that Koppel did not state his true feelings for the staging due to his respect for the performers. He had already shown this to be the case when his two sons suggested that he pull the opera from performance. Despite the potential detriments to both the opera and his reputation, Koppel had rejected the urgency of the advice. In his biography, he explained that: "the situation was not easy, and the thought of the wonderful work that the singers and musicians had put into the work resigned me to the fact that it now had to go on"¹⁹² (Behrendt 109), suggesting that he was fully aware of the situation. His apparent lack of discomfort following the performance could be interpreted as humbleness, and a composer aware of the effort that the performers had given. It is clear that he had already been made aware of the difficult circumstances on stage prior to the performances, and may

¹⁹¹ "Dette skulle være en begivenhed og det blev en begivenhed, premieren på Koppels "Macbeth", død og pine, mørk, blodrig og spændende. Store kræfters spil – komponisten, sangerne, et vældigt teaterapparat og en genial gammel dramatiker forende i trolldom. En dansk opera hører til sjældenhederne i vor ikke særlig musikskabende nation, men i det hele taget er moderne operaer en mangelvare... [D]et var så godt, så dygtigt, så effektivt."

¹⁹² "...situationen var ikke nem, og tanken om det store arbejde sangere og musikere lagde i værket fik mig til at affinde mig med som det nu måtte gå."

have chosen to withhold critical comments in order to avoid upsetting the performers who had dedicated themselves to making it as successful as possible despite what was occurring around them. However, if it is true that he really didn't understand the true impact that the staging had had upon his opera, he would nevertheless have been correct to be pleased with the musical aspects of the opera. Listening to the recording fifty years later without knowledge of the issues occurring on stage, it is likely that listeners would be impressed with the quality of the composition. Similarly, the vocal presence of the performers, including the suitably cracking voice of the lead tenor, Niels Møller, as his role as Macbeth descended into "madness" (Koppel, L., App. F, Part 1, 6)¹⁹³, is also something that is noticeable. The realisation of the composition, even if only in the musical aspects and not the visual, had occurred successfully, and a composer of his quality would have understood how important this achievement was. Unfortunately, this musical achievement was overwhelmingly soured by the staging.

Another response which is worth noting is that contained in one review which refers to "fragmentary scenes without the play's progressive, dramatic structure or intensification"¹⁹⁴ (Wellejus). This is not surprising considering the number of cuts that were made to the opera after its completion. Whether this critic would have reconsidered this response had they known about the cuts is unknown. However, with reference to their opinion regarding the staging, inflicting yet another hour of Schuh's staging upon them probably would not have helped the situation.

That the premiere of Koppel's *MACBETH* is never mentioned by Schuh in his writings and his biographies is probably of no surprise. However, that the events have never before been recorded in detail is a reflection of the general response to the failings of the production, not the music itself. That the opera had been allowed to fall into obscurity is not unlike the majority of the *MACBETH* operas. However, the opera will hopefully be remembered more for the quality of the composition and the performers who premiered it than for the failings of the director.

¹⁹³ Two examples of this cracking voice occur when Møller firstly sings the line "Bedre ingen bevidsthed, end bevidsthed om min gerning" (To know my deed, 'twere best not know myself") (2.2.74), where his voice cracks on the last two syllables of the second "bevidsthed", and secondly when he sings the lines "Vig bort, grufulde skygge! Blændværk, vig bort!" (Hence, horrible shadow! / Unreal mockery, hence!" 3.4.104-105a).

¹⁹⁴ "Iøstrevne scener uden skuespillets fremadskridende, dramatiske opbygning og intensivering".

Part IV – Chapter 2: The music of Koppel's *MACBETH*

In the last apparition that Macbeth sees during his final meeting with the witches, the last king is carrying a mirror. This mirror shows Macbeth many kings from Banquo's lineage. However, Koppel's opera reflects us in the mirror, and Macbeth in us: it is the horror the music wants us to experience. However, Koppel is neither prophet nor philosopher: he is a man like us, and above all he is a musician. In order for a musician's message to reach us, one thing is necessary: that we can hear, and that we want to listen. In Koppel's opera, the music is central, it is something that one should focus on; everything else – words, light, action, decorations – only serve to accompany the music, to pull it closer and give it direction. (Heerup)¹⁹⁵

Heerup's summary of Koppel's music, which was printed in the programme for the opera, would appear to counter the theoretical background that Schuh applied to the music, as was described in the previous chapter. As will be seen from the plethora of examples that Koppel created within the opera, this summary is incredibly astute, and defines a composer who understood the relationship between the music and the theatrical aspects of opera. Koppel also displayed an understanding of Kott's academic interpretations which the librettist, Anders Koppel, had discussed with him: knowledge that Koppel utilised during the creation of the opera. Applying the brutality that Kott applied to the reading of *Macbeth* should be, in theory, quite simple. However, whether it is actually possible to make an audience feel a similar fear, a similar tension that the characters of Macbeth's tyranny felt is considerably more difficult: equivocation between media, languages, and cultures complicates this possibility in various ways. Nevertheless, Koppel's music ensures that an audience cannot relax, just as none of Macbeth's subjects could relax throughout his murderous reign. By applying various compositional techniques to specific musical elements such as rhythm, Koppel creates, maintains, increases, or releases the tension in the music and thereby in the audience. Chaos and confusion as emotions must therefore be represented by chaos and confusion in the music – but in doing so, not actually cause the same scenario in the performers themselves and subsequently making performance overly difficult. The soundscape must match the psychology of delivery as prescribed by Reinhardt in his *Regiebuch zu Macbeth*. "Blood will have blood" (3.4.120), but making an audience *hear* that blood while a singer is singing the line is a challenge in itself. Applying additional meaning either deliberately or unintentionally through intertextual musical-operatic knowledge presents further challenges. Over a period of two years, Koppel managed to represent the brutality of Kott's contemporary *Macbeth*: he managed to juxtapose *his* opera of *Macbeth* with the socio-political mindset of the post-Nazism, Cold War era.

¹⁹⁵ "I det sidste syn, Macbeth ser ved sit sidste møde med heksene, bærer den sidste konge et spejl. Dette spejl viser Macbeth endnu mange konger av Banquo's æt, men i Koppels opera spejler spejlet os, Macbeth i os, det er den gru musikken vil have os til at opleve. Nu er Koppel hverken profet eller filosof, han er et menneske som os andre, og først og fremmest er han musiker. For at en musikers budskab skal kunne nå os er ét fornødent: at vi kan høre, og at vi vil lytte. I Koppels opera er musikken det centrale, det er den man skal samle sig om; alt andet: ord, lys, ageren, dekoration tjener kun til at belyse musikken, rykke den nærmere og give den retning."

Koppel, (a)tonality, and knowing audiences

Debussy's *Prélude* [à 'L'après-midi d'un faune'] shakes loose from roots in diatonic (major-minor) tonality, which is not to say that it is atonal, or keyless, but merely that the old harmonic relationships are no longer of binding significance. (Griffiths 7)

A similar statement could be made about the music to Koppel's *MACBETH*: a statement that relates to one of the additional layers referred to in *Part III – Chapter 3*, where *knowing and unknowing audiences* in operatic adaptations also entails knowledge of the medium. Audience members with a cultural background involving Western music traditions who attend an opera for the first time would be able to relate the musical language of Mozart's operas to the musical language they encounter in everyday life. This would be difficult to justify based on Koppel's music for an audience unfamiliar with opera in 1970. With Mozart, the harmonic language at both a macro and micro level is not that dissimilar to mainstream popular music, nor to music they would have encountered in their early childhood years. Brown summarises the effect of such harmonic language by stating that “[p]sychologically and aesthetically speaking, tonality sets up a certain order, creates a sense of loss and anxiety in its various departures from that order, and then reassures the listener by periodically returning to that order, which will generally have the final word” (Brown 3). The orchestration of the music may differ from most popular music, although the timbres would at least be familiar if they have experienced a wide range of popular music culture. The focal attention of these audience members, therefore, would not be directed towards the style of music as such. They could focus on the theatricality of the stage presentation.

If they *know* the source text, they could also focus on the interpretation of the story and the adaptation itself. If they do not know the source text, they could instead focus on acquiring the narrative elements of the story. However, audience members attending an opera for the first time, particularly an opera that breaks from *known* musical styles, such as Koppel's, are confronted with the additional cognitive demands required by a new soundscape. While modern horror films employ similar compositional effects, his mixture of (a)tonality and dissonant modalities are not generally represented in popular music and would therefore draw attentional requirements away from the stage, away from the adaptation, and away from the theatricality. At the premiere of an opera, every audience member would be confronted with this mixture of cognitive demands unless they had attended rehearsals and had already experienced the music itself.

In 1970, despite the development of various musical styles that might be considered unfamiliar by many audience members, the lack of exposure to the music of Koppel's opera and its almost total dissimilarity to traditional operas would have required a great deal of attention. The minimal material available prior to attending the opera would have left audience members with the need to complete the entire learning process during the performance. As previously discussed, without recordings or the

possibility of hearing segments of the opera in live concerts prior to the performance, this would still be the case if the opera were to be performed again.

It could be argued that, fifty years after the completion of the opera, the harmonic structures of Koppel's opera no longer seem as unfamiliar to operatic audiences. Although the music contains unpredictability, classifying the harmonic structure as 'atonal' would be to simplify it too greatly. There are tonal bases within the sections of the music that ground the dissonance to an understandable and relatable point. Although the tonal base shifts considerably more than audiences would experience in an opera by Puccini or Mozart, there is a great deal of harmonic predictability based around a particular pitch, which is not too removed from expectations at the beginning of the twenty-first century. However, there is without doubt a shift away from traditional Western tonality, which Brown explains "constantly move[s] away from its tonal center in ways that cause the listener to anticipate the return, sooner or later, of that tonal center" (Brown 3).

Operatic adaptation requires a large amount of attention during a performance, both from the performers and the audience. A completely *unknowing* audience, in this case people that have never experienced an opera and have learnt about neither Shakespeare's *Macbeth* nor Koppel's *MACBETH*, must somehow absorb the visual elements of staging and costuming, the musical soundscape, the dramaturgy, the narrative components, and the somewhat "unrealistic" (Longo 196) action that defines the medium of opera. It could be argued that the intended staging for the opera would be less cognitively taxing than in older operatic conventions, where "the sequence of action and the structure of time are subverted by the necessities of music and singing" (Longo 196-197). It is possible that an audience member is familiar with opera as a medium, or with the story of *Macbeth*, or with the musical style, or a mixture of the above elements. However, if they are not familiar with Koppel's opera, then they are exposed to new cognitive requirements during their first hearing. As previously mentioned, audience members who are already familiar with Verdi's *MACBETH* are then subjected to intramedial and intertextual interference, and as a consequence, their expectation of what will happen within Koppel's adaptation is further complicated.

Koppel's music creates a powerful representation of *Macbeth*, and conforms to one general description given to his music: "the personal tone is unmistakable: an authentic melodic line coupled with an unspoiled rhythmic vitality" (Torres). As will be discussed, rhythm in Koppel's works is the key to his depiction of the fear, confusion, chaos, and sorrow, yet the dominance of melody never disappears from his writing.

The connections between literature and music in Koppel's *MACBETH*

The subject of literature as opera is largely one of compromise between the excellences of the written or acted word and the unique and separate splendor of musical expression. (Schmidgall *Lit. As Opera* 8)

The creative processes involved in the creation of the opera that were discussed in *Part IV – Chapter 1* have included neither the musical input of Koppel himself, nor how he represented narrative elements of Shakespeare's play. Although the macro-structure, conceptual framework, and general musical style are important, the ways in which Koppel represents the psychological aspects found in Shakespeare's work in musical form – and indeed the directions for *Macbeth* created by Reinhardt – also need consideration. What compositional techniques did Koppel use to portray the supernatural aspects? How did he create the tension necessary to accompany the theatrical components? Which methods did he employ to link the structure of the text with the structure of the music? This section focusses on the opening scenes of the opera in order to consider these questions.

Although these scenes are short in comparison to the overall play, they nevertheless highlight the various techniques that Koppel used to achieve his interpretative representations. Koppel draws on two main musical elements: harmony and rhythm. In the former, he stresses unusual intervals¹⁹⁶ in melodic lines and emphasises dissonance, and in the latter uses ambiguous metres¹⁹⁷ and rhythmic displacement. All of these technical aspects combined ensure that the music supports the characteristics of the Shakespearean themes in the first two scenes of the opera (1.1 and 1.3), the battle and the supernatural qualities of the three witches. Despite the different openings used for the different versions of Welles' film, which achieves different effects, Koppel's composition, by gradually introducing musical elements, in some ways connect to Davies' description of how Welles achieves this in his film adaptation:

With Welles's initial visuals, the film's compositional substance is introduced, but at once we are in a pre-sophisticated world of bare elements and stark juxtapositions rather than developed compositions. [...] [T]he pace of Welles's opening visuals promotes a cumulative sense of disturbance; of the flow of ideas being constantly interrupted and displaced by quick dissolves into unrelated images. (Davies 87)

Koppel's use of cluster chords and intensely dense harmonies presents the audience with a soundscape that is intentionally unsettled and unsettling, which confirms the belief that "[t]he use of dissonance is yet another device that exploits musically generated feelings such as order and disorder, stability and instability" (Brown 7).

¹⁹⁶ The term "*interval*" refers to the distance in pitch between two successive notes.

¹⁹⁷ The term "*metre*" relates to the grouping of notes within the beat of the music. A *duple* metre involves 2 notes per beat, a *triple* metre involves 3 notes per beat. In addition, a *complex* metre involves a mixture of duple and triple notes per beat, with triple beats taking longer in time than duple beats.

Instead of referencing atonality, it would be more accurate to refer to a shifting tonal base that Koppel formed with the use of cluster chords above. Although the harmonic structure is unsettling, it nevertheless maintains a foundation: a foundation that is constantly shifting to other musical locations. The negative connotation often associated with atonality is also an aspect that is not appropriate in this case, as the connections between the shifting bases are not completely unpredictable for an audience associated with Western music upbringing as are they appropriate for the scenes themselves. Combined with the relative harmonic instability, Koppel uses motivic intervals that are – certainly for that period of musical history – uncommon if not unusual, as will be discussed in detail in the following sections. The use of unusual intervals such as major sevenths and tritones within the witches' melodies further counters the expectations of audiences brought up in the Western music tradition and assists in highlighting the alterity of the characters' qualities. This is because “[t]he second and the seventh [intervals] are the least stable intervals within the scale, whereas the accidental intervals of the minor second and the so-called tritone tend to be the most dissonant intervals of all” (Brown 7). As will be shown, Koppel relies heavily on minor seconds and their octaval form of a minor ninth, as well as major sevenths and tritones in order to create the instability and dissonance needed to assist in the operatic portrayal of *Macbeth*.

In addition to the shifting harmonic techniques, Koppel also employs shifting metric techniques, by constantly altering the pulse between a duple time and triple time, where the pulse is divided by rhythms of two or three notes respectively, or these rhythmic divisions are themselves divided by two or three notes. Koppel often overlays them, although one always remains more dominant during any particular section in the music. Although the general effect is one of ambiguity at any one time, there is a common link between duple and triple patterns across the entire first scene. As well as the mixture of duple and triple patterns, Koppel occasionally doubles the length of the patterns, further undermining the stability of the rhythmic base. Despite this ambiguity, the interplay of and the switching between duple and triple metres and rhythms also provides structural contrast to the metronomic pulse that underlies the vast majority of the scene and further provides a clear delineation between the sections of Scene 1 and the unbroken link into Scene 2. The clear delineation is nevertheless partly shrouded by the overlapping of opposing patterns. The conductor of the premiere performance, Janos Kulka, most likely after discussions with Koppel, recognised the ambiguity in the composition's metre and conducted the introduction and opening scene in two beats per bar, highlighting it in the conductor's score with the indication to conduct it in ♩ time [‘cut’ common time: two conducted beats per bar] (Figure 92). This is despite the actual notation showing four beats per bar, containing triplet groupings, and having no direct notated relationship to either ‘common’ time or ‘cut common’ time.



Figure 92: Janos Kulka's pencilled-in 'cut common' time mark in *MACBETH* Scene 1, Full Score, p. 4

By conducting the opening in two, Kulka effectively merged the different metric patterns and the time signatures ($\frac{12}{8}$ and $\frac{4}{8}$) for the purpose of simplifying the music and providing clarity of conducting for the performers. This merging would provide an audience with no direct assistance with relation to perceiving the metric relationships. The breakdown of actual metre, time signature and rhythm is shown in Figure 93, which separates the conducted beats into the notated beats and similarly into the rhythmic patterns involved with semiquavers¹⁹⁸ in triple and duple groups and quavers¹⁹⁹ in triple groups.

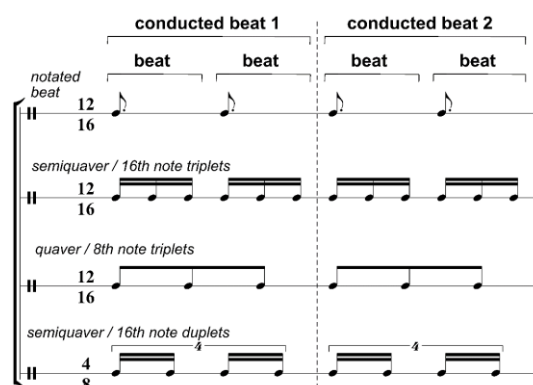


Figure 93: The main triplet and duplet patterns employed by Koppel in *MACBETH* Scene 1

As will be discussed, Koppel composed numerous musical subsections within Scene 1 and segregated the text from 1.1 into four subsections. Table 39 shows the breakdown of the metres used relevant to the structural elements, in terms of both musical composition and the original text²⁰⁰. As mentioned above, the musical structure and overall musical setting continues into Scene 2 (1.3 in Shakespeare's *Macbeth*), with a rapid and rising chromatic motif in triplets [MOTIF 4] from Scene 1 used to open Scene 2. This through-composed form joins the two scenes, with the complete omission Shakespeare's 1.2.

¹⁹⁸ Known in American English as "16th notes".

¹⁹⁹ Known in American English as "8th notes".

²⁰⁰ The analysis in Table 39 is based on the structure of the notation in the full score: there are discrepancies such as the positioning of rehearsal figures in the piano reduction.

	Notated section	Length (in bars)	Time signature	Dominant rhythmic/metric pattern
Scene 1	Prelude	6	$\frac{4}{8}$	no obvious rhythm/metre ²⁰¹
	Introduction to Scene 1	27	$\frac{12}{16}$	triple (semiquavers); 2 notated beats of triple (quavers)
	Rehearsal Figure 1 Curtain. An open space near Forres.	6; 1; 4	$\frac{12}{16}$; $\frac{9}{16}$; $\frac{12}{16}$	triple (semiquavers)
Text subsection 1	Rehearsal Figure 2 First Witch (1.1.1-2) [from 2 nd bar]	11	$\frac{12}{16}$	triple (semiquavers), some duple in background orchestration
	Rehearsal Figure 3 Second Witch (1.1.3-4)	8		triple (semiquavers), rare duple in background orchestration
	Third witch (1.1.5)	6		soloist in double-length triple (quavers), accompaniment in triple (semiquavers)
	orchestra	4		triple (semiquavers)
	orchestra	2		double-length triple (quavers)
Text subsection 2	Rehearsal Figure 4 orchestra	2	$\frac{12}{16}$	triple (semiquavers)
	Three witches separately (1.1.6a-7)	9		soloists mixed – primarily triple , but with some duple (quaver duplets) and double-length triple (quavers): accompaniment in triple (semiquavers)
	orchestra	3		triple (semiquavers); marimba duple 2 bars before 5
Text subsection 3	Rehearsal Figure 5 orchestra	2	$\frac{4}{8}$	duple (semiquavers)
	Three witches separately (1.1.8a-8c)	8		duple (semiquavers)
Text subsection 4	Three witches together (1.1.9-10 repeated)	10		duple (semiquavers); triple in flute accompaniment
Interlude	Rehearsal Figures 6 and 7 Interlude between Scenes 1 and 2: orchestra	6; 13+7 + 1 + 1 cut; 8; 3 cut; 4	$\frac{12}{16}$; $\frac{12}{16}$ $\frac{12}{16}$ $\frac{9}{16}$ $\frac{12}{16}$; $\frac{12}{16}$; $\frac{12}{16}$; $\frac{12}{16}$	triple (semiquavers) – though fanfare has ambiguous duple groupings for 2 bars
	Rehearsal Figure 8 orchestra	11	$\frac{12}{16}$	no obvious rhythm/metre
Scene 2	12 bars after 8 On the heath..	7	$\frac{12}{16}$	triple (semiquavers) with patches without any rhythm
	Third witch	13	$\frac{4}{8}$	duple (semiquavers)
	Rehearsal Figure 9 Three witches together	9		duple (semiquavers)
	Three witches together	4		no obvious rhythm/metre
	Three witches together	1		duple (semiquavers)
	Witches stand still	5		no obvious rhythm/metre

²⁰¹ The lack of rhythm and metre here is highlighted by Koppel's own markings, showing three different versions of time signature between the full score and the sketched page contained in the piano reduction.

Macbeth	2		duple (semiquavers)
orchestra	5		no obvious rhythm/metre
Banquo	2		duple (semiquavers)
Rehearsal Figure 10	2	$\frac{12}{16}$	triple (semiquavers)
orchestra			
Banquo	9	$\frac{12}{16}$ and $\frac{4}{8}$	triple (semiquavers), some duple (semiquavers)
Banquo	5	$\frac{4}{8}$	duple (semiquavers)
Banquo	4	$\frac{12}{16}$	triple (semiquavers)
Rehearsal Figure 11	6	$\frac{12}{16}$ and $\frac{4}{8}$	duple (semiquavers), some triple (semiquavers)
Macbeth			no obvious rhythm/metre
Three witches together	2		duple (semiquavers)
Three witches together	1		duple (semiquavers); triple (semiquavers) in the trumpets
Three witches together	3		triple (semiquavers)
Three witches together	5		triple (semiquavers)

Table 39: The relationship between text and musical structure to Rehearsal Figure 12 (Full Score)

What the analysis in Table 39 highlights is Koppel's ability to shroud the regularity of the – almost always – constant pulse through the mixture of duple and triple metres, with the occasional use of short non-rhythmic sections. As will be demonstrated throughout this chapter, this is a factor that Koppel uses throughout much of the opera, and is key to the representation of the supernatural as well as emotional content of many of the scenes.

The compositional process that Koppel used, as evidenced in Figure 94, involved numerous steps once the section of text and the psychological aspects had been studied. Firstly, he sketched a composition of the music while sitting at the piano. This sketched version was added to and amended while at the piano until it was able to be transferred onto the full score. Once seated at a table large enough to orchestrate onto sheets that are 50 centimetres wide and 50 centimetres tall, Koppel then proceeded to score the sketched version into the full score version in which the notation for each individual or group orchestral voice was included, as well as for the operatic soloists. A finalised excerpt from page 7 of the Full Score, which Koppel was orchestrating in Figure 95, can be seen in Figure 94.

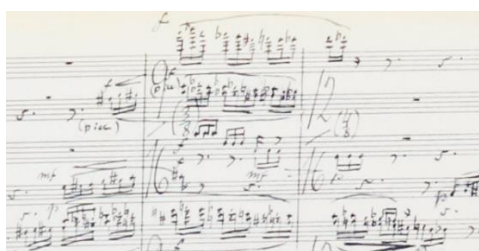


Figure 94: An excerpt from page 7 of the Full Score (see Figure 95 below).

In Figure 95, Koppel can be seen orchestrating from the composed sketch (small sheets under his left arm) onto the Full Score, with page 6 of Scene 1 underneath the sketched pages, and page 7 in the process of being orchestrated. In the background of Figure 95, another sketch page can be seen on the stand of the piano.

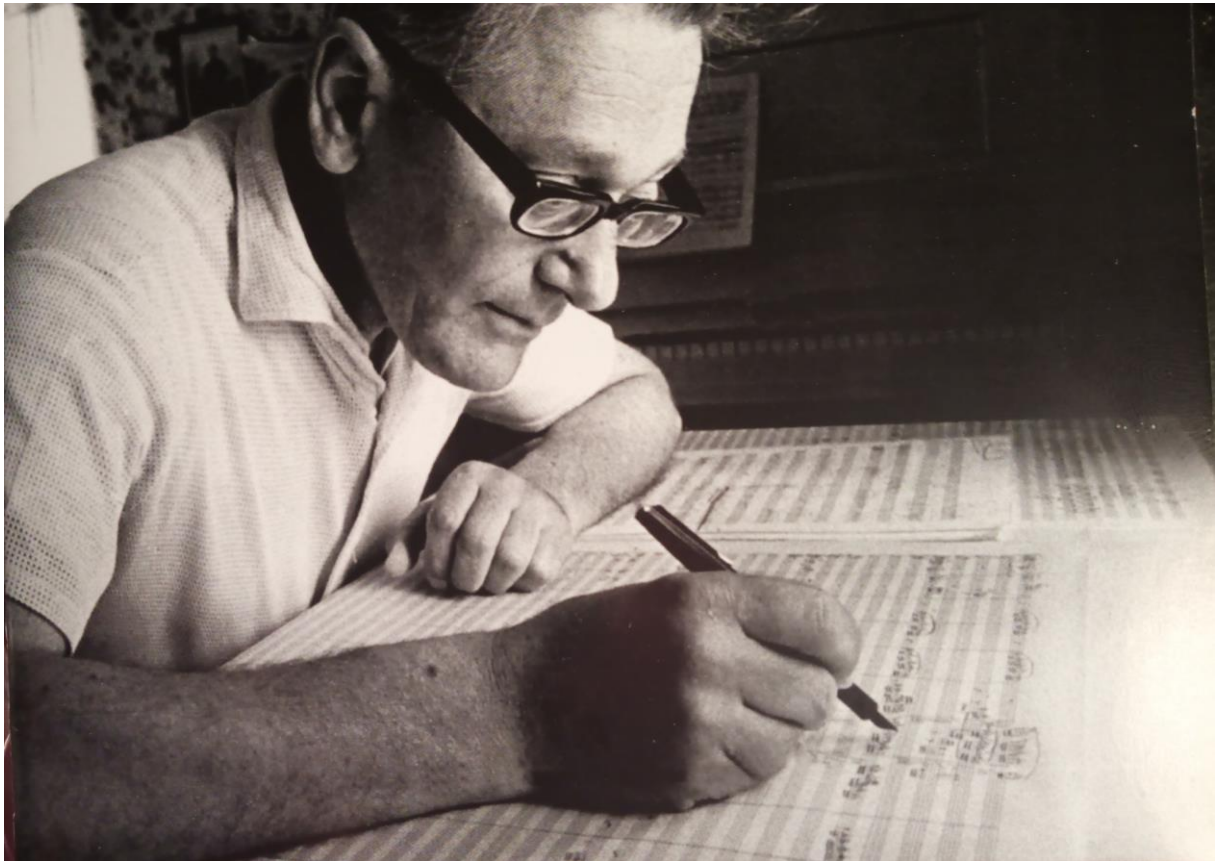


Figure 95: Herman D. Koppel orchestrating the woodwind parts on page 7 of the Full Score. (Photo provided by Lone Koppel from her personal collection)

The following subsections will provide a close reading of the opera, detailing elements that are introduced in each act and/or scene as well as discussing the repeated usage of some motifs throughout the opera. These sections contain a large amount of analysis with regard to the link between literature and music – the ‘original text’ and Koppel’s *Macbeth*. In addition, the issues related to the effects and results that the Danish translation has are documented, as well as the musicological issues within the opera itself.

Prelude and introduction

The introduction to the opera features a brief section orchestrated in the horns and low brass, with additional emphasis provided to the final note by the addition of bassoons and percussion. The six bars that comprise this short section involve the initial instances of two important motifs²⁰² in the opera: a falling minor third [MOTIF 1] and a falling major seventh interval [MOTIF 2], both of which are defined below in Excerpt 01. This is taken directly from the apparitions that appear in 4.1, a foreboding perhaps of what is to come later in the opera, and a glimpse of music that will not appear again until the apparitions. This introduction was added at some point following the completion of the full score, as can be evidenced by the smaller sheet of manuscript that has been taped in underneath the second page of contents (Full Score 3a). It is most likely that it occurred extremely late following the creation of the piano reduction, as the addition of a loose sheet of hastily-sketched manuscript with this section in the piano reduction would suggest. It is likely that Koppel understood the importance of the music he had created for the apparition scene, and elevated it to the opening of the opera. As with the cuts that were made to the opera following its completion, it is not possible to ascertain exactly when this addition was made or indeed why it was made. However, without this powerful introduction, the opera would begin with an opening that would be far less clear, both in volume and tonality, further separating Koppel's work from the audience's *knowing* operatic expectations.

This inserted opening not only announces the beginning of the opera, but also the importance of the two small motifs that assist in distinguishing Koppel's *MACBETH* from other operas, including the other *MACBETH* operas researched. MOTIF 1 is later used by the apparitions for the repetitive statement of "Macbeth" (4.1.70 and 4.1.76) in two separate instances (Excerpt 02), and is the first interval sung by Macbeth himself. Therefore, Koppel effectively begins the opera by stating "Macbeth!" in a loudly orchestrated voice and then by highlighting the importance of the major seventh [MOTIF 2] by elevating it to the overall introduction to the opera.

anacrusis to bar 1
Allegro vivace

MOTIF 1 MOTIF 2 MOTIF 2 (3 note)


ff Hns, Tbns, Tuba Bsns, Hns, Tbns, Tuba, Percussion p

(Full Score: p. 3a)

Excerpt 01: MOTIF 1, MOTIF 2, and MOTIF 2 (3 note)

²⁰² The term *motif* here will be used to define any repetitive element within the music, including in the case of Koppel's writing, two notes that are used for melodic purposes, despite the short nature of the motif in these cases. This term is separate to the term *leitmotif*, which will refer to a motif that is linked to a particular character or situation throughout the opera – a form which is not employed by Koppel in the opera.

12 bars after **218** and **220** (Full Score: pp. 228 and 230)



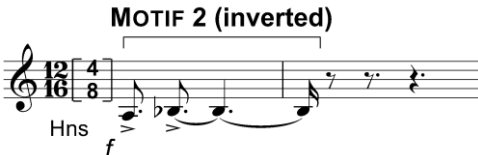
MOTIF 1 **MOTIF 1** **MOTIF 1**

Mac - beth! Mac - beth! Mac - beth!

Excerpt 02: MOTIF 1 (4.1.70 and 4.1.76)

MOTIF 2 plays a role in unsettling the music through the disruption of what, at least in traditional Western music, would be an expected melodic progression, certainly in the frequency in which it is used. The use of the major seventh interval in MOTIF 2 also later appears in inverted form as a rising semitone, a motif which occurs regularly throughout the opera, one occurrence of which appears in Excerpt 03.

5 bars before **1** (Full Score: p. 6)



MOTIF 2 (inverted)

Hns
f

Excerpt 03: Rising semitone motif

The opening introduction also provides a link between the music and Max Reinhardt's *Regiebuch zu Macbeth* (refer to *Part IV – Chapter 1*), which was used as a guide to understand and transfer the psychological meaning of the text into the musical composition, and was discussed earlier with relation to the performance of individual lines. Koppel also demonstrates this relationship to his ideas even before a line of text is performed, by following Reinhardt's instructions that: "When the curtain rises: distant drums and fanfares signify the battle in the background."²⁰³ The first part of this direction, the "distant drums", is represented throughout most of the scene. Koppel composed a drum-like rhythm which is orchestrated in multiple pitched instruments (Excerpt 04).

²⁰³ „Wenn der Vorhang sich öffnet: entfernte Trommeln und Fanfaren, die Schlacht im Hintergrund andeutend.“ Reinhardt, Max. *Regiebuch Zu Macbeth [Nach Der Schlegel-Tieck Übersetzung]*. edited by Manfred Grossmann, Basilius Presse, 1966. *Theater Unserer Zeit*.

bar 7 (Full Score: p. 4)

con sord
Tpt in Bb
pp
div, sul pont
Vln I
pp
div, sul pont
Vln II
pp
MOTIF 3
Vla
mf
Fls
p
Hp,
Low Stgs
p

Excerpt 04: Triplet motif

Within the drum-like rhythm of this introduction, an important triplet motif first appears at the opening of the scene: MOTIF 3 in the violas. MOTIF 3 returns in numerous instances throughout the scene, and is most important in its use in rising patterns that build tension leading into a new subsection [Excerpt 05] and its descending use to ease tension into newer subsections.

bar 15 (Full Score: pp. 4-5)

MOTIF 3
MOTIF 3
MOTIF 3
Vlns, div
mf cresc
MOTIF 3
MOTIF 3
MOTIF 3
MOTIF 3
Vlas
mf cresc

Excerpt 05: The ascending use of MOTIF 3

This motif is also used later in the opera, including directly after Macbeth delivers the lines:

Til pælen er jeg bunden, kan ej flygte, / Men må som bjørnen kæmpen. Hvem / Er ikke født af kvinde? Den har jeg / At frygte, ellers ingen (They have tied me to a stake; I cannot fly, / But bear-like I must fight the course. What's he / That was not born of woman? Such a one / Am I to fear, or none, 5.7.1-4).

It also returns during Young Siward's entrance prior to fighting Macbeth and dying (Full Score 312). This repetitive, ascending use builds the tension. Despite the fight scene being cut, this section was nevertheless held during the premiere season, leading instead to the fanfare interlude that announces the entrance of Macduff. During this building repetition of MOTIF 3, Koppel groups the triplets into what are effectively semiquaver sextuplets in a common time notated metre, suggesting that by this

stage in the composition of the opera, Koppel had already decided on the pulse version as described earlier relating to Janos Kulka’s pencilled conducting markings.²⁰⁴

The second aspect mentioned in Reinhardt’s notes, “fanfares”, initially appears as a call by the horns (Excerpt 06 – FANFARE 1) and an answer by the trumpets (Excerpt 07 – FANFARE 2). Both of these versions of the fanfare concept return at various times throughout Scene 1, including underneath the first witch’s opening lines. Both FANFARE 1 and FANFARE 2 contain instances of MOTIF 2 described in Excerpt 01 above, fusing the background of battle with the overall musical depiction of the witches.

bar 9 (Full Score: p. 4)

Hns *mf*

Tbns *mf* *p*

Excerpt 06: FANFARE 1

bar 21 (Full Score: p. 5)

div *f*

Tpts in Bb

f *p*

tritone

Excerpt 07: Trumpet fanfare response to FANFARE 1

Koppel also employs FANFARE 2 underneath the soloists in a fugal version, as shown in Excerpt 08. The orchestration of this fugal version of the response within the low woodwinds allows the fanfare to maintain its ‘distant’ characteristic and minimises the impact with regard to loudness in comparison to the initial instance performed by the trumpets. This fugal version, where the second voice is repeated at a different pitch following a short delay, is considerably more difficult to discern than the previous statement owing to the lower pitch of the motif, the timbre, and the quieter orchestration.

²⁰⁴ If Koppel had decided on this change during the composition of the opera, it would be unlikely that, with such a physically large score, he would choose to – literally – rewrite all of the sections that would be affected by rescoring the rhythms across numerous pages of the score.

four bars after **3** (Full Score: p. 9)

MOTIF 2
(retrograde)

MOTIF 2
(retrograde)

tritone

tritone

f

f

f

f

Bsn

Bs Cl

Excerpt 08: Fanfare 2 in the low woodwind fugal form

Act I, Scenes 1 and 2 (Shakespeare 1.1 and 1.3)

The harmonic and motivic setting that Koppel established in the Prelude and Introduction to Scene 1 continues into the scene itself. The additional emphasis that he gives to the displacement of metre assists in unsettling the audience and maintaining the atmosphere of alterity that he has set. Koppel achieves this displacement through two techniques. Firstly, he accents beats outside the standard position of the metric pulse. He also shifts the notated two-beat metre into what is in reality longer three-beat patterns (Excerpt 09). During the latter techniques, Koppel introduces MOTIF 4 for the first time: a motif which attains prominence at the beginning and end of Scene 2.

3 bars after **1** (Full Score: p. 7)

3 conducted beats

3 conducted beats

MOTIF 4

MOTIF 4

Wwd

Excerpt 09: First instance of MOTIF 4 and the 3 conducted-beat pattern in Scene 1

In Scene 2, Koppel uses MOTIF 4 to signal the entrance of each witch, with the 3 conducted-beat pattern from Scene 1 used to vary the entrance of the third witch (Excerpt 10).

12 bars after **8** (Full Score: p. 18)

MOTIF 4

MOTIF 4

Stgs *f* *p*

Excerpt 10: MOTIF 6 in the opening of Scene 1

As discussed earlier in *Part III – Chapter 3*, the text to Østerberg’s translation of *Macbeth* is very close to the structure of the ‘original’ text, with only a few minor changes to the form and meaning, as well as additional rhymes in the opening scene. Koppel follows this translation closely in its structure, and separates the text from Scene 1 into four subsections: lines 1 to 5, lines 6a to 7, lines 8a to 8c, and lines 9 to 10. The first and second witches’ melodies contain MOTIF 2. However, the third witch breaks from this pair with relation to both rhythm and melody. The melody is more flowing and involves the doubling in length of the triplet rhythm while the original triplets continue in the accompaniment. The first lines of text (1.1.1-5) form the first subsection of the scene (Excerpt 11).

1 bar after 2 (Full Score: pp. 8-10)

First Witch (soprano) *f*

Når skal vi vel ses på ny

Second Witch (alto)

i lyn - ild, regn og tor-den-gny?

f

Når det

vil de brus er svun-det sla - get bå - de tabt og vun - det

Excerpt 11: The first witch (1.1.1-2), the second witch (1.1.3-4)

Koppel develops the triplet form in numerous ways. In addition to the normal-length (semiquaver) pattern during the representation of the battle described above in Excerpt 04, Koppel’s melody for the third witch is also effectively a three-beat pattern [MOTIF 5] placed above a changed two-beat accompaniment (Excerpt 12).

9 bars after 3 (Full Score: p. 10)

3 conducted beats **3 conducted beats**

MOTIF 5 **MOTIF 5**

Third Witch (soprano) *f*

Ja Ja

2 conducted beats **2 conducted beats** **2 conducted beats**

Wwd *f*

Excerpt 12: The third witch (1.1.5)

Before the second subsection of lines in Scene 1 occurs, Koppel breaks the rhythmic base suddenly by scoring the orchestral accompaniment with a double-length triplet just introduced by the third witch (Excerpt 13).

3 bars before 4 (Full Score: p. 11)

normal-length triplets **normal-length triplets**

Upper Wwd *ff* *ff*

Hns in F *ff* *ff*

Tpts in Bb *ff* *ff*

double-length triplets **double-length triplets**

Low Brass *ff* *p*

MOTIF 3 **MOTIF 3**

Upper Stgs *ff* *ff*

Excerpt 13: The chord in double-length triplet

The first witch then returns with the same melodic opening that she had previously sung. However, on this repetition it is shortened and then not repeated an octave lower by the second witch, who instead introduces a new duplet rhythm which forms part of the third witch's response. The rhythmic and melodic partnership here perhaps demonstrates a difference between the original Shakespearean text and the translation. In the original text, there is no rhymed pair that links the second and third witches at this point. Koppel obviously recognised the pairing of lines 6b and 7 in the Danish translation, where the rhyme has been added (*øde / møde*), and musically linked the two performers. Additionally, the

change to the position of “Macbeth” within the line of text (1.1.7), as mentioned in *Part III – Chapter 3*, creates a different effect to that of the original, where the person being met is emphasised, not the action presented by the rhyme at the end of the line in the Østerberg translation. In English adaptations, the name “Macbeth” at the end of the line is often repeated, as is the case in Antonio Bibalo’s opera, which is the subject of the second case study. This entire second subsection (Excerpt 14) underlines the possibilities that a translated text provides, whether that be in meaning or in the way that the adaptation/composition phase forms a different combination within the structure: in this case, the grouping of performers based upon a different translated rhyming structure.

3 bars after 4 (Full Score: pp. 11-12)

First Witch (soprano) *mf* Hvor på lag? (MOTIF 2)

Second Witch (alto) *mf* På he - den ø - de duplet

Third Witch (soprano) Og Mac - duplet

Third Witch (soprano) MOTIF 4 duplet MOTIF 4

beth vi der skal mø - - - de.

Excerpt 14: The second subsection of Scene 1 (1.1.6a-7)

The third and fourth subsections of text involve a musical shift. Although the tempo does not change, the triplet metre vanishes, and Koppel implements a duple semiquaver rhythm in the accompaniment (Excerpt 15).

5 (Full Score: p. 12)

Low Wwd *p* *f* *p* *f*

Excerpt 15: The metric change to duple time prior to lines 1.1.8a-8c

3 bars after **5** **MOTIF 6** (Full Score: pp. 12-13)

First Witch (soprano) minor 6th minor 6th

Jeg kom - - - mer, Mur - re. **MOTIF 6**

Second Witch (alto) minor 6th minor 6th

Skrup - tuds kal - der.

Third Witch (soprano)

Straks! Straks! Straks!

Excerpt 16: The third subsection of Scene 1 (1.1.8a-8c)

In this third subsection (Excerpt 16), Koppel once again musically pairs the first and second witches through the use of rising and falling minor sixth intervals (MOTIF 6). He then splits what in the Danish translation is the second witch's line ["Skruptuds kalder. – Straks!" (1.1.8b and 8c)] to include the third witch repeating the final word three times. Excluding the repetition, this is the same division of lines as it occurs in the original English text [Witch 2: "Paddock calls." / Witch 3: "Anon." (1.1.8b-8c)]. This is an interesting twist in the adaptation process, as neither the German translation used by Koppel to assist with the composition of the work nor the translation used for the re-composition of the melodic lines into German has this division to the third witch.²⁰⁵ Only the English original text has this, suggesting that Koppel had indeed studied the English text in addition to the German and Danish translations. It would be unlikely that Koppel paired the first two witches musically yet not the third witch were it not for some relationship to the original English text.

In the fourth subsection (Excerpt 17), the witches perform together with a somewhat stilted rhythm during the two lines: "Smukt er stygt, og stygt er smugt; i kvalm og tåge går vor flugt" ("Fair is foul, and foul is fair / Hover through the fog and filthy air", 1.1.9-10). In between the witches' duple-based rhythm, Koppel intentionally interrupts the sense of rhythmic stability through the use of a rapid triplet pattern in the flutes. This rapid pattern is also used in a parallel dissonant major seventh interval, further building the qualities of alterity that have been developed to this point.

²⁰⁵ Both translations are provided and discussed in *Part III – Chapter 3*.

9 bars after 5

(Full Score: p. 13)



Flute *p*

Three witches *mf* Smukt er stygt, og stygt er smukt; i kvalm og tå - ge går vor flugt.

Excerpt 17: The fourth subsection of Scene 1 (1.1.9-10)

After the repetition of the final lines of the scene, Koppel heralds the end of the text with a brutal brass fanfare [FANFARE 3] as the opening of the interlude that accompanies the scene change, allowing the interlude to gradually die down prior to the witches reappearing on the stage to begin the third scene from the original text. The rhythm which Koppel presents is once again ambiguous in its use of double and triple groupings (Excerpt 18).

6 Total darkness on stage

(Full Score: p. 14)



Wwd *ff*

Hns in F *ff*

Tpts in Bb *ff*

Low Wwd, Brass, Stgs (+ Perc) *ff*

Excerpt 18: FANFARE 3²⁰⁶ at the completion of text in Scene 1

Another example of the otherness portrayed by the major seventh interval occurs in a repetitive form in the horn line (Excerpt 19) in Scene 2. The motif is accompanied by a quiet drum rhythm as the witches prepare prior to Macbeth and Banquo's arrival. The martial accompaniment once again links the battle elements with the witches, as occurred earlier.

²⁰⁶ This fanfare is reused and developed by Koppel later in the opera in the interlude that occurs following the fight scene between Macbeth and Young Siward (Shakespeare 5.7.5-12, Full Score: 317-319). Though the fight scene was cut from the premiere performances, the interlude that was based on this fanfare remained in the performance, perhaps highlighting the importance that Koppel placed on this section of music.

3 bars before 9 (Full Score: p. 19)

Horn II *p*

Excerpt 19: MOTIF 2, the falling major seventh motif

Koppel once again employs unusual intervals to depict alterity by the use of a falling tritone within a short melodic motif [MOTIF 7] which is initially performed by a trumpet (Excerpt 20), which is then repeated again in accompaniment (Excerpt 21). This interval is one of the unusual intervals employed throughout the opera: unusual for the expectations of an audience trained in Western music.

11 (Full Score: p. 23)

Horns in F *mf* *p*

Tpts in Bb *f* *p*

Tbns *mf* *p*

Bs Tbn Tuba *f* *p*

Excerpt 20: MOTIF 7 – the falling tritone motif

4 bars before 80 (Full Score: p. 97)

Tpts in Bb *mf*

Bsns, Tuba *mf*

Macbeth *f*

at de har gjort det?__

Excerpt 21: MOTIF 7 used as accompaniment

One of the few examples of Koppel's writing that is evident in any of the other *MACBETH* operas, in this case Bibalo's *MACBETH*, which is analysed in *Part IV – Chapter 4* appears in his treatment of the witches. Koppel uses another motif in parts of Act 1 which is a sustained rising semitone passage, MOTIF 8. The initial occurrence of MOTIF 8 involves the witches and trumpets with overlapping sustained notes that ascend over each other (Excerpt 22). In the first instance, Koppel splits the text across each individual note of the three witches' motif: the eight syllables of "Så luk-ker sig vor tryl-le-treds" ("the charm's wound up", 1.3.37) are divided into the eight notes of the rising motif.²⁰⁷

10 bars after 9 (Full Score: p. 20)

First Witch *p*
ker - tryl

Second Witch *p*
Så sig le

Third Witch *p*
luk - vor treds.

Excerpt 22: The sustained rising semitones of MOTIF 8

MOTIF 8 returns again as the witches address Macbeth and announce his current and future titles (Excerpt 23). The tension that the sustained dissonance builds leads directly into "Hil, være du, Macbeth! Than af Glamis, Than af Cawdor, Vordende konge..." ("...hail to thee, Thane of Glamis / ...Thane of Cawdor / ...king hereafter", from 1.3.48-50). As with the first instance of MOTIF 8, this is one of the few options that the original text from *Macbeth* permits *MACBETH* operas to adapt for ensemble or group singing, as described in *Part III – Chapter 1*. In these cases, Koppel creates unusual usage of the text by splitting it in the former excerpt and then by overlapping the text in the latter.

10 bars after 9 (Full Score: p. 23)

First Witch *f*
Hil være du, Mac-beth! Than af Glam-is!

Second Witch *f*
Hil være du, Mac-beth! vor den-de kon-ge!

Third Witch *f*
Hil være du, Mac-beth! Than af Caw-dor!

Excerpt 23: The return of MOTIF 8

²⁰⁷ A discussion of this effect was provided in *Part II – Chapter 1* in the discussion of text in notated musical forms.

An entire section of the scene (Full Score 27-29) is another example of the triple and duple metre mixture and occurs as Macbeth contemplates the news that the witches delivered, beginning at “Ved Sinels død” (“By [S]/Finel’s death”, 1.3.71). As the orchestral accompaniment continues in a rapid triplet semiquaver pattern, Macbeth performs his lines in duplet semiquavers (Excerpt 24). It is unlikely that Koppel intended Macbeth’s slower rhythm to represent Reinhardt’s “he then speaks calmly and in control”²⁰⁸ (21, IX), as the tempo provides no indication of calmness. However, the moderate volume that Macbeth is given by Koppel suggests that he was at least aware of this direction.

4 bars after **16** (Full Score: p. 27)

The musical score for Excerpt 24 is presented in four staves. The top staff is for Trombones in Bb, playing a continuous triplet semiquaver pattern. The second staff is for Macbeth's voice, featuring a duplet semiquaver pattern with the lyrics: "Ved Sin - els død er jeg vel Than af Gla - mis". The third staff is for Violins, and the bottom staff is for Bass. The score includes dynamic markings such as *p* and *mf*, and various rhythmic notations including triplets and duplets.

Excerpt 24: Introduction to Act 1, Scene 3.

One example of Koppel’s constant editing of his own work can be seen in Excerpt 25 and the subsequent image from the extensive notes relating to cuts and changes to the orchestration that Koppel made. In this excerpt, Koppel deletes the descending second trombone line (third lowest staff), simply marking “væk” (delete) (Figure 96): a change that increases the effect of the anti-climax that the descending passage creates by minimising the intensity that low brass add.

²⁰⁸ „spricht dann ruhig und beherrscht“

2 bars after **19** (Full Score: p. 31)

Upper Wwd
Lower Wwd
Brass
Upper Stgs
Lower Stgs

Excerpt 25: Introduction to Act 1, Scene 3.

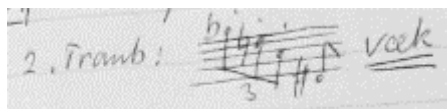


Figure 96: A marking in the separate manuscript contained within the piano reduction showing an orchestration change to Ross's entrance in Scene 1. Handwritten by Herman D. Koppel.

Act I, Scenes 3 and 4 (Shakespeare 1.4 and 1.5)

The introduction of Act 1, Scene 3 marks a change in the musical setting of the opera, as Koppel breaks away from the witches and to Duncan and the theme of royalty. In FANFARE 4, which is orchestrated for trumpets, bells, piano, and other percussion, Koppel uses MOTIF 9, a key motif which returns at various points throughout the opera, including the exit music at the end of the same scene. The powerful, majestic-style theme is orchestrated for all trumpets, keyboard instruments, bells in unison octaves, though some rapid rhythmic accentuation occurs in the piano and glockenspiel parts. When the rhythmic changes in those parts is removed, the theme (Excerpt 26) is simple in structure and rhythm. However, the harmonic shifting that occurs results in a theme that is completely individual and recognisable in each repetition. Reinhardt suggests a “long trumpet flourish” at this point (26, VII).²⁰⁹ The theme also includes a retrograde extension of the major seventh interval that occurs in MOTIF 2 (Excerpt 01) with the addition of an intermediate interval similar to the previous occurrence in Scene 1 (Excerpt 11).

²⁰⁹ “Langer Trompetenstoß”, but adds with the addition of bagpipes (“mit Dudelsackpfeifen”), not used by Koppel.

MOTIF 9

(Full Score: p. 44)

Tpts in Bb *f*

Excerpt 26: MOTIF 9 - Introduction to Act 1, Scene 3.

MOTIF 9 is also sung by Macbeth in his soliloquy following the announcement of Malcolm as the heir apparent (Excerpt 27). Koppel changed the text that Østerberg had created in his translation of “For in my way it lies” (1.4.50) at some point after he had already composed using Østerberg’s version (15), which was scribbled out and replaced in both scores (Figure 97). Possibly because of a change made to the opening two notes of the fanfare which are joined, which were separated in the original text that he changed, Koppel needed to reduce the number of syllables and maintain both the scan of the melody and most likely the length of the opening trumpet line. Interestingly, despite Koppel’s meticulous notes regarding changes and cuts, the trombone accompaniment has not been altered and contains the additional ‘syllable’ at the beginning of the excerpt.

Østerberg: Thi det er i min Vej. (Original text: “For in my way it lies.” 1.4.50)

Koppel: Thi det hæmmer mig. (‘Reverse’ translation: “For that hampers me.”)

7 bars after **35** (Full Score: p. 51)

Macbeth

mf

(Thi det er i min Vej.)
Thi det hæmmer mig.

Excerpt 27: The altered text to Macbeth’s MOTIF 9.

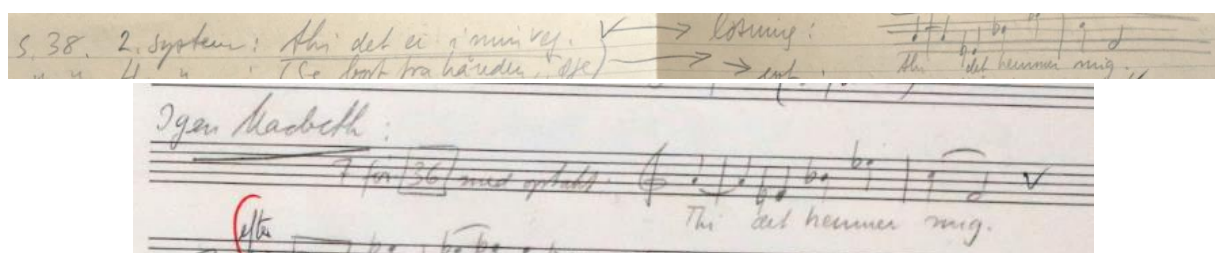


Figure 97: Introduction to Act 1, Scene 3.

At the end of Scene 3, Koppel provides contrast to the theme by orchestrating only the trumpets with the theme, and setting another rhythmic ostinato that breaks from the notated time signature once again in a three-beat ostinato (Excerpt 28). The accompanying rhythm, which is a straight duple form of the accompaniment that is also evident while Lady Macbeth reads the letter in the scene that follows (see Excerpt 29), provides a more rhythmic, driving energy underneath the theme as the audience awaits the beginning of Scene 4 (Shakespeare 1.5) and Lady Macbeth's first appearance.

37 Tempo Primo (Full Score: p. 54)

M9

Tpts in Bb *f*

Piano/Glk

Excerpt 28: The mixture of MOTIF 9 with MOTIF 1 and MOTIF 2.

The $\frac{6}{8}$ version of the ostinato pattern appears frequently in the accompaniment and involves the minor third from MOTIF 1 and the major seventh from MOTIF 2. Just after Rehearsal Figure 38, Koppel uses the rising semitone motif to build into this lilting version of the ostinato that accompanies Lady Macbeth as she reads of the witches' prophecies (Excerpt 29).

5 bars after 38 (Full Score: p. 56)

3 beats 3 beats

Violas *p*

Excerpt 29: Act 1, Scene 4

This ostinato pattern returns in yet another version in a slower double-length form as the musical backdrop to the first dialogue between Lady Macbeth and Macbeth (Excerpt 30).

2 bars after 51 (Full Score: p. 74)

M1 M1 M2

Violas *p*

Excerpt 30: Act 1, Scene 4.

The importance of the major seventh interval within Koppel's setting of *Macbeth* is further highlighted by two additional occurrences such as, firstly, a retrograde²¹⁰ form in Duncan's line "Åh, ædle frænde" ("O worthiest cousin" 1.4.14b) (Excerpt 31):

8 bars before 30 (Full Score: p. 45)
 Duncan

M2 (retro)

f

Aah, æd - le fræn - de

Excerpt 31: Act 1, Scene 3.

and secondly, a line scored for clarinet and bass clarinet (Excerpt 32) which contains all three of the intervals that Koppel uses to depict the alterity of the characters in earlier passages: the minor third [M1], the major seventh [M2], and the tritone. These motifs, unlike the Wagnerian usage of leitmotif, are linked to the general thematic setting but not to individual characters.

30 (Full Score: p. 46)

M2 **M2** **M1 (retro)** **M2**

Clarinet *p*
 in Bb

tritone

Excerpt 32: Act 1, Scene 3.

Koppel presented his biographer with an important clue as to not only the structural and textual connections in *MACBETH*, but the structural and conceptual links that Koppel demonstrates, as he links Duncan and Malcolm thematically at almost opposite ends of the opera. As he discussed in his biography:

At the end of the opera, I have Malcolm sing to his followers with the same motif as his father, Duncan, who earlier sings to the returning, victorious, warriors. This gives the music and the text a cyclical suggestion: nothing ends, man does not change, everything repeats itself. (Koppel, reported in Behrendt: 109)

The two moments to which Koppel is referring are the speech where Duncan announces Malcolm as heir to the throne (from "Sons, kinsmen, thanes, / And you whose places are the nearest", 1.4.35-36) shown in Excerpt 33, and Malcolm's speech at the end of the play (from "We shall not spend a large expense of time" 5.9.26) as shown in Excerpt 34. Although some of Malcolm's speech was cut after the composition was completed, Koppel's quote suggests that he viewed this link as something important, and perhaps the cut made for the premiere was not one that he intended to be permanent. Without this "cyclical" link, the effect of the composition is perhaps weakened.

²¹⁰ The term *retrograde* is the musicology equivalent of *inverted*, where it is performed in reverse.

11 bars after **32** (Full Score: pp. 48-49)

Duncan

MOTIF 10

mf

Søn ner, fræn der tha - ner, og I hvis plads er næst

Excerpt 33: Motif 10 in Act 1, Scene 3 (Shakespeare 1.4).

11 bars after **303** (Full Score: pp. 338-339)

Malcolm

MOTIF 10

mf

Ret me - gen tid skal ik - ke of - res fir jeg til hver i - sær be - ta - ler den gæld

Excerpt 34: Motif 10 in Act 5, Scene 4 (Shakespeare 5.9).

The melody that Malcolm sings is altered in rhythm due to the number of syllables of text at the respective moments, and some octaves are adjusted due to the difference between Duncan as a bass and Malcolm as a tenor. However, the intervals that form the changes within their respective melodies are unmistakably the same. Of more importance to adaptation theory, however, is the amendment made to the motif's pitches when sung by Malcolm in order to give him more presence. At the premiere, Malcolm, performed by Ole Jensen, raised the first three notes by one octave, and then did the same later to bring the tenor into a more heroic range for "...-sær betaler den...". If the representation of Macbeth as an ambiguous baritone or even bass, as discussed in *Part II – Chapter 2*, leaves an audience with knowledge of operatic conventions uncertain as to whether Macbeth is actually a hero, then the raising of Malcolm's range must surely increase his heroic qualities.

Following the reading of the letter (1.5.1-14), Lady Macbeth cannot contain her excitement about Macbeth's news. Koppel portrays her excitement by using a rising semitone motif (Full Score 60) to lead into a rapid presto tempo in which Lady Macbeth soliloquises about Macbeth's abilities to carry out a deed such as that required to become king (Rehearsal Figure 41, Full Score 60). In this section, she is linked to the First Witch's opening line (see Excerpt 11) through the use of the falling major seventh with added arpeggiated intervals from high B \flat down to middle B \natural (Excerpt 35) as she sings "Hvad du attrår varmt, / Attrår du fromt; vil ikke spille falsk, / Dog vinde uden Ret" ("What thou wouldst highly, / That wouldst thou holily; wouldst not play false, / And yet wouldst wrongly win", 1.5.20-22).

12 bars before **43**

Lady Macbeth

(Full Score: pp. 63-64)

mf

Hvad du at - trår varmt, at - trår du fromt;

tritone

(MOTIF 2)

vil ik - ke spil - le falsk, Dog vin - - de u - den ret;

Excerpt 35: Introduction to Act 1, Scene 3 (Shakespeare 1.5).

Act 1, Scene 5 (Shakespeare 1.6)

At the beginning of the scene, as Duncan arrives at Macbeth's castle at Dunsinane, Koppel orchestrates – as closely as possible through the use of oboes – gentle, distant bagpipes in MOTIF 11 (Excerpt 36). A short answer to the oboes' call is given by a trumpet, which adds to the distance of the bagpipes by following the tradition in symphonic orchestration of using a trumpet with straight mute to portray distant fanfares. These subtle orchestration techniques in combination with the incredibly gentle harmonic progressions, despite the dissonant cluster chords that are applied, readily allows associations of Duncan's gentleness as he is later described:

Besides, this Duncan

Hath borne his faculties so meek, hath been

So clear in his great office, that his virtues

Will plead like angels, trumpet-tongued (1.7.16-19 Arden 165).

55 **MOTIF 11** (Full Score: p. 77)

p

Oboes

Excerpt 36: MOTIF 11 – Introduction to Act 1, Scene 5 (Shakespeare 1.6).

This excerpt is, despite the dissonance of the accompanying string voices, a moment of normal breath amongst the tense psychological states that Shakespeare and Koppel create through which the audience is supposed to be horrified by the events of the story.

Act 2 Scenes 1 to 3 (Shakespeare 2.1, 2.2, and 2.3)

There are some important new musical components contained in the short Act 2 in addition to some re-composed motifs and elements originally stated in Act 1. The two scenes of Act 2 contain numerous references to motifs that initially appeared in Act 1. However, there are specific musical examples that further demonstrate Koppel's affinity with the text and the reference texts that he used during composition and the collaborative changes that were subsequently made, such as MOTIF 12 and MOTIF 13. The Introduction to Scene 1 contains a $\frac{5}{4}$ section with a slow moving chromatic pattern underneath an eerie high-pitched note held by violins that is then expanded in orchestration (Excerpt 37). This introductory section depicts the night as Banquo talks with Fleance prior to Macbeth murdering Duncan. The section involving Banquo and Fleance that opens the scene itself was one of those cut before the premiere.

(Full Score: p. 101)

83

stopped

p

p

p

p

Excerpt 37: MOTIF 12 – Introduction to Act 2, Scene 1 (Shakespeare 2.1).

MOTIF 13 contains a falling semitone and occurs on numerous occasions throughout the opera, including directly before the beginning of Scene 2 (Excerpt 38), where the clarinets perform it in parallel minor sevenths.

(Full Score: p. 19)

6 bars after 8

MOTIF 13

MOTIF 13

Cl in Bb

f

p

Low Stgs

mf

p

Excerpt 38: MOTIF 13 – Interlude before Act 2, Scene 1 (Shakespeare 2.1).

Directly before the start of Act 2, Scene 3, a rhythmically-altered form of MOTIF 13 appears again. Instead of parallel harmony, Koppel composed the dissonant harmonies with the addition of counterpoint²¹¹ in the bass trombone line (Excerpt 39). This motif was also used by Koppel to begin a fanfare through which the audience is made aware of Macbeth’s conscience commencing to affect him following the end of Scene 2.2.

3 bars before **107** (Full Score: p. 122)

Tpts in Bb *pp* *ppp*

Tbns *pp* *ppp*

Excerpt 39: MOTIF 13 - Act 2, Scene 1 (Shakespeare 2.1).

In composing the part of Scene 2.1 where the timing of the murder is announced to Macbeth through the sounding of a bell (Excerpt 40), Koppel orchestrated a distant glockenspiel to cue his procession to Duncan’s chamber, with lower woodwind and violins creating additional tension by adding three notes of a semitone cluster chord as he sings 2.1.62.

6 bars after **91** (Full Score: p. 107)

Bs Cl. *fz* *fz* *p*

Bsns *fz* *p*

Glock *f* *p* *mf*

Macbeth *f* *p* *mf*

Jeg går og det er fuld bragt. Klok-ken kal-der.

Excerpt 40: Act 2, Scene 2 (Shakespeare 2.2).

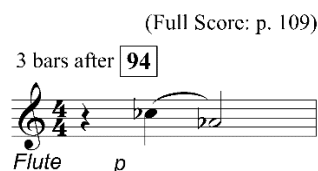
²¹¹ The term *counterpoint* refers to intervals moving at the same time but in opposite directions. For example, the upper trumpet voice moves downwards while the lowest trombone voice moves upwards.

Koppel links the music with Reinhardt's psychological directions by giving Macbeth three different dynamics²¹² in this line of text²¹³: "Jeg går" ("I go") is sung loudly; "og det er fuldbragt" ("and it is done") is performed quietly and hesitantly; and "Klokken kalder" ("the bell invites me") is sung at a moderate loudness. All three dynamic levels portray a level of uncertainty in Macbeth's intentions and determination to commit the crime. This once again links to the instructions about Macbeth's emotional state and the style and timing of the bell documented in Reinhardt's notes:

A hard, quiet bell rings from above right, ...: he is startled, stares towards the windows, wipes the sweat from his throat with the fist that is holding the dagger, forces himself to be determined, straightens und speaks quietly.²¹⁴

The bell sounds once more (briefly): he nods und speaks in a dull tone.²¹⁵

In 2.2, Koppel scored two repetitions of MOTIF 1 – the "Macbeth" motif that announces the opening of the opera – in the accompaniment to the sections during and following Duncan's murder. The first repetition occurs while Lady Macbeth is pondering whether Macbeth has already killed Duncan, with a flute stating the motif in the background underneath her text (Excerpt 41).



Excerpt 41: MOTIF 1 first repetition. Act 2, Scene 2 (Shakespeare 2.2).

The second of these repetitions was composed in the upper strings, and repeats the motif (Excerpt 42, photographed in Figure 98). However, Koppel removed this repetition in the violins before the premiere. While conjecture as to why this occurred is difficult to justify, the positioning of this now-removed motif within the text is worth mentioning because it was originally composed while Macbeth states "Macbeth does murder sleep" (2.2.36). That Koppel decided to remove the motif form of "Macbeth" from the music accompanying Macbeth could perhaps be interpreted as a signal that Koppel viewed this moment as when Macbeth stops being 'heroic Macbeth' and becomes 'murderer Macbeth', as described in Kott's writing on *Macbeth* which was previously discussed in *Part IV – Chapter 1*. It is this textual section where the descent into madness begins for Macbeth as the reality of his deed begin to change his psyche. Koppel does, however, maintain the rapid triplets of MOTIF 4 underneath this section.

²¹² *dynamic*: the musical term for volume or loudness of performance. For example, these are shown as *f* (forte) for loudly, *p* (piano) for quietly, or with many other forms such as "*mf*" (mezzo-forte) for moderately loud.

²¹³ In the premiere, Niels Møller did not actually sing the dynamic contrasts in the way Koppel intended.

²¹⁴ „Rechts oben tönt eine harte, leise Glocke, ..., er fährt erschrocken zusammen, starrt nach den Fenstern, wischt sich mit dem Faust, in der er den Dolch hält, den Schweiß vom Hals, dann giebt er sich einen Ruck richtet sich auf u. sagt ruhig“ (Reinhardt, XII, 48-49).

²¹⁵ „Die Glocke klingt abermals an (kurz), er nickt u. spricht dumpf“ (Reinhardt, XIII, 48-49).

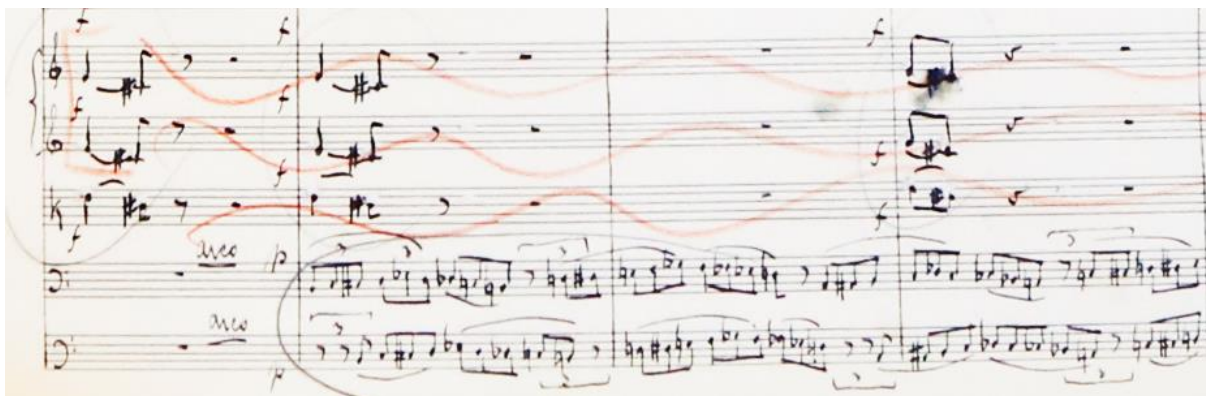


Figure 98: Excerpt 42 – MOTIF 1 second repetition. Act 2, Scene 2 (Shakespeare 2.2).

Later in the scene, after Lady Macbeth has left with the daggers to return them to the scene of the crime and Macbeth has already heard knocking, the quintuplet pattern that is used in Act 1 returns as Lady Macbeth returns (Excerpt 43). In this repetition of the quintuplet pattern, which in itself is already rhythmically unstable, Koppel further destabilises the music and adds tension by creating polyrhythms through simultaneous quadruplet-based patterns before and between the two parts of Lady Macbeth's line "My hands are of your colour, but I shame to wear a heart so white" (2.2.65-66). The effect is that of agitation: the agitation of murderers early in the process of covering up their crime and very early in the process of guilt consuming them.

(Full Score: p. 119)

104 *f*

Lady Macbeth

Min hånd er rød som din

Upper Stgs *f*

Lower Stgs *f*

Excerpt 43: Act 2, Scene 2 (Shakespeare 2.2).

Later, in Act 2, Scene 3, the three-beat pattern that was used underneath the trumpet fanfare at the beginning of Act 1, Scene 3 returns. As Macduff screams out "Ring med klokken!" ("Ring the bell!") (2.3.80), the three-beat pattern forms a more furious, panicked musical setting than in its first occurrence (Excerpt 44) which continues in gradually altered pitches as Lady Macbeth enters and demands to know why there is such alarm, the first part of pretence about Duncan's death.

(Full Score: pp. 134-135)

Hp, Bells *ff*

Glock *ff*

Macduff *ff*

Ring med klok-ken!

Upper Stgs, Pno *ff*

Lower Stgs *ff*

119

3 beats 3 beats 3 beats

4 beats 4 beats

3 beats 3 beats 3 beats

M1 M1 M2 M1 M1 M2 M1 M1 M2

Excerpt 44: Act 2, Scene 3 (Shakespeare 2.3).

Lady Macbeth’s feigned lack of knowledge about the murder and her earlier description of her intended actions at this moment as “we shall make our griefs clamour and roar” (1.7.78) is played upon by Koppel, who uses the high range of the dramatic soprano suddenly to emphasise “Hjælp mig bort!” (“Help me hence!”) (2.3.119b) (Excerpt 45).

2 bars before 127127

(Full Score: p. 142)

Low Wwd *f* *p* Vln II *p*

Lady Macbeth *f*

Macbeth *f* Macduff *f*

vi - se ven - skab? Hjælp fru - en!

Vln I *p* *f* *p*

Low Stgs *p* *f* *p*

Excerpt 45: Act 2, Scene 3 (Shakespeare 2.3).

Her intentional, overly-dramatic grief signals a shift in music, with Macduff's "Hjælp fru" ("Look to the lady", 2.3.120) forming a mostly duple metre, with quaver triplets softly in the violins and subsequently some woodwind increasingly destabilising the duple patterns. The increasing destabilisation assists in portraying both the chaos of the situation and the distrust and confusion highlighted by Malcolm and Donalbain's discussion that immediately follows (2.3.121-126a). After Banquo's "Look to the lady" (2.3.126b), MOTIF 7 (Excerpt 21) returns in call and answer between the woodwind and strings (Full Score 144) before Banquo's final lines (2.3.127-133a) lead into the interlude that ends Act 2, lines which were cut from the opera after composition.

Act 3 Scenes 1 to 3 (Shakespeare 3.1, 3.3, and 3.4)

Act 3 marks a change in the play: a change where Macbeth has become King – a king whose soul has become tainted with blood and sleeplessness. A dissonant fanfare [FANFARE 5] introduces this new situation (Excerpt 46). Part of FANFARE 5 returns (Full Score 153) following Banquo’s soliloquy (3.1.1-10), which begins with “Thou hast it now, King, Cawdor, Glamis, all”, where he highlights his growing distrust in the events and potential intentions that have connected the Weird Sisters to the newly crowned King Macbeth. The combination of dissonance with a majestic-style fanfare is a musical paradox that accentuates the scenario that Macbeth has forged: a paradox that audiences have become aware of prior to Banquo’s soliloquy.

135 (Full Score: p. 150)

Tpt 1 ff *sempre marcato*

Excerpt 46: FANFARE 5 [MOTIF 14] – Act 3, Scene 1 (Shakespeare 3.1).

After Macbeth talks to Banquo [up to “ride you this afternoon” (3.1.19a), where a large cut was made prior to the murderers entering], an alternation between $\frac{4}{4}$ and $\frac{3}{4}$ to create a 7-beat pattern is maintained for a considerable time [Figure 144, p159 to Figure 147, p162] as Macbeth delivers the soliloquy from “To be thus is nothing” (3.1.47) until “Who’s there” (3.1.71). As with the change to the text caused by the banquet table that was removed in the staging described in *Part IV – Chapter 1*, the line “Gå ud og vent ved døren, til vi kalder” (“Now go to the door and wait until we call”, 3.1.72) and the surrounding accompaniment were cut from the opera. This is presumably once again due to the staging issues, as the amount of time that would have been saved in cutting the approximately fifteen seconds of music would otherwise be difficult to justify. Also of interest is the line that must have been forgotten during the premiere: “Hvem der?” (“Who’s there?”, 3.1.71). The line was composed and was not removed on the full score, yet there is no performance of the line discernible in the recording of the opera’s premiere. This is a small, yet clear example of how an adaptation can be affected by a performance, as human error alters the intended form created by the adapter.

Following the soliloquy, the scene where Macbeth then convinces the murderers that their deed is necessary is set with an unusual $\frac{5}{8}$ time signature, which also switches between pulses of 2+3 and 3+2 at various moments (Excerpt 47, photographed in Figure 99). This section begins with two bassoons in duet, with numerous instances of major sevenths and tritones in both the interval between their voices and intervals within the upper bassoon’s melody [MOTIF 15].

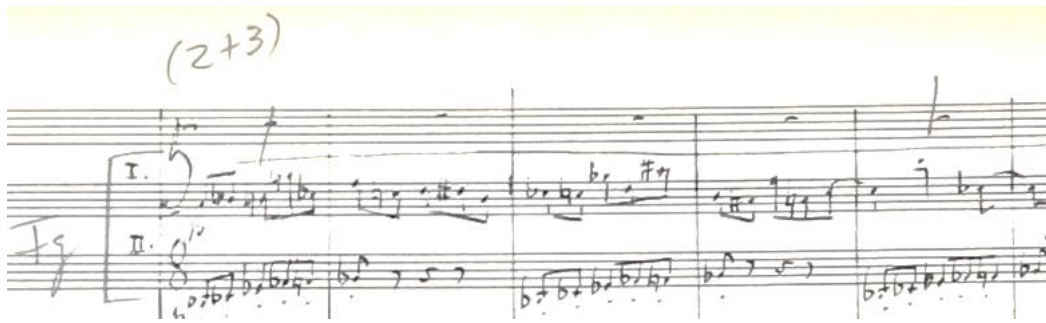


Figure 99: Excerpt 47: MOTIF 15 – Act 3, Scene 1 (Shakespeare 3.1).

The bassoon duet that uses MOTIF 15 then becomes the accompaniment for Macbeth’s discussion with the murderers [“Know, that it was he, in times past” (3.1.76)] and continues to almost the end of the scene when the murderers state their willingness to fulfil Macbeth’s contract for Banquo’s death (Excerpt 48). The use of the compound time throughout this phase of the text continues to unsettle the audience as the plot to murder Banquo takes form.

18 bars after **148**

(Full Score: p. 163)

Macbeth

p

Husk, _____ det var ham, som i for - gan - gen _____ tid _____ holdt _____ jer til -

Bsns *p*

Excerpt 48: Act 3, Scene 1 (Shakespeare 3.1).

As the scene with the murderers draws to an end, FANFARE 6 sounds (Excerpt 49), heralding Macbeth’s warning of doom for Banquo: “Nu star det fest. Banquo, skal du til himlen vinde, i aften må du vejen finde” (“It is concluded: Banquo, thy soul’s flight / If it find heaven, must find it out tonight.” 3.1.143-144). This once again demonstrates the complicated mixture that occurs when intercultural and translated versions of source texts are added to the adaptation process. Koppel must have referred to either the English source text or the German translation, as evidenced by the positioning of “Banquo” in the same position as Shakespeare or the German translation instead of in the position of Østerberg’s translated version of the text following “i aften” (Østerberg 44).

157 (Full Score: p. 170)

Tpts in Bb *ff*

Excerpt 49: FANFARE 6 – Act 3, Scene 3.1 (Shakespeare 3.3).

During Act 3, Scene 2, Koppel applies an accompanying backdrop that highlights an intermedial difference. As Banquo approaches the murderers who are waiting to attack, the typical setting is one of almost silence, as the tension is built from the suddenness of the additional murderer and the necessity of hearing Banquo's lines from, depending on the type of media, the wings of a stage, a separate camera perspective, a more distant microphone. Koppel, however, gradually increases the tension through an intense and rapid triplet rhythm built into the woodwind and strings, occasionally allowing a rhythmic lull in order to emphasise the rhythm when it returns. As the murderers strike, the strings hammer this triplet rhythm in two pairs of parallel major seventh intervals underneath Banquo's calls to Fleance, with a pattern that is based on intervals of a fourth that is shifted on and off the beat as well as in both rising and falling movement. The horns perform the rhythm in shifting unison to dissonant semitone clashes with a nine notated-beat pattern, combining to prevent audiences from becoming accustomed to a simple four notated-beat pattern (Excerpt 50). The section returns to the $\frac{12}{16}$ $\left[\frac{4}{8}\right]$ time signature that was used at the opening of Act 1. In this instance, however, the conductor Janos Kulka marked in that the section should be conducted in 4 (Figure 100), unlike the pencilled marking discussed earlier in Act 1, suggesting that performance coordination requirements were of greater importance in this section than at the opening of the opera.

163 9 notated beats 9 notated beats (Full Score: p. 174)

Hns in F *p*

Banquo *f* M1 (retro) *f*

Åh! Nid-dings-værk! Fly, Fleance,

Vlns *p* (amended)

4ths 4ths M1 4ths M1 4th

Excerpt 50: Act 3, Scene 2 (Shakespeare 3.3).

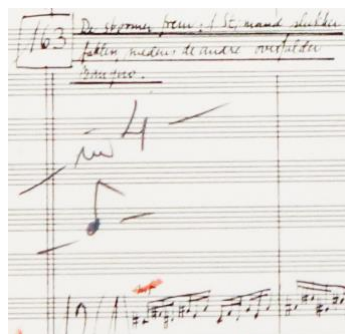


Figure 100: Act 3, Scene 2 (Shakespeare 3.3).

The [banquet] scene falls naturally into five sections or “moments”, each with its particular significance. The first is from the opening of the scene to the entrance of the First Murderer; it is here that the basic symbolism of the scene is established, the intended direction indicated. The second section is the conversation of Macbeth with the Murderer, an ironic interlude in terms of what precedes and what follows. The third is the central part of the scene, the apparitions of Banquo’s ghost; it is here that the play shifts its direction. The fourth section is the chaotic disorder in which the feast ends. The fifth is the aftermath in which it is clearly indicated that Macbeth is not what he was when the scene began; in a sense, the initiative. (Dyson 370)

Scene 3, often referred to as the Banquet Scene (Shakespeare 3.4), opens with a mixed repetition of two of the previous fanfares: FANFARE 4, the unison trumpet fanfare that opened 1.3, and FANFARE 5, the dissonant orchestral fanfare that introduced 3.1. Each of the fanfares is segmented, with alternating sections from each being performed as marked in Excerpt 51 below.

170 (Full Score: pp. 180-181)

FANFARE 4 a FANFARE 5 a FANFARE 4 b FANFARE 5 b

Tpts *ff*
in Bb

Excerpt 51: Act 3, Scene 3 (Shakespeare 3.4).

Throughout the following parts of the scene, Koppel weaves parts of the two fanfares into the music. For example, as Macbeth announces “I kender selv jer rang; tag plads”.²¹⁶ (“You know your own degrees; sit down.” 3.4.1), Koppel places MOTIF 9 from FANFARE 4 between the two parts of the line (Excerpt 52).

3 bars after 171 (Full Score: p. 182)

MOTIF 9

Hns *p*
in F *f* Macbeth

I ken-der selv jer rang; tag plads.

Excerpt 52: Act 3, Scene 3 (Shakespeare 3.4).

As detailed in *Part IV – Chapter 1*, the change that occurred in opera through the use of original play texts and the consequent through-composed structures that they entail resulted in a reduction in the need for operatic choruses. With the exception of the three witches, the reply that the Lords give Macbeth with “Taks, eders nåde” (“Thanks to your Majesty” 3.4.2b, Full Score 182) is the first chance

²¹⁶ During the premiere, Niels Møller sang much of the upper tenor range during this section an octave lower.

that Koppel was able to use what could even remotely be considered to be a chorus – in this case only male members of the chorus. That this aspect of traditional operatic convention, which was detailed in *Part III – Chapter 1*, could be forced to wait until the end of the third act highlights the problem that audience expectations that are set to more traditional opera conventions have because of the requirements of theatrical libretti. The lack of libretti re-constructed with choruses – as occurred prior to the use of theatrical texts in their place – requires the use of a chorus only where it suits the original intention of a playwright who may or may not have had a large theatrical cast for which to write.

The banquet scene provided Koppel another small chance – once more only a single line of text – to use the male chorus. In this instance, the Koppels altered the translated text slightly, changing Østerberg's (53):

Macbeth Ham og enhver en Skaal, / **Og alle alt!** (To all, and him we thirst, / And all to all!
3.4.89)

Herrerne Vor **Hyldest med Besked!** (Our duties and the pledge! 3.4.90a)

to a presumably more suitable (Full Score 204):

Macbeth Ham og enhver en skål **og alt til alle!**

Herrerne Vor **konges held og sundhed!** (Good luck and health to the King)

This amendment was probably made to avoid the pronunciation of the Danish within a choral context,²¹⁷ in a similar way to the amendment that occurred to Duncan's "silver skin" to "silver hair" described by Anders Koppel as previously mentioned. It is perhaps not astonishing that Herman D. Koppel would focus on Macbeth and not the chorus in this scene. The original scene also does this, because "Macbeth is in the process of discovering that murdered men are never dead to their murderers. [...] This final part of the scene represents the mid-point in Macbeth's progression into hell" (Dyson 375). A heavier reliance on the chorus in this scene within a music drama would reduce the theatrical impact of Macbeth's descent, despite the intramedial expectations that would suggest the usage of operatic choruses at such pivotal moments.

²¹⁷ This includes the swallowed sound of the "y" as well as the lowered tongue positions for the "l" sound in "Hyldest" and at the end of "med" and "Besked".

Act 4 Scenes 1 and 2 (Shakespeare 4.1 and 4.3)

The three witches' opening lines in 4.1 are one of the few parts where Koppel employs vocal sounds that are not in the original text. Emanating from a single sustained high violin pitch, the music gradually spreads with rapid but gentle wave-like swells throughout the woodwind and strings and even gentler cluster chords on instruments such as the harp. The effect makes it possible to imagine the swirling of a cauldron, the wafting fog, and the murkiness of the scene overall. The Second and Third witches begin to sing with simple vowel sounds – perhaps intended as mewling – shortly before the First Witch sings “Tre gange mjaved den sribede kat” (“Thrice the brinded cat hath mewed”, 4.1.1). However, Koppel adds to the supernatural quality of the First Witch by adding the same vowel sounds effectively as an infix in the word “mjaved” (“mewed”), contorting and extending its sound (Excerpt 53)²¹⁸. Once again, the First Witch line contains the major seventh contained in MOTIF 2, as well as a tritone.

4 bars after **209** (Full Score: p. 218)

First Witch *f* Tre gan - ge mja - o - a - o - ved den stri - be - de

Second Witch *f >> mf <<* a - o - a - o - a

Third Witch *f >> mf <<* a - o - a - o - a

f >> mf << *f >> mf <<* *f >> mf <<* *f >> mf <<*

Excerpt 53: Act 4, Scene 1 (Shakespeare 4.1).

During the first half of the opera, Koppel often depicted the unusual qualities of the witches by destabilising metric and rhythmic elements. Following the opening few lines of the witches' text, the brass, contra-bassoon, percussion and strings create small segments of rhythmic stability with a stress of the bass note on the beat. This stress is then shifted to the off-beat in the next short segment, destabilising the perceived pulse of the music (Excerpt 54).

²¹⁸ As will be discussed in Case Study 2, the use of vocal effects within the witches' parts in the *MACBETH* opera by Antonio Bibalo (1989) is one of the distinguishing features of his adaptation, although it is unlikely that Koppel's work influenced Bibalo's concept for the witches.

210 (Full Score: pp. 219-220)

Excerpt 54: Act 4, Scene 1 (Shakespeare 4.1).

The First Witch continues, performing over these rhythmic segments along with the woodwind, who play separate dissonant polyrhythmic segments (Excerpt 55). Once again, Koppel employs a rhythmic shift as the First Witch sings “Kom forgiftet...” (from 4.1.5) with the woodwind, who are delayed by a quaver to create a brief canon-like pattern. The apparent uncertainty that these rhythmic shifts create a sense that the witches are almost more creature than human, that their movements are abnormal, and that their surroundings are far removed from ‘civilisation’.

211 (Full Score: p. 220)

MOTIF 16

Excerpt 55: Act 4, Scene 1 (Shakespeare 4.1).

Rundt om-kring vor ke - del gå; Kom for-gif-tet

One of the few moments of group performance by the singers, in this case the three witches, then follows, with the shifting brass and percussion rhythmic segments bubbling underneath as the witches sing “Kæde koble, harm fordoble; / Flamme flimre, kedel boble” (“Double, double, toil and trouble; / Fire burn, and cauldron bubble”, 4.1.10-11) (Excerpt 56).

212 (Full Score: p. 221)

Tpts in Bb *p* *Hns in F*

Low Brass *Timp* *p* *p sub.* *p* *p sub.* *p* *p sub.* *Cntr-Bsn* *Tuba* *f gliss*

Three Witches *p* *p sub.* *p* *p sub.* *p* *p sub.* *f gliss*

Kæ - de ko - ble harm for - do - ble; flam - me flim - re, Ke - del bo - ble

Excerpt 56: Act 4, Scene 1 (Shakespeare 4.1).

As the witches begin to sense Macbeth's approach, Koppel once destabilises the metre, by mixing what is effectively a 9 + 11 quaver pattern spread across four bars ($\frac{3}{4}$, $\frac{3}{8}$, $\frac{4}{4}$, $\frac{3}{8}$) during his entrance and repeated throughout Macbeth's dialogue with them until ending abruptly as the First Witch states "Sig, vil du hore det af vor mund, eller / Af vore mestre?" ("Say, if thou'dst rather hear it from our mouths / Or from our masters?", 4.1.61-62a). The overall effect of this complex metre²¹⁹ in combination with the choices of timbre within his orchestration throughout this section is that of otherness, once again setting the witches further away from the audience.

In his preparations for the premiere, Janos Kulka once more marked the score with a mathematical marking of the different metric speeds that cover each of the three conducting options: dotted crotchets, to allow for the entire $\frac{3}{8}$ bars; quavers, to allow for conducting individual notes in the $\frac{3}{8}$ bars; and crotchets, to allow for the $\frac{3}{4}$ and $\frac{4}{4}$ bars (Figure 101). Which of these options he eventually used during the premiere has not been marked, but the detail he prepared shows the relationship between the destabilising effect and the uncertainty that it creates, even for the opera's conductor.

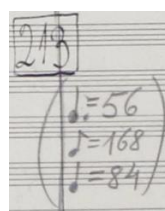
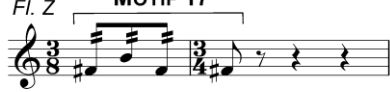


Figure 101: Kulka's conducting options, Full Score p. 222, Figure 213.

During this section, MOTIF 17, which returns later before the witches officially disappear from the play for the last time, is performed by the trumpets during each of the 3-8 bars (Excerpt 57). The timbre set by Koppel, involving a technique known as flutter-tonguing²²⁰, once more shifts away from traditional associations, and casts the witches further from humanity.

²¹⁹ In simple terms, *complex metre* involves a pulse in the music which is not of even lengths.

²²⁰ The term *flutter-tongue* is a term used for a wind instrument technique where the tongue is fluttered rapidly without any discernable rhythm.


212 (Full Score: p. 222)
con sord
Fl. Z **MOTIF 17**

Tpt *p*
in Bb

Excerpt 57: MOTIF 17 - Act 4, Scene 1 (Shakespeare 4.1).

This long section where Macbeth confronts the witches leads into one of the other striking scenes in the opera: the critical representation of the three main apparitions. This section is not only important because of the role it plays in making Macbeth – and indeed the audience – aware of the elements of the plot that will come back to haunt him at the end of the play, but also because this was the section that Koppel elevated to prominence by placing making it the short Prelude for the entire opera. The amount of time between its initial occurrence before Act 1, Scene 1 begins to the appearance of the apparitions is enormous. It is unlikely that an audience hearing the opera for the first time would consciously remember the opening by the time this section occurred in Act 4. However, the repetition of the compositional elements combined with the eeriness of the musical language that Koppel used underneath the simpleness of “Macbeth” in MOTIF 1 make this section one of the distinguishing moments of the work. Following a short and quiet presentation of the three note version of MOTIF 2 that occurred in the Prelude, the First Apparition presents the first of the prophecies (4.1.70-71) as the three-note MOTIF 2 lurks underneath in the horns and low strings (Excerpt 58).

11 bars after 218 (Full Score: p. 228)

M2 (3 note)



Hns *pp*
in F

M1
f *pp* *f* *pp* *f* *pp*

First Apparition

Mac - beth! **Mac - beth!** **Mac - beth!**

Excerpt 58: Act 4, Scene 1 (Shakespeare 4.1).

Following a frenetic melodic line in the upper strings that leads into each of Macbeth’s lines as he considers the prophecy and then attempts to question the First Apparition (4.1.72-73), the music breaks suddenly as the First Witch warns him against doing so (4.1.74). The Second Apparition subsequently performs the same motifs. However, on this repetition, Koppel accompanies the text with instruments such as the celeste and harp, presenting an almost lullaby-style effect underneath the child’s prophecy (Excerpt 59, 4.1.75, 4.1.78-80). This naturally emphasises the child-like qualities of the apparition, but it also creates a paradoxical juxtaposition between the connotation of innocence and the unusual qualities and connotations that the other world causes in an audience.

M2 (3 note) **220** (Full Score: p. 230)

Mac - beth! Mac - beth! Mac - beth!

Excerpt 59: Act 4, Scene 1 (Shakespeare 4.1).

The tempo suddenly increases as Macbeth announces his reaction to the child’s information about Macduff, and after the intensity of the section eases back, the three-note version of MOTIF 2 returns briefly, aggressively orchestrated for clarinets, horns and trombones. After the witches sing “Lyt! Tal ikke til det” (“Listen, but speak not to’t”, 4.1.88b), there is a crescendo²²¹ that leads to a moment’s silence, providing a re-concentration onto the Third Apparition’s prophecy (Excerpt 60).

1 bar after **222** **SILENCE** (Full Score: p. 234)

Mac-beth skal al-drig li - de ne-der-lag,

Excerpt 60: Act 4, Scene 1 (Shakespeare 4.1).

²²¹ During the premiere performance, the trumpets played this crescendo one bar early, creating a two part crescendo which can be heard in the recording, resulting in a false climax prior to the intended one.

A repetition of FANFARE 6 (Excerpt 49) leads into Macbeth's further considerations, which involve a fast version of MOTIF 7, the witches' warning "Nøj dig med det, du ved" ("Seek to know no more", 4.1.102b), and the witches bowing to Macbeth's demands. The "show of eight kings" (*Macbeth* 243) then occurs, and Macbeth's singing style changes. Scored as unpitched notes, Koppel provides only the inflection of the text, where the actual pitch is not important, but the shape of the pitches is highlighted (Excerpt 61, photographed in Figure 102). Towards the end of this excerpt, Macbeth screams "Grufulde syn!" ("Horrible sight!", 4.1.121), with Niels Møller reaching probably the highest range of his voice. His voice breaks completely as he – seemingly intentionally²²² – applies the most incredibly timed growl-like glottal effect.

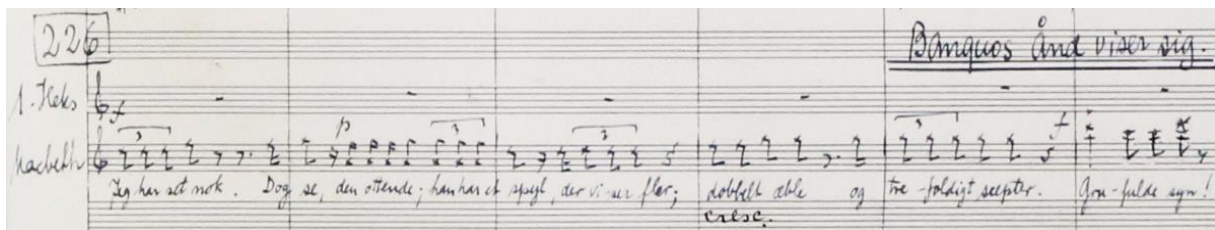


Figure 102: Excerpt 61 – Act 4, Scene 1 (Shakespeare 4.1), Full Score p. 240, Figure 226.

After the eight kings have exited, the three-note MOTIF 2 returns before the First Witch states the section beginning with "Ay, sir, all this is so." (4.1.124). Before the witches vanish, the music becomes a furious Stravinsky-esque dance-like style, fusing MOTIF 16 from Excerpt 55 and MOTIF 17 from Excerpt 57. However, this time the metre and tempo remains constant, and the double-reeds' MOTIF 16 is orchestrated for three piccolos and oboes, with the strings adding another polyrhythm to the aggressive mix that Koppel employs (Excerpt 62). The power of the fury and violence which this section provides accentuates the meaning of this scene and its impact on Macbeth to an audience that has been listening to the gentleness and simplicity of the apparitions' messages and the building of tension as Macbeth processes the messages' meanings.

²²² It could be possible that the timing of these vocal effects occurred intentionally to emphasise the emotional content of the narrative. It could also be argued, however, that the breaks occurred because Møller responded physiologically to the emotions with which he was acting.

228 **MOTIF 16** (Full Score: p. 242)

Piccs *ff*

Fl. Z **MOTIF 17**

Tpts in Bb *ff*

Tbn

Bs Tb Tuba *ff*

Pno *ff*

Vlins *ff*

Excerpt 62: Act 4, Scene 1 (Shakespeare 4.1).

After this furious music switches across to Macbeth, who is confused by the witches having vanished once more, Lennox is questioned about seeing the witches, a section that was cut from the premiere. Lennox tells Macbeth about Macduff fleeing to England (4.1.141), and shortly afterwards, as Macbeth announces that “Mit hjertes første fødninger da være / Min hånds de første” (“The very firstlings of my heart shall be / The firstlings of my hand”, 4.1.146-147), the music suddenly switches into $\frac{3}{4}$ using a much faster version of MOTIF 7 from Act 1 (Excerpt 63) as occurred following the Third Apparition’s appearance. Koppel also amended the text from Østerberg’s version above by replacing “fødninger” with “fødte” and adding the tie between the original two notes to ensure that the syllables better fitted the rhythm of the motif.

7 bars before 232 **MOTIF 7** (Full Score: p. 249)

f Macbeth

hjer - tes før - ste fød - min - ger da væ - re min hånds de før - ste.
født - te

Excerpt 63: Act 4, Scene 1 (Shakespeare 4.1).

Another short lyrically sombre motif [MOTIF 18] begins the interlude into Act 4, Scene 2 (Shakespeare 4.3) (Excerpt 64) which is then used in fragmented rhythms when Malcolm and Macduff prepare for Ross's entrance at the beginning of the scene, and then subsequently at other moments later in the scene.

236 (Full Score: p. 253)

Vlins *f*

Excerpt 64: MOTIF 18 - Act 4, Scene 2 (Shakespeare 4.3).

The combined MOTIFS 1 and MOTIF 2 once again are used just before Act 4, Scene 2, when Malcolm and Macduff first see Ross enter. The sombre quality of the music eventually changes when Macduff states “Helveddrage!²²³ Alle?” (“O hell-kite. All?”, 4.3.220), with an aggressive, powerful, and rapid rhythmic segment used to emphasise parts of his recitative sections as he declares his intention for vengeance (Excerpt 65).

4 bars before 245 245 (Full Score: p. 259-260)

Excerpt 65: Act 4, Scene 2 (Shakespeare 4.3).

Showing another reference to Reinhardt's notes, Koppel contrasts Macduff's extremely loud “Helveddrage!” (“O Hell-kite.”) in this excerpt with an extremely quiet, questioning “Alle?” (“All?”). This is shown in Reinhardt's notes as “intensely”²²⁴ and then “containing a slight shimmer of hope in all of the repeated questions”,²²⁵ which is the effect that is achieved by the dynamic contrast. Malcolm states “Det er en mandig tone” (“This time²²⁶ goes manly”, 4.3.238b), which is then followed by a derivative of FANFARE 3 and Malcolm's “Til Kongen nu!..” (“Go we to the King”, 4.3.239), giving rhythmic

²²³ The power of “...drage” was altered for the premiere by singing it an octave higher than originally composed.

²²⁴ „in der Tiefe“ (Reinhardt, 139, Nr. 25).

²²⁵ „mit all den wiederholten Fragen einen kleinen Hoffnungsschimmer auffangen“ (Reinhardt, 138, XII).

²²⁶ The word “time” in the Arden exists as “tune” - presumably from other printed versions – in some adaptations of *Macbeth* (e.g. Welles 1936 [France, R.]; Wright). Østerberg's version is a translation of “tune” (“tone”).

emphasis to the recitative style (Excerpt 66). An almost martial-style march follows briefly before the curtain falls for the end of Act 4 and priming the audience for the battle that is to come in Act 5.

2 bars after 247 (Full Score: p. 263)

Horns in F
 Tpts in Bb
 Low Brass
 Malcolm

Til Kon-gen nu! Vor magt er re-de. Mac-beth er mo-den til at rys-tes ned;

Excerpt 66: Act 4, Scene 2 (Shakespeare 4.3).

Act 5, Scenes 1 to 4 (Shakespeare 5.1, 5.2, 5.5, and 5.7 to 5.9)

But what about the *frisson* of which opera lovers speak, when the hair on the back of the neck stands up in ecstatic response to a soprano's high note? Has any film or novel ever managed *that*? (Hutcheon *A Theory of Adaptation* 131)

The sleepwalking scene in Koppel's adaptation provides one of these moments of *frisson*, with an accompaniment that permits Lady Macbeth to fulfil the role as if under hypnotic control. The sleepwalking scene starts Act 5 with a haunting rising line (MOTIF 19) that spreads from the lower woodwind and strings through to the upper voices, joined the entire way by the harp (Excerpt 67). The line ends on a sustained chord which eerily represents the night and the darkness. This rising pattern repeats in various forms as the Doctor and the Gentlewoman discuss the issue in recitative.

248 (Full Score: p. 265)

Excerpt 67: MOTIF 19 - Act 5, Scene 1 (Shakespeare 5.1).

The Doctor begins his line “I denne slumrende uro, hvad har I der hort hende sige?” (“In this slumbery agitation... / ...what... / ...have you heard her say?”, 5.1.11-13) with MOTIF 20 accompanied by the violins (Excerpt 68). This motif becomes more dominant in later parts of the act in a more powerful setting. In this first instance, more rhythm is provided by the lower strings.

249 Doctor (Full Score: p. 267)

I den-ne slum-ren-de u - ro, hvad har I der hort hen-de si - ge?

MOTIF 20 MOTIF 20

Vlns p

Excerpt 68: MOTIF 20 - Act 5, Scene 1 (Shakespeare 5.1).

As Lady Macbeth enters and the Gentlewoman draws attention to her with “Se nu, der er hun!” (“Lo you, here she comes”, 5.1.19), the music suddenly shifts from the long drawn out rising lines spread throughout the orchestra, to short descending patterns, individually orchestrated at separate moments for flute and bassoons, celeste, and glissandi in the harp lines (Excerpt 69). This falling MOTIF 21 is echoed – though not mimicked exactly – when Lady Macbeth lets out the three sighs later in the scene.

250 (Full Score: p. 269)

Flute *p*

Bsn
Cntr Bsn *p*

Tpt in Bb *p*

Cel *p*

Harp *p*

Gentlewoman

Se nu, der er hun!

Excerpt 69: MOTIF 21 -Act 5, Scene 1 (Shakespeare 5.1).

Then, just before Lady Macbeth starts to sing in her sleep, a sudden change in the music occurs, with the celeste and a marimba joining to perform as if they are a brief and eerie music box (Excerpt 70), an effect that would later be used to accompany the second apparition in Berkhoff's *MACBETH*. This particular excerpt is also of interest due to the cuts that were made from the original orchestration, which included sustained notes taken from the celeste and marimba lines, and the removal of the countermelody in the violas and cellos underneath Lady Macbeth's “Her er endnu en plet” (“Yet here's a spot”, 5.1.31), thereby leaving the music box sound less supported, yet more clearly heard.

2 bars before **253** (Full Score: p. 272)

Cel.,
Marim *p*

Lady Macbeth *pp*

Her er end-nu en plet

Excerpt 70: Act 5, Scene 1 (Shakespeare 5.1).

Lady Macbeth sings gently in almost monotone fashion as she dreamily recalls events. As she reaches the words “Helvede er mørkt” (“Hell is murky”, in 5.1.36), she suddenly increases the dynamic volume and leaps almost two octaves up to a high B (Excerpt 71). This contrast in both pitch and intensity not only draws the attention of an audience to her directly, but also dramatizes her unpredictable, dream-like state more deeply.

6 bars after **253** (Full Score: pp. 272-273)

Lady Macbeth *pp*

ff *pp*

Ja, så er det tid at gøre det. Hel - ve-de er mørkt.

Excerpt 71: Act 5, Scene 1 (Shakespeare 5.1).

Koppel begins to imitate Lady Macbeth’s fragmented memories by doing the same with the motifs that have appeared. As she presents the lines “Hvad behøver vi at frygte for? Men hvem skulde have troet, var så meget blod i den gamle mand?” (“What need we fear?... / Yet who would have thought the old man to have had so much blood in him?”, 5.1.37... / 5.1.39-40), he fragments repetitions of MOTIF 19 and MOTIF 21. As Lady Macbeth reveals her knowledge of deeds, the woodwind state MOTIF 7 once more with a feeling of anguish prior to the Doctor stating “Horte I det?” (“Do you mark that?”, 5.1.41) (Excerpt 72).

254 (Full Score: pp. 273-274)

Flute *p gliss*

Stgs *trem.*

mf *mf* *p*

Bsn *p*

Lady Macbeth *p*

Hvad be-hø-ver vi af fryg-te for? Men hvem skul-de have troet,at der var så meg-et blod i den gam-le mand?

Excerpt 72: Act 5, Scene 1 (Shakespeare 5.1).

After her anguished lines, Lady Macbeth sings the three long “Åh” (“Oh”, 5.1.52) sighs with a descending glissando for each of them, with the gap in between each filled with the descending line in the same style as the second section of the scene, and the music grounded to a repeated line in the flute and harp (Excerpt 73). Although Bernad states that in Lady Macbeth’s character “one must acknowledge a greatness visible in the very distortion of feminine nature which in others tender, yielding, dependent, but which in her is iron-willed, masterful, dominant’ (50), by this moment of the play and the opera, she has been reduced to an empty shell, which Koppel portrays with musical eloquence.

256 (Full Score: p. 276)

Cel *p*

Harp *pp*

Lady Macbeth *pp*

Åh Åh Åh

Excerpt 73: Act 5, Scene 1 (Shakespeare 5.1).

At this point of the opera, it is clear that Lady Macbeth “is the heart-broken little girl sitting on the doorstep, weeping over her broken doll.” (Bernad 52)

From a tragic, she has become almost a pathetic figure. And that is her tragedy: she, who sought to rule the world by ruthlessly crushing others, comes closest to ruling it when her own heart is crushed. (Bernad 53)

A section of this scene that is slightly longer than one minute (Recording Excerpt 74) demonstrates a probable link to the Kott interpretation, which discusses Macbeth and Lady Macbeth's problem of struggling "with this uneasy sleep, which does not bring forgetfulness, but with daytime thoughts of crime" and tormenting nightmares (Kott 92). Koppel records yet another link to Reinhardt, by marking Lady Macbeth's somewhat panicked "Vask dine hænder" ("Wash your hands", 5.1.62) with a stage direction "hustigt",²²⁷ matching directly to Reinhardt's "hastig"²²⁸ (Excerpt 74a).

1 bar before 257 (Full Score: p. 277)

(*hustigt, omsorgsfuldt*) *mf*

Lady Macbeth Vask di - ne hæ - der;

Excerpt 74a: Act 5, Scene 1 (Shakespeare 5.1).

The next part of this section involves a sudden change to a martial-style rhythm as Lady Macbeth sings "Til sengs, til sengs!" ("To bed, to bed", 5.1.68). This is followed by a sudden return of a fanfare that starts after Macbeth has killed Duncan and the knocking has triggered his conscience at the end of 2.2 (Full Score 122, Figure 106). Directly afterwards, the first three times that Lady Macbeth sings "Kom" ("Come", 5.1.66-67), she does so gently and quietly. However, for the fourth, she suddenly launches up to a suddenly loud high A, in a similar way that the four repetitions are described by Reinhardt: "flüsternd, rufend"²²⁹ (144, Direction 32). This then reverts back to gentleness with "Giv mig hånden" ("Give me your hand", 5.1.67) (Excerpt 74b).

258 (Full Score: p. 278)

Snare Drum *p*

orch *mf f ff p*

Lady Macbeth *f p ff p pp*

Til sengs, til sengs! De ban-ker paa por-ten. Kom, kom, kom, kom, Giv mig hånden

Excerpt 74b: Act 5, Scene 1 (Shakespeare 5.1).

The rising line of Motif 19 returns, and after "Hvad der er gjort, kan ikke gøres ugjort" ("What's done, / cannot be undone", 5.1.66-67) is sung, another snippet of this fanfare returns briefly. The Doctor and Gentlewoman's final lines were composed but then cut, leaving Lady Macbeth's final "Til sengs, til sengs, til sengs!" ("To bed, to bed, to bed", 5.1.68) as the final text before the scene fades into the interlude. This concludes a scene in which Koppel emphasised the dream-like, or nightmare-like

²²⁷ In English, "hastily".

²²⁸ p. 145, XIV.

²²⁹ In English, "whispered, cried/shouted".

elements of Lady Macbeth's demeanour by matching her unpredictable behaviours with unpredictable and unexpected musical outbursts, as well as contrasting elements such as the music box effect previously mentioned.

Act 5, Scene 2

As was shown in *Part II – Chapter 2*, the omission of the English army scenes is common in the *MACBETH* operas, presumably because the choral forces required to provide both armies would be overly expensive. Koppel structured four scenes from the original nine, without any reference to Scenes 2, 4, or 6. MOTIF 1 and MOTIF 2 open Act 5, Scene 2, and are used in a rapid march form, this time complete with marching drums starting the last of MOTIF 2's notes. This brutal march is then joined by a duplet version of MOTIF 3 (Excerpt 75). With these three motifs, Koppel has linked the battles prior to Act 1, Scene 1 with the approaching battles of Act 5.

261 (Full Score: p. 281)

The musical score excerpt is for Act 5, Scene 2, starting at measure 261. It is written in 4/4 time. The top staff is for Snare Drums, the middle staff is for the Orchestra (Orch), and the bottom staff is for the Bass. The Snare Drums part begins with a rest, followed by a triplet of eighth notes (G4, A4, B4) marked *ff*. This is followed by a duplet of eighth notes (C5, D5) marked *pp*. The Orch part has a rest, followed by a duplet of eighth notes (G4, A4) marked *p*. The Bass part has a rest, followed by a duplet of eighth notes (G3, A3) marked *ff*. The score includes various musical notations such as slurs, accents, and dynamic markings.

Excerpt 75: Act 5, Scene 2 (Shakespeare 5.3).

The introduction to the scene continues to imitate the introduction to Act 1, Scene 1: the horns' FANFARE 1 (see Excerpt 06); the rising triplet pattern leading to duplicated versions of the triplet rhythms again [MOTIF 3] (see Excerpt 05); the trumpets' FANFARE 2 still with triplets over the now duplet accompaniment (see Excerpt 07); the inverted Motif 2 in the trombones (see Excerpt 03): all as Macbeth repeats the information provided by the apparitions' prophecies. As with any theatrical performance, this repetition re-focuses the audience on the narrative information already provided, but with the additional repetition of motifs that represent the battle scenes that opened the opera. For the premiere performance, a massive cut was made into Scene 3, with thirteen pages of score effectively scrapped, dramatically reducing the impact that Koppel had created for this lead-up to the inevitable battle.

Act 5, Scene 3

The scene begins following the cut to a point in the structure just before “A cry within of women” (stage direction, 5.5.7). After Macbeth is informed that the Queen is dead, his soliloquy “Hun skulde være død en anden gang” (“She should have died hereafter”, 5.3.16b) begins as a monotone but is accompanied with a solemn duet in the bassoons (Excerpt 76).

4 bars after 277 (Full Score: p. 301)

Bsns mp

Macbeth p

Hun skul-de væ-re død en an-den gang; ud,

Excerpt 76: MOTIF 22 - Act 5, Scene 3 (Shakespeare 5.5).

Macbeth eventually returns to singing more melodically. The music recounts the march that opened Scene 2 which prepares the audience for the entrance of the messenger who announces the sighting of Malcolm’s army. However, this repeat of the march-like MOTIF 3 involves a panicked rhythmic accompaniment, representing an unpreparedness and the alarm that shows on the messenger’s face (Excerpt 77).

278 (Full Score: p. 301)

Cl in Bb f

Bsns mf

Hns in F mf

Excerpt 77: Act 5, Scene 3 (Shakespeare 5.5).

In accompaniment of the next messenger’s announcement, Koppel presents an almost farcical 5-4 pattern, once again demonstrating both rhythmic displacement and the panic that is demonstrated in the messenger’s lines until Macbeth remembers the prophecy “Hvis du lyver, / Så skal du hænges...” (“If thou speaks false, / ...shalt though hang...”, (5.5.37b-38) (Excerpt 78). Kulka also marked the Italian musical term “agitato” (with agitation) at this point, increasing the intention of the music to portray confusion and the uncertainty that is encroaching on Macbeth’s behaviour.

282 (Full Score: p. 305)

Low Wwd *p*

Macbeth *f*

Hvis du ly - ver, så skal du hæn - ges

Excerpt 78: Act 5, Scene 3 (Shakespeare 5.5).

Following the call to arms by Macbeth, the music repeats the bassoons' MOTIF 22. Various motifs sporadically appear amongst the section, and after the pattern from MOTIF 3 builds once again in combination with FANFARE 2, FANFARE 3 repeats in an extremely extended form leading to Macduff's entrance. Various motifs once again appear in the lead-up to the fight scene, with MOTIF 20 (see Excerpt 68) appearing in variations (Excerpt 79) as Macduff divulges that "Macduff blev kunstig skåret af modersliv" ("Macduff was from his mother's womb / Untimely ripped", 5.8.15-16).

292 5 bars after 297 (Full Score: p. 326)

Hns *ff*
in F

Tpts *ff*
in Bb

Excerpt 79: Act 5, Scene 3 (Shakespeare 5.8).

Macbeth's uncertainty following Macduff's announcement of the caesarean birth is shown each time in a rapid motif in the violins (Excerpt 80).

6 bars after 297 (Full Score: p. 326)

Vlns *ff*

Excerpt 80: Act 5, Scene 3 (Shakespeare 5.8).

Koppel uses one motif in this scene which is almost incongruent with the rest of the opera. For this reason, its unusual qualities in comparison with the overall style of the opera provide a contrast both with regards to the diatonic form of the upper clarinet voice and the harmony of the lower clarinet voice, mostly in sixths but with occasional flattened sevenths (Excerpt 81).

2 bars after **300** (Full Score: p. 331)

Cis
in Bb *p*

Excerpt 81: Act 5, Scene 3 (Shakespeare 5.8).

It is unclear why Koppel suddenly brings this ascending passage into the opera. It is unlikely that Koppel was symbolising or signifying Macbeth's ascension into heaven, particularly considering that "[W]hen Macbeth dies, he is called a "hell-hound". And it is the only appropriate word. How "noble Macbeth" has turned into a hell-hound is a tragedy in the physical, psychological, moral, social, and theological order. It is the fearful downfall of a spirit that had the makings of greatness" (Bernad 61).

Following the fight scene, Koppel employs the conventional operatic effect for high drama by repeating a chord in the orchestral accompaniment (Excerpt 82) as the stage direction "Macbeth dør" ("Macbeth dies") occurs.

5 bars before **301** (Full Score: p. 334)

orch ff
orch ff

Excerpt 82: Act 5, Scene 3 (Shakespeare 5.8).

Once more there are fragments of various motifs placed by Koppel in relevant structural locations. After Macbeth dies, MOTIF 22, originally played by the bassoons, is re-orchestrated for strings, and is almost immediately followed by a fragmented version of FANFARE 4 that originally introduces Act 1, Scene 3. This motif, which initially marked the entrance of King Duncan and the Lords, was used once again for the entrance of King Malcolm and the Lords. Fragments of FANFARE 5, the fanfare that introduced a newly crowned King Macbeth, appears as Macduff announces his death. The final possibility within the original text for the use of chorus, "Til Skotlands Konge!" ("Hail King of Scotland", 5.9.25b) (Excerpt 83) is the retrograde of MOTIF 1, perhaps a suggestion by Koppel that there is the possibility of a return to normality.

9 bars after **303** (Full Score: p. 338)

Lords *f*

Til Skot - lands Kon - ge!

Excerpt 83: Act 5, Scene 4 (Shakespeare 5.9).

This return to normality is then questioned by Koppel, as the opera ends with an appropriately sombre, uncertain version of FANFARE 5, orchestrated in this case for strings and woodwind, with a horn rhythm gently punctuating the sustained parts of the melody (Excerpt 84).

305 (Full Score: p. 340)

Excerpt 84: Act 5, Scene 4 (Shakespeare 5.9).

As is the case for most of the adaptations and performances of *Macbeth* researched for this dissertation, arguably excluding only those that end with the Lords calling “Hail King of Scotland” repetitively, the ending of Koppel’s *MACBETH* ends without a climax. However, with the application of Kott’s interpretations and considering the uncertainty of the future of Scotland’s monarchs based upon the information provided earlier in the text, for example, the show of eight kings, the unresolved ending, however, corresponds to Koppel’s reading of *Macbeth* in conjunction with both Kott’s and Reinhardt’s work. This lack of climax was reduced somewhat through the cutting of part of Malcolm’s speech. The speech, however, is then followed by the extensive passage from which the final excerpt above is taken: a passage in which no cuts were made, and where the curtain gradually closes between the exiting performers and the audience, who should be contemplating the victory that has just occurred in context of the horrors which have dominated the previous acts.

As can be seen in this chapter, the music to Koppel’s opera displays motivic usage which is unlike the leitmotif system employed by Wagner. His repetition of motifs is based more on structural elements and setting than on characterisation, yet it nevertheless ensures cohesion across the entire opera. The use of unusual intervals and unsettling rhythmic patterns are the primary compositional tools used by Koppel to represent the alterity found in Shakespeare’s play.

Part IV – Chapter 3: Koppel’s MACBETH and theoretical considerations

We must look at the opera, in a sense, through the eyes of contemporaries if we are to understand its stunning effectiveness and its significance in the development of musical drama. (Schmidgall *Lit. As Opera* 182)

Although the above quote was referring to Verdi’s *MACBETTO*, it is nevertheless as relevant to the existence of Koppel’s *MACBETH*. As discussed earlier in this case study, Koppel’s operatic adaptation occurred during a historical period that transformed academic understanding of not only politics and international relations, but also Shakespearean texts, and involves a complicated process of conception, adaptation/composition, production, and reception that has continued over fifty years to the point of this research. The product creation process itself highlighted numerous links between the practice of adaptation and academic spheres. The processes involved in the production of the opera highlighted an important and progressive collaboration between members of the Koppel family and the unfortunate collaboration between the Schuhs. In addition to the failure of the Schuhs to align their creative inputs to the creative intentions of Herman D. Koppel, there are other considerations related to the overall process that might suggest future directions for operatic composers preparing to score *Macbeth* – or potentially other Shakespearean plays. These include the distance between the acceptance of a work amongst intellectuals and those of the ‘general public’, whose tastes tend to be more aligned with tradition than anything deemed to be avant-garde.

The extensive lists of cuts and occasional ‘to-do’ lists that Koppel wrote onto manuscript pages that were luckily held with the scores allowed the research into the opera to answer some of the questions about why, when, and where certain aspects and stages of the creation and production occurred. Without these notes, many of the aspects that were discussed could only be done so as postulation. The fact that Koppel made these notes in pencil on manuscript pages and not on notation software that is instantly overridden as changes are made meant that the answers that were found were possible to find at all. The insights into the processes of adaptation that the Koppels undertook would have been more constrained were it not for Herman D. Koppel’s fastidious note taking and subsequent keeping of the loose-leaf manuscript pages. In the future, research into current composers may not be possible unless it is done at the time of composition. An example of this is that Styles documented many of the process phases of his opera in his doctoral dissertation, which included previous sketches that were workshopped and developed in collaboration with Ted Huffman, the director. These early drafts of the opera included various forms of involvement of the witches (e.g. Styles 54-59 [various figures]) who were eventually dropped from the opera completely. Without access to earlier versions of the files, and if Styles had not documented the process himself, research fifty years after the completion of the opera would be unlikely to discover such factors.

Would Koppel's opera be received better now than it was 50 years ago?

One would have to be almost wilfully ignorant of current affairs not to notice the parallels between the Cold War's paranoid battle against a pervasive communist threat and today's equally paranoid war against a pervasive terrorist threat. (Wax)

Arguably, this comment about educated people drawing "parallels" between a past period and current affairs in modern times would not necessarily function with relation to an audience viewing Koppel's opera fifty years after its completion. Parallels between the Cold War and *MACBETH* made by people who were living through it in 1970 would not necessarily be made by people viewing the opera in 2020 who had not lived through the Cold War. While similar parallels with modern tyrannies or potentially the "paranoid" war on terror are likely to be made by modern audiences, programmatic explanations would need to be provided to link Koppel's *MACBETH* with the Cold War because it is in the past and no longer "pervasive". As Haut states about the Cold War period: "[s]ociety had become obsessed by the bomb" (2) and following the McCarthy era and the general domestic political situations "fear was a recurrent theme" (15). Nevertheless, despite significant differences in the type of "fear" that a modern audience would bring to a performance, they are likely to at least understand the impact of fear on the cultural situation in Koppel's time, even if it is no longer present to the same extent or in the same way. Although the current state of international politics involves the potential beginning of "a new Cold War" (Morgan), this is a different scenario altogether, because despite possible comparisons between polarisation of politics in McCarthy's and Trump's eras as well as comparisons between the US facing off against the Soviets and currently China, the reality is predominantly that of financially-based fear.

Speculating on the difference in acceptance that an opera might have were it to be premiered generations later can obviously be problematic, not only because it would physically be a different audience, but because the cast and the crew involved in the production would also bring to the collaboration different experiences. Nevertheless, there are certain points that, if considered, could assist with understanding the cultural causes and consequences that this difference in time might have for the adaptation itself. Such considerations could also permit a deeper critical assessment of where the opera can be placed within adaptation theories. Rasmus discusses the violence in Polanski's *MACBETH* as "no longer rais[ing] eyebrows" (116), despite it being rated X for "often [being] perceived as excessive or at least highly controversial" (115). Rasmus' article focusses on attempting to define what people in fifty years' time would consider of our current historical period based on the film violence in Kurzel's 2015 *MACBETH*. If Rasmus' line of thinking were to be adapted to modern consideration of this opera, Koppel's musical aesthetic could, therefore, also be argued as being more acceptable and Schuh's staging could be considered even more bland.

In addition to socio-political changes, the fifty years that followed the completion of Koppel's *MACBETH* saw massive changes in almost every facet of musical life, particularly the manner in which the product creation phases are undertaken. Composers generally compose on digital software notation programmes instead of on paper. The networking skills of composers have now become almost exclusively digital and have expanded beyond a composer's region to be international, instead of purely face-to-face networking in concert halls, conservatoriums, or following concerts at private parties. The potential of social media networking now includes marketing and advertising, allowing performers, composers, and organisers to promote works and performances instantly and across previously unthinkable distances. Furthermore, recordings of a composer's works are now able to be accessed digitally instead of only through shops *if* they happened to hold a copy of a recording. This latter change has increased the rate of development of both musicians' and audiences' musical understanding and expectations of music generally, and, more importantly, of individual musical compositions. What was considered avant-garde in 1970 is no longer unusual to our expectations. Expected musical soundscapes now include musical styles such as those found in Koppel's opera to the point where a film adaptation of *Macbeth* could easily include Koppel's music. In addition to the musical soundscapes being broader than in 1970, our acceptance of what at the time was effectively considered intermedial interference has also changed. A theatrical form of an opera has become more common and therefore more expected. Former generations of musicians who had been schooled in aria-laden operas have been replaced by generations of musicians who have been schooled in both traditional operatic forms and through-composed theatrical structures. What was once unusual is now commonplace, and – perhaps arguably – accepted as a part of the expectations of operatic careers and experiences.

There are various aspects that have arguably not changed considerably. These include the acceptance of an adaptation based on its perceived fidelity to the source text, and the insular nature of people schooled in one type of media and not another. For example, school students are often given the opportunity to attend live theatrical performances of Shakespeare plays, yet attending a live performance of an operatic adaptation of the same Shakespearean play is very unlikely. Therefore, within operatic circles, a theatrical format opera might be expected, whereas a person only ever having seen screen performances would have entirely different expectations.

For an audience to enjoy Verdi, they do not necessarily need to 'know' *Macbeth*, as the music and libretto stand alone. It is possible to separate elements of the music and enjoy it without the drama attached. 'Knowing' the play obviously helps in fully understanding the intermedial differences, but in some ways confuses the understanding of what is happening on stage in an opera. In order to fully appreciate Koppel's opera, an audience essentially must 'know' *Macbeth*. The music is intricately

linked to the drama through the structure and the psychology. There is no structural convention that challenges or confuses the understanding of what is happening on stage.

If the statement that “changes in technology clearly influence our perception of films – we are more likely to warm to a film which has just been released than to a film which is fifty years old, simply because it is technically more advanced” (Cartmell *Interpreting* 8) is correct, would this really be correct for operatic adaptations? Are audiences instead more likely to warm to an older opera, which at the time of its creation was pushing the boundaries of audience expectations with regards to style, yet is fifty years later no longer unexpected?

Conceptually, Koppel’s idea of including a ticking bomb may have been difficult to stage at a functional level in 1970. However, fifty years later, the Royal Shakespeare Company produced and subsequently released a DVD of a live stage play adaptation in which a countdown clock appears at the beginning of 2.2 (Findlay [approx. 0:33:10]). At the end of 5.5, the clock is heard ticking on the seconds, and it is highlighted to the audience before “Blow wind, come wrack, / At least we’ll die with harness on our back.” (5.5.50-51). After the clock runs out and shows “00:00:00”, the Porter / Seyton comes out, sees the clock, checks his watch to see what is wrong – to laughter from the audience – and then Macduff announces “The time is free” (5.9.21). Although it is unlikely that Koppel intended such a usage in the opera, Koppel had pre-dated the RSC’s concept by fifty years. However, the technology that had been developed over the ensuing decades had enabled the RSC to stage this effect.

What this does suggest is that were Koppel’s opera to be performed today, the reception to the music would be even stronger than in 1970. In addition, with the capabilities of modern staging and production technologies, it is likely that the visual aspects of the play, linked with his original conception for the nuclear parallel, would allow for a far greater acceptance of the work as a whole.

The importance of networking and collaboration

[C]anonically playwrights, defining their work as the “art” of a given era or nation while overlooking the creative contributions of scenographers, actors, and to a lesser extent, directors: the holy text is permanent, while designers... come and go. [...] We glorify the creative genius... but rarely talk about the lengthy, fundamentally collaborative process that produces such work. (McKinnon 56)

As was highlighted in *Part IV – Chapter 1*, there were two parts of the “lengthy, fundamentally collaborative process” that were important in 1970: the familial links of the Koppel family, and the partnership of the Schuhs. These two collaborations, although not covering all of the roles mentioned above with regard to the overall adaptation, consist of the main players in the creation and production of the opera. Although the *adaptation/composition* and *production* phases have already been detailed in the previous chapters, there is one key aspect that deserves more consideration with regard to the “creative genius”, in this case the composer: that of networking skills.

Koppel’s inability or unwillingness to forge networks is described by his daughter Lone Koppel as simply: “He was not smart” (App. F, Part 1: 303). Even for people researching his work, “[t]rying to get him to talk about his music was like pulling teeth” (Anderson). Whether Herman D. Koppel consciously decided not to engage in forming support networks or whether he was simply not inclined to engage socially in this way is not clear. Nevertheless, at this point of history, it could be argued that the opera itself is very unlikely to have been written or performed had it not been for important family connections, despite his excellent reputation as both a composer and performer (Koppel, L., App. F, Part 1, 3 and 5). In a confirmation that not only Koppel’s reputation was excellent throughout his career, but also that his networking skills were detrimental to the exposure that his music could have achieved, Koppel displayed a tendency to redirect chances that were offered to him towards his children (Anderson).

If Koppel was an active composer fifty years after the composition of *MACBETH*, he would most likely be engaged in social media networks, as is the case with the opera’s librettist Anders Koppel, who has also been a performer, novelist, and composer in numerous fields within the music industry over many decades (Koppel, L., App. F, Part 1, 4). Not only has Anders Koppel maintained an excellent musical reputation around the world since the 1960s, but he has also formed connections through social media around the world (Koppel, L., App. F, Part 1, 5). Whether Herman D. Koppel would have achieved a better social media network than he did with the face-to-face networking skills of the pre-internet era can never be known. What is clear, however, is that *MACBETH* would have been created under far more difficult circumstances without his children’s collaborative influences, and would have required a considerably larger amount of energy on the composer’s part in order to organise a performance had he not had such close personal contact with the artistic director of the Royal Theatre in Copenhagen.

There are numerous elements of adaptation theory that need to be considered in light of Koppel's *MACBETH*. The four phases of product creation – conception, adaptation/composition, production, and reception – contain so many components and stages that each phase needs to be completed well for an opera to achieve acceptance in operatic spheres. A failure within any of these components or stages can lead to obscurity. Therefore, collaboration between the important roles in opera is critical because the differing medial conventions need to be balanced if a work is going to survive in the long term. A successful merging of tradition with changing socio-political concepts, new technologies, and intermedial influences is not a simple task. That Koppel was able to amalgamate three languages, a massive shift in critical thinking related to Shakespeare and *Macbeth* in particular, the developments of operatic conventions, and the massive change that the events of the 1960s had brought to society into the overall concept for his opera shows the incredible intellectual abilities of the composer and those close to him. However, the collaboration between composer and director was essentially non-existent. The director was not able to transfer his experience into a setting within the Danish language and was apparently unable to accept Kott's new way of thinking about Shakespeare. He was heavily involved in the older style of opera and appeared to be determined to implement his own experience in visual aesthetics regardless of the relevance to the opera itself, displaying the destructive properties that failing to collaborate and instead dictating can have on adaptation. This aspect is critical to the concept of collaboration in intermedial adaptations, and is also related to the extension of Hutcheon's theory described as *knowing adapters* and *knowing directors* which was proposed in *Part I – Chapter 2*. In this case, the disjointed relationship between the four phases of the product creation process detailed earlier in this case study, where the adaptation/composition phase barely overlapped with the production phase and involved unresolved intermedial differences, resulted in parallel yet detached notions about how the opera should be staged.

In addition to these intermedial relationships, the hierarchical structure of theatrical institutions appears to have been highlighted by the failure of all people involved in the production to openly question the decisions made by the Schuhs. Levine states that "hierarchies arrange bodies, things, and ideas according to levels of power or importance" (82). The failure of the composer and director to find equal artistic ground is one that places the spotlight on the territorial hierarchy of the theatre – where the director reigns – that resulted in the failed staging concept. This is potentially a further confirmation of Levine's definition of hierarchies: "as many hierarchies simultaneously seek to impose their orders on us, they do not always align, and when they do collide, they are capable of generating more disorder than order" (85). It is clear from Lone Koppel's comments about Oscar Fritz Schuh and also about the stage design – as well the attempts from the composer's two sons to have him pull the opera – that an awareness of the inappropriate staging was more than subjective preferences. If this was the case, what is it within organisational structures that prevented the performers from voicing

their concerns when they were obviously unhappy and uncomfortable about the contributions by the Schuhs? If the theatre involved had been an organisation where the director was *not* viewed as the ultimate decision-maker or, as the case often is, treated as a demi-god, would it have been possible for the other people collaboratively forming the production to question the decisions that had been made and have them changed early enough for the visual aesthetics to match the music? Had Koppel fought against the mindset that Schuh apparently displayed during their difficult meeting in 1969 and requested a change of direction, would the outcome have been different? Hierarchy is obviously important in ensuring the authorisation of various aspects related to the production of an opera. However, the rigidity of organisational structures and the norms associated with following them was, certainly in this case, something that prevented the questioning of authority which in turn allowed a poorly matched visual aesthetic continue throughout the rehearsal period through to the premiere.

The product creation process that led to the *MACBETH* opera by Luke Styles presents an interesting link to these issues. In his doctoral dissertation, Styles records the stages of the collaboration with “a transdisciplinary perspective” (58) that were undertaken with Ted Huffman, the librettist and director for the Glyndebourne production. The two moulded the opera from *Macbeth* over a multi-stage collaboration which began in a casual social format. Early sketches were then transferred to regular workshops that also collaboratively included some of the performers, with later workshops adding the conductor and orchestral players. However, once the opera made it to the stage, “the working relationship with the cast was hierarchical and directive from this point onwards, with communication often going through the conductor or repetiteur” (Styles 59). Styles then notes “the change to a traditional (non-collaborative) working method during rehearsals and production” as being one of two “obstacles to a better performance” (59). Combining this retrospective view of his own collaboration with the results of the production of Koppel’s opera, the hierarchical organisational structure within opera companies warrants reviewing, certainly for the creation of new operatic adaptations.

It is clear from the material available fifty years after Koppel’s opera was completed that there were two completely different personalities involved between the composer and the director. Yet the less-territorial hierarchy of the ‘live operational’ director, the conductor, was one that functioned well with the composer. Kulka collaborated with Koppel, not continued along a path despite his ideas, as Schuh did. Koppel demonstrated an open acceptance of Kulka’s advice, even in the extreme action of cutting almost one third of the opera on what appears to have been Kulka’s suggestions. Schuh, however, effectively quashed any possibility of success for the opera because of his authoritarian-style behaviour. An insistence on applying the Viennese Mozart Style to an opera that had no obvious association to any Mozart opera appears to have frustrated – if not disappointed – Koppel from their first meeting. That it also then frustrated people involved in the production, who previously would not have had any

deep understanding of how the auditory aesthetics of the music should fit with visual settings, demonstrates the inappropriateness of applying this style, not only because of the pairing of the aesthetics themselves, but also because of the lack of theoretical knowledge of the style in Denmark at the time. The difference between the failures of territorial hierarchy involving the stage (Koppel and Schuh) and the success of collaboration in the music (Koppel and Kulka) are highlighted by the production of Koppel's *MACBETH*.

Part IV – Chapter 4: Case Study 2 – Antonio Bibalo’s *MACBETH* (1989)

The first two case studies in this dissertation involve composers who shared similarities to which they were unaware: both composers were heavily affected by the Nazis during World War II, both were multilingual, and both were strongly influenced by avant-garde techniques in their writing. In Case Study 1, the visual aesthetics that the director created for the premiere season in Copenhagen and the avant-garde music that the Danish composer Herman D. Koppel had composed for his operatic adaptation of *Macbeth* were shown to have resulted in a mismatch between visual and musical expectations and associations. This mismatch dramatically affected the reception of the opera and caused it to be relegated to storage shelves. The Norway television performance (Decker and Clemens) of Antonio Bibalo’s 1989 opera, however, provided a well-matched avant-garde visual aesthetic for the compositional style that was created. This is important because “[t]he total symbolism which is opera will not add up unless the staging is basically compatible with the words and the music” (Donington 13). That both composers were Scandinavian at the time of the operas’ creations is also of interest, for although both maintained the original structural forms within their selections from the source text, the Koppels’ choice of text from *Macbeth* was that of a Danish literal translation, whereas Bibalo made selections from the original English text. Both composers also provided versions of the operas in German, although only Bibalo’s opera has been performed in this language, with the German libretto created by Claus Henneberg (TTX). While the difference between Danish and English is potentially an issue with comparing the textual forms, it is the music and the staging that are of importance in the comparison in these cases. Therefore, the main focus of this case study will be the pairing of Bibalo’s score and the overall direction of the opera with a shorter discussion of the structural findings than occurred during Case Study 1. Additionally, the cultural-historical placement of the opera will be presented, particularly with relation to the processes that included the television broadcast.

Background

Antonio Bibalo was born in Trieste, Italy soon after the completion of World War I in 1922, (Grappa; Gulbrandsen; MIC and Hamilton (trans.); WMC) during a period of enormous international socio-political upheaval. He was conscripted into the Italian army during World War II but deserted, becoming a prisoner of war when the Germans subsequently captured him (WMC). After the conclusion of the war, he completed his studies as a pianist at the State Conservatory of Music “Giuseppe Tartini” in Trieste (Grappa; Gulbrandsen; MIC and Hamilton (trans.); WMC), also studying composition (Gulbrandsen). From 1953 to 1956, Bibalo studied composition with Elisabeth Lutyens “a pioneer in the field of twelvetone music” (WMC) at London’s Trinity College of Music, a period “which he found to be of decisive significance” (Gulbrandsen). Twelve-tone composition, also known as twelve-tone serialism, was to “[influence] many of Bibalo's works in the course of his career” (WMC).

It was in 1956 that Bibalo was to start a decade-long transformation of nationality. A year after visiting Norway, he migrated, and although establishing a compositional career there was initially difficult, he nevertheless was able to use his musical skills to survive (WMC), eventually becoming a Norwegian citizen in 1967 (Grappa; MIC and Hamilton (trans.)) or 1968 (WMC).

As with Koppel, Bibalo's stylistic devices were avant-garde at their respective time periods and both composers varied their styles greatly.

According to Bibalo himself, the stylistic variation from work to work is an indication of development. He is not a composer who has settled on a particular style in his compositions; he is constantly changing and attempts to write music where stylistic features from twelve-tone music, jazz and other sources are assimilated in the music, without becoming pastiches of the music of other composers. (WMC)

The relationship between the psychological aspects of the characterisation as they were composed by Koppel were detailed heavily in Case Study 1. In a similar way, Bibalo created or structured his own libretti, which “gives him control over the work as well as inspiration for the music that bears the text. When he composes music for the operas, he chooses a tonal idiom that he feels fits the characters and action of the opera” (WMC). Bibalo drew from “literary works by great and famous authors: Henrik Ibsen, Henry Miller, William Shakespeare and Tennessee Williams” (WMC). One major difference between the composers, however, is that whereas Koppel's *MACBETH* was his first and only opera, Bibalo had already composed internationally-acclaimed operas from 1962 onwards, including one for Kiel Opera in 1981 (Grappa; WMC). His compositional focus “is centred on textual and dramatic expression” within his operatic repertoire and “is bound together through integrating musical structure on the one hand and preserving a scenic-dramatic unity on the other” (Guldbrandsen). This is not intended to suggest that the operatic quality of either composer is higher than the other, but may suggest – in addition to the exposure that a television broadcast provided – why Bibalo's work has become more well-known than Koppel's.

Bibalo also used a considerably smaller amount of the original text than Koppel did, perhaps demonstrating the experience that composing previous operas had provided Bibalo. The percentages of original text shown in Table 40 highlight an immensely abridged libretto. Bibalo also included some additional text, which, in comparison to the other English “original text” operas by Collingwood, Hamilton, McIntyre, and Styles, contains a considerably higher number. Only Gatty's, in which new scenes were added, and Bloch's, which had been reset from the original French libretto, contained more additions.

Act 1	Act 2	Act 3	Act 4	Act 5	Total
38.9	35.0	29.0	9.1	27.5	27.57

Table 40: The percentage of text used in Bibalo's *MACBETH*

As with Koppel, however, the patterns of scene usage were similar, with a great deal of the final two acts being omitted, as can be seen below in Figure 103.

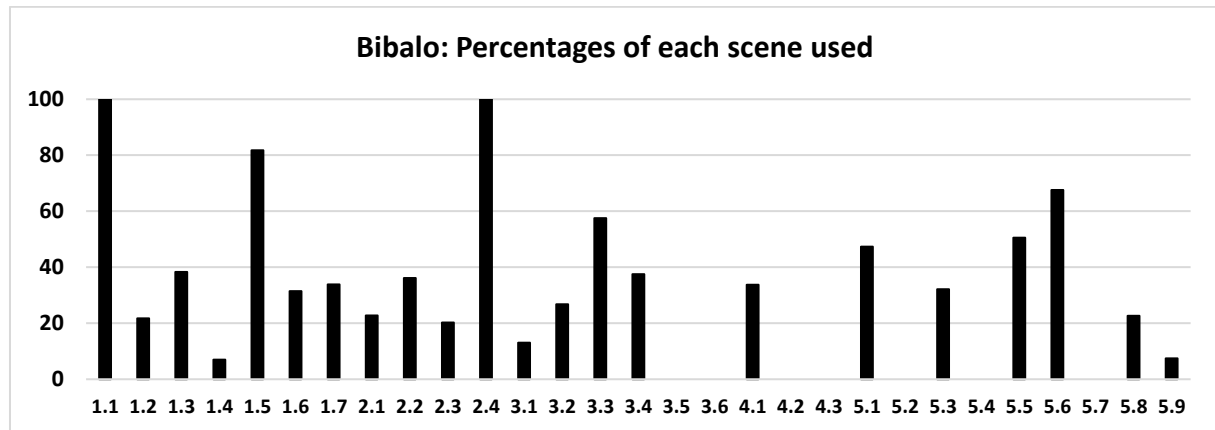


Figure 103: The percentages of each scene of the source text used in Bibalo's *MACBETH*

These statistics do not, however, show the inclusion of the “choreographic scene... in slow motion” (Bibalo 123) where four ballet dancers enact the murder of Lady Macduff and her son (4.2), as there is no incidence of verbalised text usage. This scene also highlights not only the relationship between the text-type of the notated musical score and the aesthetics of the scene in the production, but also intermedial – in this case text-type – influences with that of stage plays and screenplays. As with both text-types, Bibalo describes the dancers’ actions with similar simplified stage directions, including that of grammatical tense being in simple present, allowing stage directors to apply more detailed aesthetic aspects:

On the left side of the stage can be seen Macbeth’s face, illuminated and immobile. On the other side Lady Macduff and her little son appear; Lady Macduff holds the boy in her arms, comforting him. From the darkness (center of stage) appear two figures clad in black (the Murderers). They look around and then move toward Lady Macduff and her child (both in extreme terror). One of the Murderers takes the boy away from her, while the other holds her arms. The 1st Murderer sits down and puts the boy on his knees, then takes out his dagger and stabs him in the back. The boy falls dead to the ground. The 2nd Murderer grabs Lady Macduff by her hair, forcing her head backwards, and cuts her throat. Her body falls near the child’s. The two Murderers leave the place. (123)

The exclusion of 4.2 from the percentage statistics is similar to exclusions caused by screen-based target media replacing something which is verbalised in a source text with a visual portrayal or representation of the text. Further research may be able to record both of these factors by segregating the verbalisation within the target text-type and the visualisations within a target medium, thereby providing another means of quantifying the differences between the two mediation process phases of adaptation/composition and production.

Television opera: Mixed media, modes, and processes?

Bibalo's *MACBETH* was completed in 1989 and first performed in 1990 by the Norwegian Opera Chorus and Orchestra conducted by Antonio Pappano, with Louis Gentile as Macbeth and Anne Gjevang as Lady Macbeth. The premiere was filmed and broadcast, presenting another aspect of operatic adaptation that warrants comparison to Hutcheon's concepts, particularly *adaptation as product*, *adaptation as process* and *modes of engagement*. The simultaneous dual media performance of live stage and filmed broadcast presents further complications to the theories and processes of mediation, as the collaboration – or perhaps simultaneous collaborations – involves different constraints and freedoms. The details contained throughout the manuscript piano reduction (Bibalo) suggest nothing about whether Bibalo composed the work as a "Television Opera... an opera commissioned for television" (Barnes 2) involving studio and/or location filming, whether it was purely intended for the theatre but was subsequently filmed and broadcast, or was composed for a filmed stage.

In the case of the aesthetics created by the direction, the double-media requirements complicate the process of mediation because of the switch between a fixed audience perspective and the edited multiple-angled perspective available to screen audiences. This impacts the overall reception of the opera and also creates a dilemma for television directors:

The temptation is very natural to use dissolves and close-ups and other well-tried and highly ingenious methods of the cinema. But close-ups, in particular, by showing you the whites of his eyes and the movement of his lips and his Adam's apple and every detail of his makeup, put at great hazard all that theatrical distancing which gives to the singer the magic of his otherness. The nearer we get to him, the more he begins to look like an actor and the less like an archetype. What we gain in intimacy we may lose in numinosity. (Donington 189)

Additionally, the difference in live acoustic auditory reception and sound reproduced by recording and amplifying technology could potentially change the overall reception to an opera. The difference in the manner that the voice is presented, where "in the theatre the chief practical difficulty is that we never do pick up all of the words even if we know the language" (Donington 9), is not necessarily an issue with television opera, particularly if a studio recording has been made for the purpose of a mimed visual recording.

With regard to the *modes of engagement*, the printed score (*telling mode*) excludes live visual staging information in the theatre performance (*showing mode*) during which the audience remains in a fixed position and sees only the staging by Willy Decker, the stage director. The score also excludes the visual information in the filmed product(s) (*showing mode*) where the perspective changes and is based upon both Decker's staging and the television director's work. This naturally raises the issue of whether research into the opera should be based upon the manuscript under the concept of medial fidelity or be based upon the theatrical or television opera under the concept of aesthetic fidelity, as both types of fidelity involve separate mediation processes as proposed in the *Introduction* to this dissertation. As

discussed in the *Introduction*, the majority of research focusses on the product, whereas as a focus on the printed score would change the understanding of the adaptation's medial fidelity. The following subsections present information that requires consideration with regards to a deeper comprehension of mediation, adaptation, and, indeed, operatic composition.

Simultaneous (collaborative) levels of direction

Figure 104 shows the variance in process that the three levels of mediation involved in a television opera might entail. The upper section represents the process involved in the *adaptation/composition* phase undertaken by Bibalo, in which he chose the libretto and applied it to the music. What is not known is whether this happened in separate sub-processes or whether Bibalo simultaneously chose text and composed. It is assumed that he was also involved in the production phase at least during rehearsals and that he was in close contact with Antonio Pappano related to the musical direction of the opera. However, to what extent he collaborated and influenced the production phase and the production itself through his presence is unknown (e.g. whether he had a concept for a visual aesthetic, whether he discussed it and/or collaborated on it with the stage and/or television directors to result in what appears on film). Based on the evidence of the production of Koppel's and Styles' operas presented earlier, it is less likely that Bibalo was involved in acting directions and aesthetic decisions during the production phase, but is likely to have coordinated musical issues with Pappano.

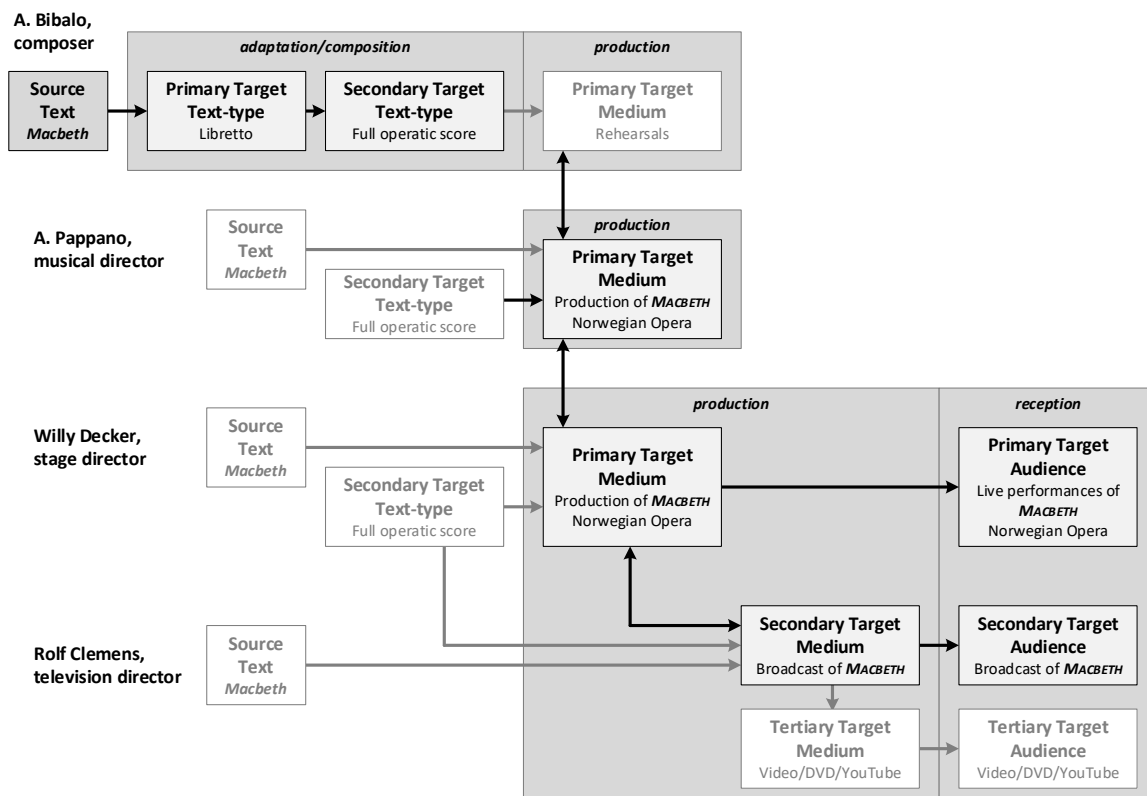


Figure 104: The probable processes of mediation in Bibalo's *MACBETH*

The lower section of Figure 104 represents a separated collaboration between the two directors – assuming that the stage direction was decided before the television direction occurred. It is possible that the two directors developed the overall direction together, but it is assumed here to be chronologically related between the primary medium (live stage) and secondary medium (television broadcast). The stage direction would have involved collaboration with Pappano and the crew and the television direction would have subsequently worked with the stage director to capture the live performance in a way that would not affect the theatrical performances. Both directors would presumably have brought knowledge of the source text into their own decision-making as will be discussed below. The simultaneous production of two medial forms can be seen to complicate the process workflows, suggesting that collaborative associations between a composer and two directors are critical if an operatic adaptation such as Bibalo's *MACBETH* is to be added to the list of regularly performed operatic repertoire.²³⁰ Whether these collaborations occurred is, unfortunately, unlikely to be known.

The concept of (un)knowing: retrospective or proactive knowledge?

This overall collaboration, with its multitude of participants, brings to light a layer which is missing from Hutcheon's concept of *knowing and unknowing audiences* because it only considers the retrospective application of knowledge to the reception of an adaptation in the present. However, the extended concept of *(un)knowing adapters and directors* as presented in *Part I – Chapter 2* takes into consideration participants' knowledge of how an adaptation will be applied into the future. Composers could potentially compose differently based upon their expectations of the target medium/media for which they are writing. Bibalo composed his opera for the stage, where the time taken for scene changes must be taken into consideration, yet were his opera commissioned directly for recorded television, a different structure may have occurred due to the ability to edit between scene changes. The dual purpose of stage production and television production may also change the intentions of a composer, who may need to simultaneously consider what will be possible for each medium, for example, during scene changes, without breaking from the conventions of one in order to satisfy those of the other medial form. This highlights the difference between Hutcheon's retrospective application of foreknowledge and the application of foreknowledge for aspects that affect future scenarios in adaptation.

²³⁰ It is noted here that Bibalo's opera is far more likely to survive than Koppel's opera, not necessarily because of the reception of the first performances, but also because it had been broadcast. Fawkes briefly discusses the difference in audience numbers between a new opera in a theatre and one that is broadcast on mass media, which, although viewer numbers may be considerably lower than other types of television broadcast, would draw far more viewers than a theatre (202-203).

In addition to extensions of the (un)knowing concept specifically for composers, any collaborative participant may be aware of how a knowing audience will react to alterations from the source text. One example where the impact of this is exhibited is a variation between the Gentlewoman's line composed by Bibalo as "Mercy on her, oh Lord" (135) which was replaced in the production with the original Shakespeare line "God forgive us all" (5.1.75). This suggests that either the director or another person involved in the production considered Bibalo's reworded version as problematic with regards to the reception phase for knowing audiences.

Although it is not the intention in this research to fully develop the issues raised here, further research should consider various aspects: a) the ways that the inclusion of television direction influences the aesthetics of stage directions and staging; b) how avant-garde staging which matches avant-garde music is received differently by theatrical and television audiences, particularly in light of the extended concept of knowledge of each media; c) whether the visual and auditory aesthetics are more important than the text in this case, and to what extent; d) whether there are any changes to the meaning/interpretation of not only the source text but also the target text, in this case Bibalo's *MACBETH* by doing so; and e) whether the issue of knowing audiences also needs to include knowledge of differences in aesthetics (e.g. avant-garde influences as opposed to 'traditional' settings).

In the case of the dual production of Bibalo's opera, these aspects are all critical if an understanding of proactive knowledge is to be developed. Knowing adapters could easily have their intentions thwarted if a lack of knowledge related to the consequences of production decisions results in medial non-conformity. The combined collaborative knowledge in this instance requires intermedial knowledge to an extent that all text-type and medial conventions in each of the different target forms are brought to fruition. Whether compromises were required in order to permit the dual production functions is currently unknown. However, this aspect could also bring other levels of understanding to the difference between retrospective and proactive knowledge and thereby improve the way that collaborative adaptation occurs in practice.

Matching aesthetics: Staging harmony between visual and auditory aspects

The heading for this section is deliberately ambiguous. It refers to both the adjectival form in which the visual and the auditory aesthetics complement each other, and the gerund form related to the process of how directors, in the case of opera, match the auditory input from the musicians with the visual inputs of, for example, the staging, costumes, and makeup. The necessity for this match is defined by Donington, who states that "[t]he words do most to define the opera, the music does most to meld the opera, but it is the whole which is the opera. To defraud us of that whole by inappropriate production is to cheat us of the opera" (16). Case Study 1 details the lack of harmony between these types of aesthetics, where an avant-garde auditory aesthetic was 'defrauded' by an "inappropriate

production". It emphasises the problematic results that occur when no regard toward the composer's intention is shown. The Oslo production of Bibalo's *MACBETH*, however, demonstrates that a process of matching the auditory information provided in the target text-type (notated score) with the visual information presented on stage and also on television was undertaken. It also presents a harmonic match between a dissonant musical aesthetic with an unusual dissonance of natural and supernatural staging. It is evidence of a successful pairing of avant-garde music in combination with suitable avant-garde visual aesthetics.

With regard to television production, one aspect of the Oslo recording creates a tension between, firstly, the medium of opera, where since Wagner's "invisible orchestra" and "the darkening of the auditorium" (Morris 160) in Bayreuth began to change to a convention of darkness, and secondly, the medium of television, where intense studio lights are the norm. The darkness of much of the production, for example that the witches and the stage itself are almost completely black with the exception of the hieroglyphic-styled white lines and shapes, is one aspect that presents a possible break from the conventions of the secondary target medium (television), where the "unwritten rule of film and video [is] that the screen should never go dark, that there should always be an image" (Morris 1). The darkness is used, however, in contrast to the intensely-bright whiteness of Duncan's costume, the white metallic bed, and the lit highlights of the main characters' skin throughout. The almost completely monochrome visual aesthetic, where even the redness of blood on the daggers is almost unnoticeable, and despite the availability of colour television of the time, is perhaps one component of medial differences that was not compromised, perhaps influenced by previous operatic versions of *Macbeth* (Fawkes 193).²³¹ Excluding the issue of darkness, however, the production exhibits matching aesthetics, as both an intramedial and intermedial production. It would be difficult to justify any claim that, in the case of the Oslo production, any of the directors were "adventurous but wayward" or failed to create "appropriate associations" (Donington 18).

For these reasons, the dual production of Bibalo's work therefore presents an opportunity for achieving a deeper understanding of the medial processes that were involved. Although far more intense research is needed to access these opportunities in full, the simultaneous and collaboratively-based processes that such a dual production requires could highlight far more about the overall process of creating an adaptation. The adaptation/composition and production phases that have been highlighted with relation to Bibalo's work once more highlight the difference between medial fidelity and aesthetic fidelity as introduced in this dissertation.

²³¹ Fawkes discusses a similar film of Verdi's *MACBETH* by Claude D'Anna, in which "it had the feel of a black-and-white Russian classic from the sixties" (193).

Part IV – Chapter 5: Case Study 3 – Frank Marshall or Lauro Rossi’s BIORN (1877)?

The operatic adaptation of *Macbeth* entitled *BIORN*, which was premiered in 1877, holds many examples within its mediation processes that are of relevance to Linda Hutcheon’s adaptation theory described in *Part I – Chapter 2*: the manner in which *modes of engagement* are involved during the transfer from play to libretto as well as the effects that the libretto has on *knowing audiences* are both pertinent in this case. Additionally, the argument for other forms of *(un)knowing* participants in the adaptation, also proposed in *Part I – Chapter 2*, is strengthened by the events leading to and during 1877. Marshall’s libretto for the opera is the only English language *MACBETH* opera which does not use the original text by Shakespeare and therefore the only English language opera based on *Macbeth* that conforms to the traditional forms of opera and not that of the music drama. As with Koppel’s opera *MACBETH*, which was described earlier in Individual Case Study 1, the influence of scholarly activity and intercultural knowledge were important components of the adaptation processes. The librettist’s deep understanding of the source text also permitted connections to the original text that provide insights into the role that a librettist can have when transforming theatrical texts into operatic ones, as well as the methods in which the text is transferred from the source medium to the target medium. In addition to the background information that is known about the opera, this chapter will focus on the aspects above and the unusual process flows that appear to have been involved, as well as a concluding discussion of how this transformation relates to adaptation theory and the practice of adaptation.

The creative process

The challenges in identifying a creative process that occurred one-and-a-half centuries beforehand are numerous, particularly when multiple languages are involved and correspondence between the creators has not been found. A copy of the libretto which was created by Frank Marshall that is held at the National Library of Scotland was used as the basis for the research into the opera, along with several advertisements, announcements, reviews and reports²³² that were made at the time. Some sketches of sections for *an* operatic score by Rossi called *Macbeth* were also accessed (e.g. Rossi "Allegro Brillante"; Rossi "Andante"; Rossi "Ballate"; Rossi "Ballate"). The italicised emphasis on “an” is made above because the dates provided for the sketches by Europeana Collections (e.g. Rossi "Ballata Details"), the use of Italian names from *Macbeth* for the soloists instead of the Norwegian names presented in the English libretto for *BIORN*, and the failure of the structure to link to that contained in the libretto together suggest that the Marshall version does not match the music of the sketches. A 493-page operatic score by Rossi called *MACBETH* is also held in the library of the

²³² The vast majority of these sources do not provide an author’s name. To enable a simpler method of reading and to assist with finding the correct source in the bibliography, each will be shown simply as ([no.] Unknown) where they are referenced.

Conservatorium of Music in Naples (ICCU) dated March 28, 1875 to June 18, 1876, and as with the sketches “[t]he text is entirely in Italian. Sometimes there are some brief scenic remarks in French at the beginning of some scenes, but the text is in Italian” (Corsi). Although the score could not be accessed for this research and that according to Sadie “none of the music... survives in print” (*N.G.D.O., Vol.4* 54), it is expected that Rossi’s *MACBETH* held in Naples is the opera *BIORN* but it was performed with Marshall’s libretto.

One criticism levelled at the opera following the premiere performance in January, 1877, was that the music did not match the theatrical aspects of the libretto ([2] Unknown): a statement that assumes that the music followed the creation of Marshall’s libretto, or at least the possibility of a long-distance ‘simultaneous’ collaboration. A suggestion made following the premiere is that “[p]ossibly Mr Marshall may have taken a hint from a little book published last year, entitled “Macbeth, Earl Siward and Dundee ; a contribution to Scottish History from the Rune-Finds of Scandinavia”” ([4] Unknown), suggesting that the most plausible chain of events is that Rossi composed the opera in 1875 and 1876 and Marshall translated – or had it translated – and then presumably altered the setting of Rossi’s text to that of Norway in either 1876. Unless Marshall had been in contact with Rossi since the sketches, it is unlikely that the composer had taken narrative changes and ideas from Marshall, which was suggested by one journalist, who stated that: “[Marshall] got it translated into Italian, and laid it before...Rossi, of Milan” ([10] Unknown). If the text and instructions on Rossi’s *MACBETH* are only in Italian and French, then it is unlikely that the opera was composed in English.

Although there were Italian opera houses in London with standard international repertoire (Rodmell e.g. 13), an Italian opera with an English text would not have been a common combination. The fact that an Italian composer – allegedly – composed an opera at this time for an English libretto despite the development of English language operas at the time was lamented by one critic: “As we went to Germany for our national oratorio, so we are going to Italy for our national lyric drama. Verily England is *not* a musical country” ([11] Unknown). Whether this order of events really was the case is not yet able to be confirmed. However, it is likely that Marshall simply applied an English text to what in reality should be considered an Italian opera in every respect.

Obviously, concrete observations about every part of the creative process cannot be made at this time. The sketches of the music that are held in Naples unfortunately do not assist in clarifying what happened, as they do not include any libretto underneath the melodic lines and the soloists are only marked with the Italian equivalents of the original names and general voice types shown, for example as “Donne” [“women”] (Rossi “Allegro Brillante” 1/192). If the sketches occurred before Marshall’s involvement, then there is some evidence to support Rossi’s influence on the libretto to *BIORN*. Firstly, Marshall’s libretto opens with the line “What is the news?”, which is also the translated opening of an

earlier opera by Rossi, *Il Borgomastro* (Izzo 392). In addition, the sketches would then suggest that Rossi at least influenced the love and jealousy narrative added into the adaptation. Despite the omission of the text underneath any soloist's vocal lines, the considerable sections in the sketches that involve sung dialogues between 'Lady Machebetto' and 'Banco', as well as his silent attendance during a ballad sung by Lady Machebetto (Rossi "Ballate") suggest that Rossi had already settled with the additional love theme found in *BIORN* well before the operatic score of Rossi's *MACBETH* was 'properly' composed.

What can be assumed from the evidence that is available is that Rossi sketched at least parts of the opera between 1840 and 1860, well in advance of the completion of the opera; the operatic score to *MACBETH* was written between 1875 to 1876. However, exactly when Frank Marshall came into the creative process is not known, nor is it known when Rossi's apparently traditional Italian *MACBETH* was transformed into Marshall's Norwegian-influenced *BIORN*. Marshall might have been involved in collaboration with Rossi during the sketching of the opera, have become involved once Rossi had formed the majority of the opera's structure, or have translated – or even re-adapted – Rossi's text following its completion. Until correspondence is found or further details about a libretto in Rossi's handwritten manuscripts becomes accessible, it is unlikely that the mystery of the creative process can be determined.

The following subsections will discuss the two main contributors to the creation of the opera *BIORN* as well as foreground some of the issues that were raised as part of the reception to the opera. Additionally, the relationship to Hutcheon's theory will be discussed in greater detail in this and the remaining sections of the chapter.

The librettist

Francis Albert Marshall (Boase), or Frank A. Marshall as he was more generally known, is mentioned as being a "more experienced" playwright in comparison to many of his contemporaries. Born into an influential political family (Boase), Marshall worked for the Audit Office in Somerset House until he resigned "in 1868 to become a full-time writer" (Richards 164). He was also a newspaper theatre critic (Boase; Stevens 17). Richards mentions an "eight-volume collection of the complete works of Shakespeare... initiated and edited by... Frank Marshall, playwright, scholar and journalist... issued between 1888 and 1890" (120) of which the eighth volume was completed by Edward Dowden (Foulkes 120) following Marshall's death in 1889: Marshall reportedly died during the collation of the seventh volume, but had worked significantly on it before his death ([26] Unknown). This eight-volume edition is generally known as the *Henry Irving Shakespeare*, the actor Irving having been a friend of Marshall's (Foulkes 120) who "lent his name" (Richards 120) to the collection and is co-editor with Marshall. At the time, Irving and Marshall were referred to as "two kindred spirits – one from the

theatre and the other from study” with Marshall being further defined as “a Shakespearean scholar whose claims to an enduring reputation need no other champion than his published works” ([24] Unknown). In addition to Marshall “[becoming] one of Irving’s circle” and combining his intellectual life with “the Bohemian life of parties, dinner and japes” (Richards 164), Marshall would also develop a professional working relationship with Bram Stoker (Richards 186). It could therefore be assumed that Marshall was well versed in Shakespeare and *Macbeth*. The choices that he made in *BIORN* are, therefore, not choices that could be considered to be simply those of an inexperienced librettist, or as was proposed in *Part 1 – Chapter 2* for cases where the adapter is unfamiliar with a source text, an *unknowing adapter*.

BIORN was almost immediately declared “a failure” (Boase) following the premiere. However, as will be discussed in more detail in following sections, this appears to be due to casting and restricted rehearsal schedules, as the criticism initially levelled at the opera appears to have dissipated as the season continued. Nevertheless, the responses to Marshall’s libretto are another example of the dilemma facing Shakespearean adapters with regard to fidelity and originality. His libretto is lauded on the one hand for maintaining Shakespearean qualities: “Mr Marshall’s book was one of the redeeming features of the evening. He has paraphrased many Shakespearian passages with real ability. His lyrics are tuneful ; his declamatory scenes vigorous” ([4] Unknown). On the other hand, the libretto is lambasted for daring to change the setting, change the order of events, and present additional narratives: for example, “[Marshall] has thought it desirable, for some reason or other, to transfer the scene from Scotland to Norway, and to alter the names, in an arbitrary fashion... All of this, of course, is sacrilege or worse from the point of view of the ardent Shakespearian... [W]e cannot consider it as a happy specimen of operatic poetry” ([20] Unknown). There is a possible link to Irving’s *Macbeth* production in 1875, where “[Irving] attempted a new reading, seeing Macbeth as ‘a moral coward’ and ‘one of the most bloodyminded and hypocritical villains in Shakespeare’” (Richards 129) and where Lady Macbeth “was softer and more feminine than audiences had been used to” (Richards 130). According to Richards, the production raised some discussion about the sexualisation of *Macbeth* (130), which suggests that, assuming that Marshall’s close acquaintance remained in the years prior to *BIORN*’s production, it may have played a part in the sexual aspects that occurred, even if only in the perceptions of the audience. Numerous other examples of the divide in critical opinion can be found within the remaining sections of this chapter. In addition, an analysis of the re-working of the source literature as well as the additions contained within *BIORN* will be discussed.

The composer

At the time of *BIORN*'s premiere, Lauro Rossi was director of the Conservatorium of Music in Naples²³³ and was a respected conductor. He had previously held academic posts in Rome and Milan, the latter of which saw him focussed more on academic output than the creation of operas (Sadie *N.G.D.O.*, Vol.4 54). He achieved some success with his operas, yet as much as Rossi was held in esteem, he was always compared to his contemporary Verdi, as the following quote from a review for *BIORN* demonstrates:

[Marshall's] queerest notion of all was to go for the score of the new "Macbeth" to Signor Rossi, seeing that a very much greater composer than Signor Rossi had already given us a "Macbeth" in music. ([2] Unknown)

This view is rendered incorrect if, as highlighted earlier, the creative process occurred without collaboration between Marshall and Rossi. However, other reviews continued on this theme of comparison: "possibly Signor Rossi himself wished to avoid all appearance of antagonism to his celebrated contemporary Verdi, whose unsuccessful opera *Macbeth* closely follows the original tragedy" ([7] Unknown), "[t]he music is not equal in merit to the libretto, and Signor Rossi has been even less successful than Verdi in his musical treatment of the terrible story of *Macbeth*" ([7] Unknown), and "Signor Rossi is a not undistinguished member of the modern Italian school, but he seems to have few of the qualities which have made that school so universally popular. There is here little of Verdi's *verve*, less of Bellini's sweetness" ([20] Unknown 86).

Even when critics actually focussed on what Rossi had created and away from what Verdi had previously created, there were few compliments given to the music of *BIORN*, with the majority focussing on the negative aspects. For example, "[t]he orchestration, although the best feature in the work, is often noisy and vulgar, and too often inappropriate in character" ([7] Unknown), and "a vague attempt at giving something like local colouring by the introduction of some bits of Scotch tunes was a deplorable failure" ([4] Unknown). The latter statement about Rossi using Scottish music is confirmed by another critic who mentions "national airs of Scotland" ([5] Unknown). It is this final clue about Rossi's writing in *BIORN* that supports the propositions made above that Rossi composed an opera called *MACBETH* – including musical references to Scotland – and Marshall subsequently overlaid his libretto of *BIORN*: evidence that counters the view that the music to the opera no longer exists or the commonly-held belief that Marshall created the text to *BIORN* and it was then composed. If Rossi composed Scottish tunes to a Norwegian *BIORN* libretto, then the theoretical proposal for *(un)knowing adapters* made in *Part I – Chapter 2* would be further complicated. Why would a *knowing adapter* – Rossi was obviously aware of the Scottish connection in *Macbeth* – break into an intertextual-intercultural link within a Norwegian setting? Marshall allegedly claimed that it was because of the

²³³ Conservatorio di Musica San Pietro a Majella in Italian; also known as "Naples Conservatory" in English Sadie, Stanley (ed.). *The New Grove Dictionary of Opera*. vol. 4 (Roe-Z), Oxford University Press, 1992/1997.

connection between Scotland and Scandinavia and “because Norwegian music was “not easily obtainable”” ([5] Unknown), but this would appear to be more an attempt to shroud the realities of the creative process than an explanation for the inclusion of Scottish music. The use of a superimposed libretto could also explain why “[t]he more solemn the scene, the less solemn are the sounds accompanying it” ([2] Unknown). If these discrepancies between music and Marshall’s – not necessarily Rossi’s – libretto exist because of Marshall’s work occurring after Rossi had completed his work, then Rossi’s quality as a composer has been unjustly criticised.

The probable process of creation

In *Part I – Chapter 3*, the mediation process involved with transferring information from one primary or secondary source text or source medium to a primary target text-type and target medium was outlined. Koppel’s *MACBETH* [*Part IV – Chapters 1 to 3*] demonstrates the standard order of operatic creation: lines for the libretto were chosen, then the music was composed to the chosen lines, then some lines were cut from the composition. Although Koppel then added a German translation and added re-composed melodic lines to suit the German text, it was a standard German literal translation that was used. The possibility that Marshall set an English libretto to an existing opera with an Italian libretto changes the ‘normal’ order of mediation. In Figure 105, the two possible versions of the creative process are presented. On the left, the standard version of events based on the reviews and sources from the time, which were in turn based upon information provided by Marshall and his circle, is shown, including the unlikely link where his English libretto was the initial target text-type with an Italian translation used to compose the opera. On the right, the probable version involving Marshall’s overlaying of *BIORN* onto a previously-composed opera, Rossi’s *MACBETH*, in which the Italian libretto was used to compose and the English translation and re-setting into Norway as *BIORN* occurred as a secondary target text-type.

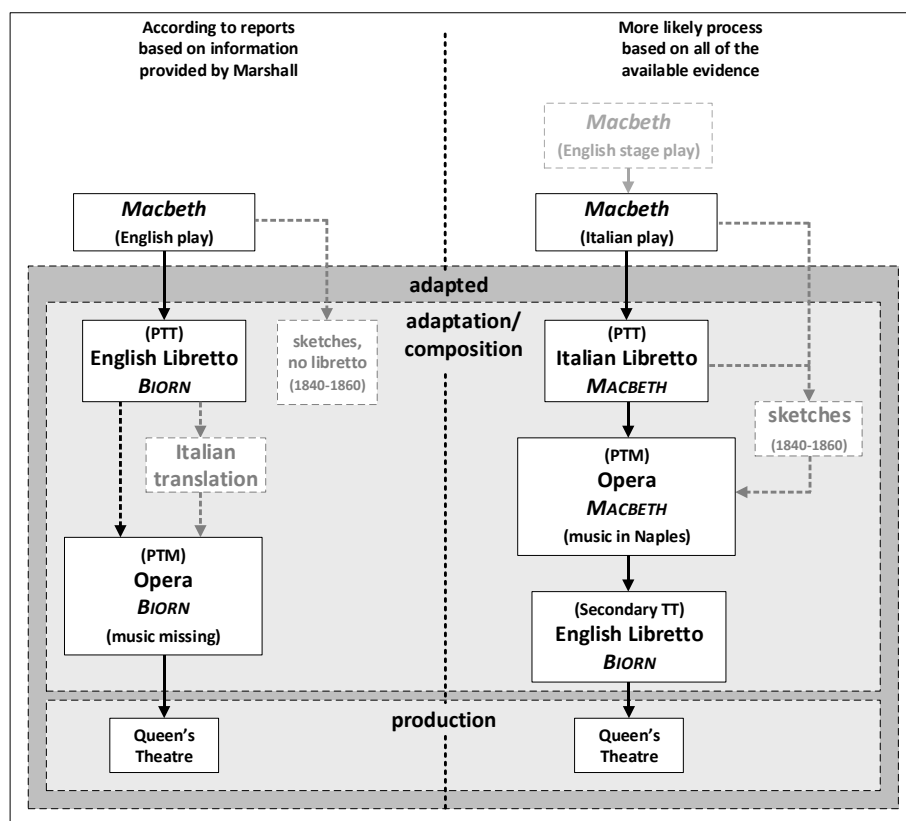


Figure 105: The probable product creation process of Marshall and Rossi's opera(s)

Exactly how *BIORN* – and indeed Rossi's *MACBETH* – was actually created may never be known. However, combining the evidence that is presented in this chapter with the distance involved between the two parties involved in the creation of *BIORN* as well as the potential complications of communication through language barriers, it is more than likely that the version of the product creation process shown on the right-hand side of Figure 105 above is how *BIORN* came to be. Although the financial benefits of the opera, whether that be as *MACBETH* or *BIORN*, are currently negligible, the intellectual ownership of the narrative changes is important in that Marshall appears to have claimed credit for the creative aspects of *BIORN*. Whether this is reality or has effectively taken the intellectual ownership away from Rossi or perhaps an Italian librettist that worked with Rossi is the more pertinent issue at hand.

The production phase

The production of *BIORN* appears to have been the principal cause of its failure to initially receive positive responses from audiences and critics alike, with two main areas commonly featuring in reviews from the period: casting and organisation. In Individual Case Study 1, the positive collaboration between the members of the Koppel family in bringing Herman D. Koppel's *MACBETH* to the stage was discussed, as was the destructive collaboration between the director, Oscar Fritz Schuh and his wife. In the case of the Koppel family, the casting of a world-class dramatic soprano, Lone Koppel, in the role of Lady Macbeth was critical. In the case of *BIORN*, however, as will be seen, the casting of the librettist's wife in the paralleled role of Lady Elfrida was a fateful decision. Indeed, few of the soloists cast in the opera received positive reviews. Similarly, the organisation in Copenhagen for Koppel's *MACBETH* was considerably better than would seem to have been the case at the Queen's Theatre for *BIORN*, with the exception of the problematic direction and the staging, which in contrast appears to have been well received in *BIORN* (e.g. [7] Unknown; [22] Unknown). Naturally, literary concerns also play a part in the overall reception to a new opera and some of these concerns are addressed in the end of this section. However, prior to approaching the connections to the literature contained in the adaptation itself, the following two subsections highlight the casting and organisational issues that disrupted the production of *BIORN* in London.

Casting

“Those who are familiar with the kind of enthusiasm manifested on operatic “first nights,” will not be surprised to learn that plaudits and recalls were profusely awarded” ([7] Unknown).

The majority of reviews about the performances of *BIORN* that were published at the time, including the one quoted above, do not attempt to hide their contempt for what occurred on stage. There are very few positive reviews about any cast members from *BIORN*, with the notable exceptions of Cora Stuart, who played Rollo and received several mentions for her skill on stage (e.g. [2] Unknown; [4] Unknown; [5] Unknown; [7] Unknown; [20] Unknown; [22] Unknown) and the Italian baritone who played Biorn, Francesco Mottino, who “has a hard and unsympathetic baritone voice, but his singing and acting showed good training ([7] Unknown). Indeed, “very few of the artists who were permitted to “create” the numerous rôles belonging to the opera were fully qualified for their tasks” ([7] Unknown). This unfortunately appears to have been the case for the main role, that of Lady Elfrida [Lady Macbeth], which appears to have been given to her because she had taken parts in her husband's previous stage plays, and not because of any professional operatic experience. Marshall's wife, Miss Fitzinman Marshall “scarcely possessing the qualifications of an ordinary amateur” ([4] Unknown) was cast in the role of Lady Elfrida [Lady Macbeth] and was purportedly a student of Rossi's ([10] Unknown;

[11] Unknown; [12] Unknown), although this latter detail has not yet been substantiated. In the same seething review quoted above, she was further criticised:

[W]hen the would-be *prima donna* omits nearly all the important music of her part it is time, indeed, to make a respectful protest against a display of incompetence calculated to bring the operatic stage into disgrace and to mar the energetic endeavours made in other quarters to render opera in English an attractive entertainment. Some strange hallucination must have infected Mrs Fitzinman Marshall's mind when she made the desperate resolve to become a heroine of grand opera. If she had the voice, the musical ear, the necessary training, or if lacking these qualities she had great gifts as an actress, our disappointment would not be so great, but the faults, we regret, in Mrs Fitzinman Marshall are not the faults of a youthful novice, possessed of talent but lacking experience. ([4] Unknown)

The same reviewer did explain more, by stating that “at the end of the first act Mr Everett, the Acting-Manager, came forward with an apology for the lady on the score of indisposition” ([4] Unknown). This sympathy was then completely overridden when the critic continued with “we can only once more regret the mistaken ambition or injudicious counsel that placed Mrs Marshall in such a false position” ([4] Unknown). A day earlier, another harshly critical review was released, albeit in a – slightly – more understanding tone:

An apology was made for the impersonator of Lady Editha,²³⁴ who was suffering from indisposition, and who, apart from physical illness, may well have been afflicted with the moral malady known as stage fright. It would scarcely, then, under these circumstances, be fair to judge of the new *prima donna* from her first appearance. ([2] Unknown)

The “malady known as stage fright” mentioned above was an expected part of what Rodmell describes, with regard to the use of “untested singers”, as “part of the operatic ritual” (16). Although Rodmell continues with stating that “critics generally held back” (16) in their criticism of these singers, this was obviously not the case with Fitzinman Marshall. The antagonism towards her evidenced in many of the reviews could, perhaps, be traced back to her acting performance in Frank Marshall's comedy *Corrupt Practices* in 1870, when “the audience did not care for Miss Fitz Inman. But Frank Marshall did, very much indeed, – in fact he subsequently married her. When they gayed and howled at the play, Frank Marshall spat, spluttered, scowled, shook his fists, and lost his temper. He was never forgiven for years” (Clement Scott 271). Despite the possibility that the audience had long memories, the fact that her ‘indisposition’ appears to have caused her great problems at the premiere seems to be the greatest cause of failure for the opera. According to Rodmell's appraisal of “audiences of the 1870s” (16), her inability to sing well would have caused audiences at the time to be more critical of the performance than the organisational issues that are mentioned in the following subsection. The collaborative aspects that took place within the production, including in this case the use of print media to advertise and potential connections to critics, should indeed have permitted a successful season. However, the

²³⁴ The review contains many errors and (mis)understandings that do not correspond to the libretto. Here, the spelling of Lady Elfrida is used in the libretto. Others also misspell it, for example, “Elprida” ([12] Unknown).

reliance of what appears to be unmerited nepotism in the casting choices for the opera, which resulted in a below-standard performance, was undoubtedly one of the predominant failings of the production.

(Dis-)Organisation

“Many curious entertainments have marked the checkered career of this theatre, but nothing has been seen so strange as the new grand romantic opera *Biorn*” ([22] Unknown).

Even with the history of past productions at the Queen’s Theatre that are mentioned above placed to the side, a reference to the reopening of the Queen’s Theatre for the production of *BIORN* “[o]n Wednesday last” ([7] Unknown) could suggest that there were serious time constraints on rehearsal schedules. It could also suggest that the operational aspects of the theatre were not settled if it had not been staffed by crew that were familiar with its operations. It is not certain whether the entire score was performed during the premiere, which, based on the quality reported in the reviews, it would be difficult to expect if rehearsal time had been limited. Access to the score in Naples could remove or confirm this uncertainty, as no overture was performed at the premiere ([2] Unknown): a convention that would have potentially confused knowing operatic audiences. Another journalist briefly reports that “Marshall handed the overture of the piece to one of the officials of the theatre, who mislaid it” before the premiere ([10] Unknown), further suggesting that the operational aspects of the production had not settled. Rossi did not travel to London for the opera, but “[h]ad he attended the rehearsals he would doubtless have been struck by the fact – tolerably evident the night of production – that a great many more were necessary” ([2] Unknown). It is perhaps of little surprise, then, that the premiere had actually been delayed numerous nights ([8] Unknown), which did not stop the premiere from having “the character of a dress rehearsal” ([20] Unknown 86).

When it did finally open to the public, the premiere of *BIORN* resulted in many unexpected audience responses, including laughter during “the most thrilling portions of the drama” ([5] Unknown). This account is supported by another reviewer: “things did not work quite so smoothly on Wednesday night as they might have done, and the result was that certain episodes in the performance were received in a manner the reverse of respectful” ([19] Unknown). Other evidence more accurately demonstrates that there were major organisational problems back stage including:

[A]t the end of the fourth act the curtain was raised in response to loud calls from the audience, and when the curtain was up roars of laughter greeted the appearance of two individuals busily engaged in removing properties... Mr Marshall came on and addressed the audience, saying that his wife was dressing, and they were anxious to get the last act on a speedily as possible. At last, a little before midnight, *Biorn* came to an end. ([4] Unknown)

Despite the initial “failure” of *BIORN*, Marshall nevertheless extended the season beyond the original one-month season ([16] Unknown; [18] Unknown) suggesting that the opera did actually gain audience approval to some extent. It could be argued that the heavy presence of advertising in the London and regional newspapers evident through searches of the British Newspaper Archive online (e.g. [14] Unknown) could also be attributed to the extension. It is also possible that Marshall used his own fortune to support the production, as he had reportedly used much of it prior to his second marriage to the actress Ava Cavendish (Richards 164-165)²³⁵.

One of the few components of the production that normally draws praise in the reviews is that of the conductor, Tito Mattei, the musicians of the orchestra, and the choristers that were brought together “from the Royal Italian and Her Majesty’s Opera” houses in London ([4] Unknown). Mattei, also Italian, was an experienced musician who had already spent many years working in London ([23] Unknown). While there were some critics who criticised the orchestra for their overbearing volume (e.g. [4] Unknown; [5] Unknown; [19] Unknown), the orchestral performers and their director’s professionalism was generally recognised (e.g. [2] Unknown; [4] Unknown; [5] Unknown). In light of the fact that the full score included Italian text while the singers were performing in English, the importance of an Italian conductor controlling the musical operations during production cannot be understated.

Had *BIORN* been premiered with well-organised management and with experienced and well-trained soloists performing all of the roles, perhaps the opera would have succeeded and remained in the opera repertoire. Despite the various critical reviews relating to the narrative changes, it stood little chance of succeeding when the decision-making process involved an organisational choice that saw the librettist’s wife placed in a key role to which she was not fully prepared. Whether the opera could actually be re-performed in a new production using the combination of Rossi’s *MACBETH* and Marshall’s English libretto for *BIORN* is unlikely. However, were it to be produced by a different professional opera company, it would most likely receive a different reception. Naturally, as was discussed in *Part IV – Chapter 3* with regard to the reception that Koppel’s *MACBETH* would receive fifty years later, the knowledge that contemporary audiences have in comparison to audiences in 1877 is considerably different. However, a modern opera company would not cause such disastrous stage management issues, nor would it be likely that they would choose a soloist completely unsuited to a critical role. In such circumstances, it is unlikely that an audience would so openly respond during a performance, as occurred with *BIORN*.

²³⁵ Citing Percy Fitzgerald, *Memoirs of an Author* (London: Bentley, 1895), ii, 42-47.

The significant changes to *Macbeth* found in *BIORN*

BIORN is described as having an “incredible libretto” (Dean "Opera" 161)²³⁶, but the opera has been treated with a great deal of contempt by critics, including Joseph Bennett, who described “the debris of ‘Biorn’” (265) at the premiere:

The conjunction of Marshall and Rossi, men supposed to have all their wits about them, was regarded as promising ; the opera could not have been more liberally treated to the end of stage effect, and, though no one appeared to know much of the principal artists, there was just a chance of fortunate results. I attended the first performance, and, on leaving the theatre, brought away a heavy burden of doubt. [...] The question was, "Is 'Biorn' to be taken seriously or as a joke?" There was much evidence on each side, and I resolved, after considering it, to assume the joke, and get out of the difficulty by complimenting its capacity. Let it be granted that this was not on the lines of true criticism, but had I taken the serious issue I do not see how I could have remained decorous. (265)

There are two “significant alterations” ([19] Unknown) of the adaptation that appear to simultaneously draw most interest and most condemnation. Firstly, the switching of the setting from Scotland to Norway, and secondly, the intertwining of a standard operatic narrative involving love and jealousy. These two significant changes are explored in the following subsections and are discussed with regard to the effect on knowing audiences, as detailed in the section on Linda Hutcheon’s *A Theory of Adaptation in Part I – Chapter 2*. Both changes were mentioned at the time of the premiere, and the incongruity of the seriousness of *Macbeth* and the production of *BIORN* resulted in a different audience reaction than had perhaps been expected. Bennett quotes his own review in his memoirs of the period:

[N]o stroke of humour escaped notice and approval. When Signor Rossi accompanied an apparition of the Norns (Witches) with a melody very like 'All the blue bonnets are over the border,' the house smiled; when two murderers came on instead of three, and Biorn exclaimed, 'There were but two of you I spoke with; who is this other?' it smiled more broadly; when Signor Mottino (Biorn) slipped in trying to avoid the descending curtain, it roared, when the curtain was lifted to show nothing but property chairs in a prostrate attitude, it roared again; when the Norwegian pine forest performed strange antics behind Biorn's back, it grinned enjoyment; and when Mr Frank Marshall answered a call of 'Author,' wearing, with genial humour and point, a big white 'comforter,' the evening's pleasure was complete. (Bennett 267)

This reception and its relationship to expectations therefore warrants a more detailed look at the two issues. Additionally, examples of the relationship between the source text and the target text-type are also presented in the third of the following subsections.

²³⁶ Dean also copies sections of Bennett’s memoirs verbatim in his 1964 summary of *BIORN*, yet the book of essays in which Dean’s writing is contained is not referenced. To what extent this comment can be attributed to his own research is uncertain.

Relocating *Macbeth* to Norway

Marshall²³⁷ transformed the ‘historical’ Scottish characters re-created by Shakespeare into characters and concepts from Norwegian history and Norwegian mythology: or “Macbeth in a Norwegian dress” as one critic reported ([12] Unknown). This is interesting from the perspective of *knowing and unknowing audiences*. If an audience knows that *BIORN* is based on *Macbeth*, they may recognise the characters, such as those below in Table 41. If they are not made aware of it being an adaptation, despite the advertising that occurred, perhaps they would not at least initially recognise characters as paralleling those in *Macbeth*. Similarly, at what point in the opera they would recognise them or become suspicious that parallels existed? To what extent would there be cognitive interference during a viewing of the opera by knowing audiences while they process the parallel characters and narratives as well as amalgamate the additional narratives into their knowledge? And would this be different if they are aware or unaware of the adaptation or not?

Shakespeare’s characters	Marshall’s characters
Macbeth [Thane of Glamis, then becomes Thane of Cawdor, King of Scotland]	Biorn [“Earl of Bergen, afterwards King” (Marshall and Rossi 1) and is prophesied by the norni to be Prince of Jutland and then replace Sigurd, the King of Norway, Marshall’s version of Duncan]
Lady Macbeth	Lady Elfrida [Biorn’s wife; imagines “the glory of being queen” (Marshall and Rossi 2)] ²³⁸
Banquo	Rollo [“a young Norwegian Noble” (Marshall and Rossi 1)]
Ross, Angus, Macduff [Lords]	Ulf, Eric, and Hako [Earls]
Duncan [King of Scotland]	Sigurd [King of Norway]
Malcolm	Magnus [“Norway’s rightful king” (Marshall and Rossi 35) but never sings a line in the opera (Marshall and Rossi 1), the unsung hero as it were, appearing as an apparition and at the end]

Table 41: *The parallel main characters between Shakespeare and Marshall*

According to the synopsis, the supernatural characterisation is transformed from Shakespeare’s witches. With a far more dominant role than in the additional sections of *Macbeth*, Hela (Hecate) dominates many of the scenes in which the witchcraft of *Macbeth* is represented. Her “subjects, consisting of Elves, Evil Spirits... and the three Norni” (Marshall and Rossi 2) also play a more prominent role in the opera. The consequences of these character name changes, including the confusion that it caused for *knowing audiences* will be discussed later in this chapter.

²³⁷ As the creator of the concept for the adaptation for *BIORN*, as opposed to Rossi’s *MACBETH*, is uncertain, the libretto for *BIORN* will be referred to purely for clarity as coming from Marshall. Bracketed references to the libretto as a source will, however, show Marshall and Rossi.

²³⁸ The role of Lady Elfrida was reportedly performed by the librettist’s wife, Fitzinman Marshall (Boase).

Conformity to operatic expectations: Weaving love and jealousy into *Macbeth*

Excluding the transformation of *Macbeth* into a Norwegian context, the most obvious and important change to the text that was undertaken by Rossi and/or Marshall is that of Rollo's love for Elfrida, with additional manipulation and jealousy. The reasons behind this inclusion have been suggested as "justified by the exigencies of opera" ([7] Unknown), or in simpler terms, conforming to the expected norms of operatic storytelling. Few critics found merit in its addition, one describing it as "[Rollo] has to make love to Elfrida, whilst her husband, Biorn, in turn cherishes an illicit love for the pretty Norni" ([22] Unknown), continuing later with "in opera the librettist enjoys almost unbounded poetic license, and even the offence of making Shakespere the peg whereon to hang fresh musical fancies might have been condoned, had the performance been an adequate one" ([22] Unknown). Placing aside subjective views on the inclusion of the love and jealousy theme in *BIORN*, the art in which Marshall – or Rossi – weaved the themes into the existing parts of *Macbeth* deserves consideration. There are considerable difficulties that he needed to overcome in order for this to work, including the reality that the re-ordering of scenes created. The main ways that this narrative is threaded into the libretto occurs as follows:

1) In Act I, Rollo begins to reveal his feelings for Elfrida to the audience. In the first instance, between Biorn weighing the value of the "prize" against the "pain" (11) of killing Sigurd, and Sigurd highlighting Biorn's heroic qualities, Rollo sings: "No love may shine, / In her dear eyes ; / Yet my fond heart / Stern Fate defies." (11) Shortly afterwards, in the *Quartett-Finale*, Rollo reveals that his love is Lady Elfrida, and Marshall also juxtaposes the concept of loyalty for a king by also using "love". The four soloists potentially sing together through the text below:

BIORN	Eye must not see, nor tongue must tell ; I'll play my part of host right well.
ROLLO	Eye must not see, nor tongue must tell ; My love will play her part right well.
ULF	Eye must not see, nor tongue must tell ; I'll play my part of spy right well.
SIGURD	How brave his heart, no tongue can tell ; I know he loves his King right well.

2) In Act III, Rollo displays his vulnerability by stating that "She comes not, yet she promised – / If I but knew some way to touch her heart." (17) After then singing a love serenade, Lady Elfrida arrives to "beg a favour" (18). She sings him "a fable" (18) in the form of a ballad, and later openly states the form of manipulation that she uses: "If you love me, Rollo, / You will be true to me – and to Biorn." Rollo replies with "To you I can be nothing else but true." His loyalty to Biorn is then questioned as she asks "Ay, but to him?" In the *Solo and Duet* (19), Rollo repeats his love for Elfrida, who refers only to

“Such love as his”, further highlighting that she is only using his feelings for her own profit. He kisses her hand passionately, to which she “tears it away” (19) and exits.

3) Later in the same act, Rollo discovers Biorn directly after the murder, and Lady Elfrida manipulates Rollo into helping them cover the truth by calling his loyalty to her into play:

ROLLO There is blood upon thy hands.

BIORN No, no, 'tis the stain of wine.

ROLLO See how he trembles.

(Enters SIGURD's chamber, L. BIORN tries to stop him but is paralysed by fear and is forced out of door R by LADY E. A scream is heard as ROLLO comes rushing out).

 The king is murdered ! who has done the deed ?

LADY E. I have, would'st thou betray me ?

(ROLLO remains stupified.) (22)

Rollo nevertheless blows a horn to awake the house. Soon after, he helps them cover their crime:

BIORN *(wildly)* Who has done this ?

(LADY E. faints in the arms of two of her maids.)

ROLLO *(looking to BIORN)* His servants.

ALL Slay them ! slay them ! wretches foul.

ROLLO I slew them there, the blood upon their hands,

(LADY E. who has recovered, gives him a look of gratitude) (23)

4) In Act IV, the apparitions from *Macbeth* have been replaced by other characters and other prophecies. The last of these is the revelation that Rollo is his greatest threat and that Lady Elfrida is part of the betrayal:

HELA What more, great King, seek'st thou to know ?

BIORN Whom should I dread most as my foe ?

(There enter two figures, the one ELFRIDA, by her side a young man, his back towards BIORN and the NORNI.)

HELA Gaze long and fondly – there be those
Whom most thou hast to dread as foes.

3 NORNI Ha ! ha ! ha ! these are his foes.

BIORN My wife – who is that other ?

(the male figure turns and shows the face of ROLLO)

BIORN Rollo ! By heaven he dies ! *(the picture fades)* this very night

I had but half resolved – but now –

Oh ! smooth-faced traitor !

Would I could tear thee limb from limb :

And she, what torture can I find for her ? (24-25)

5) During the sleepwalking scene, Rollo replaces the context of the Doctor as found in *Macbeth* (5.1). While he watches her, he states: “(aside) She will betray her guilt, / What can I do to save her ?” (28). After she goes to bed, he sings alone that “when amid the flowers, / She dared not set her foot,

fearing to bruise / Some little bud to death" (29). He then blames the change in her behaviour on Biorn, the "remorseless tyrant" (29).

- 6) In Act V, Biorn believes that Rollo has been murdered, but during what is effectively the banquet scene from *Macbeth*, Biorn is warned in a letter that "the lion's whelp is loose, and seeks his prey – you are betrayed" (33). After the first drinking song, Rollo appears and taps Biorn on the shoulder, then touches Lady Elfrida's hand as he walks past her. The additional love and jealousy theme then ends when "Rollo's ghost" (35) is then challenged by Biorn, who accidentally kills Elfrida while "trying to reach Rollo" (35). Rollo then kills Biorn, stating simply "Die murderer !" (35)

Ironically, the only physical intimacy during the opera other than Rollo kissing Elfrida's hand occurs after two norni have kissed Biorn's forehead and cheek respectively and the third norna kisses him on the lips, stating: "On thy sweet lips I thus impress / Power to curse but ne'er to bless" (25). It is "for the sake of their kisses that the Norwegian Macbeth rushes into crime" ([2] Unknown). It was noted by the same critic that the quasi-sexual relationship between Biorn and the Norni involved "an unseemly flirtation". In addition to this, the way that the norni were staged was that they were anything but the expected view of *Macbeth's* witches: "Mr. Marshall gives his embodiment of evil a very comely shape, and presents the Norns as beautiful and bewitching maidens" ([19] Unknown).

Despite the protests of critics, Marshall did receive some praise: "both in the additions and the excisions which he has made Mr. Marshall has shown sound judgment" ([7] Unknown). The same critic does, despite his praise of the librettist, criticise some elements of the love and jealousy theme's treatment by the composer, concluding that "[t]he role of the youthful lover, Rollo, affords an opportunity for the introduction of tender melodies ; but the cantabile passages allotted to him are trite and tame" ([7] Unknown). A review that perhaps highlights the impact for knowing audiences summarises the changes that Marshall made: "it remains a matter of opinion, however,... whether the gain in departing from the Shakespearian plan has been a positive or a negative one" ([19] Unknown).

Direct references to Shakespeare's original text

In *Part III – Chapter 3*, the need to find a balance between pleasing *knowing and unknowing audiences* discussed the almost untenable position that adapters had between conforming to expectations of fidelity to Shakespeare and demonstrating 'originality'. Interestingly, Marshall uses partial quotes from Shakespeare's original text. However, the usage of these partial quotes does not always remain with the same character, nor do they remain in the same context. Table 42 collates a few of the many examples of the original text being used in other ways, highlighting that Marshall does not completely rely on new text within the libretto. The fact that some are used by other characters may have led to confusion in the reviews due to *knowing critics*, a possibility that will be discussed in the final section of this chapter.

Marshall's libretto to <i>BIORN</i>		Shakespeare's <i>Macbeth</i>
SEMI-CHORUS	We wait the tidings from the field ; (Marshall and Rossi 5)	LADY "tidings" (1.5.30)
CHORUS	'Tis true, 'tis true, let us fly ! ; (Marshall and Rossi 5)	BANQUO "fly" (3.3.19)
ULF	To brave Brion ²³⁹ a brimming cup we'll drain ; (Marshall and Rossi 5)	1 WITCH "drain" (1.3.18)
HELA	Well done ! well done ! have ye more to tell ? (Marshall and Rossi 6)	HECATE "well done" (4.1.39)
HELA	Pluck from his heart all senses of shame ; [...] Madden his brain, and scorch his soul ! (Marshall and Rossi 7)	MACBETH "pluck" from "They pluck out mine eyes" (2.2.60); and "scorch" from "We have scorched the snake, not killed it" (3.2.21)
ROLLO BIORN	For deeds unearthly such a scene suits well. The deeds done here are not of earth , but hell. (Marshall and Rossi 8)	MACBETH "deed" from "I have done the deed" (2.2.15b); and "earth" from "inhabitants o' th' earth" (1.3.41)
ROLLO	The King is murdered ! who has done the deed ? (Marshall and Rossi 22)	MACBETH "I have done the deed" (2.2.15b)
BIORN	And hack him to pieces – your reward Shall not be niggardly . (Marshall and Rossi 26)	MACDUFF "niggard" (4.3.81)

Table 42: Examples of the similar use of language taken from *Macbeth*

However, despite these references to specific language from the source text, Marshall nevertheless breaks from many of the wordings. For example, from "something wicked this way comes" (4.1.45), Marshall forms "Some mortal comes" (Marshall and Rossi 7), and from "So foul and fair a day I have not seen" (1.3.38) he creates "So strangely wild a day I ne'er have seen" (Marshall and Rossi 8). He uses other well-known lines from within the play at least partly verbatim, such as "Stars, hide your fires – / Oh ! do not see my black desires" (11) ["Stars, hide your fires, / Let not light see my black and deep desires" (1.4.50-51, 152).

²³⁹ A printing error in the libretto, as shown here.

Marshall weaves many other words and full or partial phrases from *Macbeth* into parts of the libretto often in ways not originally intended. The following examples are some of the many that Marshall created using Shakespeare's original text. The line "Fie for shame" (3.4.72b, 223), originally spoken by Lady Macbeth in response to Macbeth's behaviour directly after Banquo's ghost first disappears, is transformed into "Oh, fie for shame ! you know it 'twas not me" (19). The context is completely different, however, as the female chorus members sing about which one of them Rollo was flirting with, firstly showing their disgust at the flirtation, and secondly denying their own involvement. Directly after Duncan's murder, Lady Macbeth states: "Go, get some water / And wash this filthy witness from your hand" (2.2.47-48, 181-182). In *BIORN*, Lady Elfrida states a similar line, but one which focusses on the relationship between Biorn's mental state and his hands, instead of only the appearance of his hands: "Go, wash the witness from thy trembling hands" (21).

Marshall also demonstrates a willingness to closely follow the wording of the original text while replacing the necessary elements with the Norwegian terms. For example, when addressing Biorn and Rollo, the three *norni* state:

1 ST NORNA	All hail , Biorn ! hail to thee , Earl of Bergen	1 WITCH	All hail Macbeth, hail to thee, Thane of Glamis. (1.3.48)
2 ND NORNA	All hail , Biorn ! hail to thee , Prince of Jutland	2 WITCH	All hail Macbeth, hail to thee, Thane of Cawdor. (1.3.49)
3 RD NORNA	All hail , Biorn ! that shalt be King hereafter ! (Marshall and Rossi 8)	3 WITCH	All hail Macbeth, that shalt be king hereafter. (1.3.50) (Shakespeare [Arden 3rd] 143, 141)

Soon afterwards in the libretto, Marshall continues with a similar method of replacement, eventually expanding the lines spoken by Macbeth and Banquo:

1 ST NORNA	Lesser than Biorn, yet greater , Noble Rollo shalt thou be.	1 WITCH	Lesser than Macbeth, and greater.
2 ND NORNA	Not so happy, yet much happier , Noble Rollo shalt thou be.	2 WITCH	Not so happy, yet much happier.
3 RD NORNA	Though no King, yet by thy power Kings shall made and unmade be.	3 WITCH	Thou shalt get kings, though thou be none:
ALL 3	All hail ! all hail ! Biorn and Rollo ! All hail ! all hail ! all hail ! to ye ! (<i>they disappear</i>).		So all hail Macbeth, and Banquo.
BIORN	Stay ! ye entrancing spirits ! (<i>advancing</i>). I charge ye stay, nor leave me here to toss. Upon a sea of doubt – I would hear more, Or else have nothing heard – stay, I implore. They're gone ! and nothing left, but the vain air To mock my pleadings.	MACBETH	Stay, you imperfect speakers. (1.3.65-70) (Shakespeare [Arden 3rd] 142)
ROLLO	The earth hath bubbles ; these, I take it, are Among the lightest – rightly they assume The lightest shape of all those myths that mock Man's hope – a lovely Woman's.	BANQUO	[Where are they? Gone? (4.1.132)] Into the air (1.3.81) The earth hath bubbles, as the water has, (1.3.79)
BIORN	Would they had stayed. (Marshall and Rossi 9)	MACBETH	Would they had stayed. (1.3.83) (Shakespeare [Arden 3rd] 143)

Marshall also references other lines by splitting them within a stanza. For example, he uses “fair” and “foul” in the *AIR* sung by Biorn: “Be the means foul, or be they fair, / So that I win, I’ll never care” (Marshall and Rossi 10), and transforms Shakespeare’s “look like the innocent flower, / But be the serpent under’t” (1.5.65-66, 159) into:

LADY ELFRIDA Seem an innocent flower,
 Hid in leaves soft and green ;
 But in heart be a serpent,
 And keep thy sting keen. (15)

In Act IV, Scene 1 of *BIORN*, the Norni sing text that is reminiscent of the witches lines in 4.1:

HELA In the boiling cauldron throw
 Eyes and tongue of carrion crow,
 Serpent’s venom, scorpion’s sting,
 Messalina’s wedding ring :
 Blood stained hairs from Nero’s head,
 Fingers of the unburied dead ;
 Skin from murderer’s hand fresh torn,
 Flesh of infants slain unborn.
CHORUS (*below the stage*)
 Round the seething poison we
 Sweet comrades, dance with glee.

Shakespeare’s use of Holinshed’s “weird sisters” (Holinshed and Fleming 269) in *Macbeth* (1.3.32, 139) is delayed considerably in *BIORN*, and does not occur until towards the end of Act III. When it does appear, it is joined by Marshall’s use of “the fell” (21), which had been used in the opening scene by Ulf with additional connotations as “the haunted fell” in place of Shakespeare’s “the heath” (1.1.6b), which itself was a different concept from Holinshed’s “woods and fields” where “met them three women in strange and wild apparel” (268):

BIORN That laugh – ‘tis the weird sisters of the fell (21)

Throughout the libretto, Marshall demonstrates the ability to transform, re-order, and adjust to Norwegian settings through the use of various methods. It is likely that this type of play on the language is the reason why some critics praised Marshall, although the impact of knowing audiences also led to many concerns about his work being raised.

Conformity to traditional forms

There are two aspects that are notable with relation to the traditional operatic setting: musical structures, and rhyming structures created in the adaptation of the original text into the libretto. The benefit of the libretto set by Marshall is that it conformed to the normal structures of operas at the time: arias in various forms, and recitative – pitched speech. As will be discussed in the concluding section of this chapter, the expectations for audiences knowing in the medial aspects of the adaptation would therefore be satisfied. Similarly, the use of chorus, although that is considerably different in terms of performers from the original *Macbeth*, would be an aspect that would be expected in operatic performances, and was maintained by Rossi and Marshall. This section will focus, however, on the macro-structural forms and the textual elements within the micro-structural constructions contained within the libretto.

Traditional operatic structures

In addition to the traditional use of ballet during the opera, the libretto to *BIORN* displays traits aligned with the traditional operatic musical forms more than those of the music drama form. The opera consists of five acts, but the acts do not correspond directly to the five acts that form *Macbeth*. The libretto provides numerous opportunities for soloists individually, in duet, trio, and quartet, as well as various choruses that draw on considerably larger groupings such as the norri (replacing the witches), soldiers, and waiting women instead of a single gentlewoman as exists in *Macbeth*. Act I contains the most identifiable separate structures, including six traditional structures and a ballet.

ACT I	
a. [Scene] ²⁴⁰	roughly contains scenes 1.2 and introduces the supernatural elements through two earls Hako and Ulf, segueing into narrative elements from 1.3
b. <i>BALLET</i>	The Norri dance
c. [Scene]	Hela and the Norri discuss their plans for Biorn
d. <i>ARIA</i>	sung by Rollo, with some parts for Biorn and the 3 Norri
e. <i>TRIO OF NORRI</i>	The prophecies related to Rollo's children (i.e. Fleance) are revealed by the Norri
f. [Scene]	possibly recitative in style, ending in the refrain from the aria in Act 1.d
g. <i>AIR</i>	Sung by Biorn as he considers the prophecies
h. <i>CHORUS OF THE GUARDS</i> ; Full Chorus	Sigurd and the Earls enter as soldiers and peasants sing
i. [Scene]	Biorn becomes Prince of Jutland in a parallel to Thane of Cawdor
j. <i>TRIO</i>	Sung by Biorn, Rollo, Sigurd. Ends with Chorus
k. <i>QUARTETT - FINALE</i>	Sung by Biorn, Rollo, Ulf, Sigurd, with the ending by the chorus

Table 43: The main structures and performers of *Biorn*, Act I

²⁴⁰ Brackets indicate unmarked forms within the libretto.

Act II is relatively short and is also dominated by the traditional song forms of operatic composition, as well as what can be assumed to be recitative leading into the *DUET AND FINALE*.

ACT II	
a. [Scene]	Chorus and Gertrud discuss Lady Elfrida and her letter, Lady Elfrida directs them to stop working, as Biorn is returning
b. <i>AIR</i>	Lady Elfrida sings about the news contained in the letter
c. <i>INCANTATION</i>	Lady Elfrida "Come ! spirits, come !" (14)
d. [Scene]	Biorn and Lady Elfrida greet each other and then discuss Sigurd's visit and murder
e. <i>DUET AND FINALE</i>	Lady Elfrida manipulates Biorn, "Seem an innocent flower" (15), with the Norni singing with interspersed laughter, the chorus singing about the preparedness for Sigurd's arrival

Table 44: The main structures and performers of *Biorn*, Act II

Act III consists of mostly sung dialogue, presumably involving some recitative, with very few long soloist passages. The Ballad is presumably related to the Ballata sketched by Rossi between 1840 and 1860 (Rossi "Ballate"). Following the second of the ballets, the final scene of Act III is one of the longest in the opera, certainly from a length of text perspective.

ACT III	
a. [Scene]	Hako, Eric, and Ulf sing about their fears about Biorn's intentions
b. <i>AIR AND TRIO</i>	Sung by Eric and Hako and then the chorus
c. [Scene]	Sung by Rollo, discussing the Earl's fears
d. <i>SERENADE</i>	Sung by Rollo and Lady Elfrida. This is an added scene where Rollo's love for Elfrida is revealed, and her intention to manipulate Rollo is also revealed
e. <i>BALLAD</i>	Sung by Lady Elfrida, who sings "a fable" (18) and then questions his love and loyalty to her and Biorn
f. <i>SOLO AND DUET</i>	Sung by Rollo and Lady Elfrida. This ends after he kisses her hand "passionately" and she storms out agitatedly (Marshall and Rossi 19), and leads into:
g. [Scene]	Sung by the chorus and semi-chorus, who sing about the heroic qualities of Biorn and Rollo and then welcome King Sigurd
h. <i>BALLET DIVERTISSEMENT</i>	
i. [Scene]	Lady Elfrida hands Sigurd a drugged cup and takes the same to his guards. The Norni taunt Biorn as he goes to kill Sigurd. When he returns, Rollo discovers the crime, and Lady Elfrida convinces him to help cover their actions once the house has been awoken.

Table 45: The main structures and performers of *Biorn*, Act III

As with Act II, Act IV is relatively short, at least in terms of the amount of text in the libretto. It is this act where only two traditional song forms are set, with the remaining text being set predominantly as prose.

ACT IV

a. SCENE 1	Sung by Hela and the 3 Norni. Effectively Scene 4.1
b. SCENE 2	Sung by Biorn, Hako and the Murderers
c. SCENE 3; CHORUS OF WAITING WOMEN	Sung by the female chorus, Gertrud, and Rollo
d. CANZONET	Sung by Lady Elfrida. This is based on the sleepwalking scene in 5.1
e. [Scene]	Sung by the chorus and then Rollo
f. AIR	Sung by Rollo

Table 46: The main structures and performers of *Biorn*, Act IV

Act V, even with the added love and jealousy theme climaxing in the deaths of both Biorn and Lady Elfrida placed to the side, is more balanced between the use of prose and verse. In addition to the *AIR*, Marshall set a drinking song which repeats, with Biorn singing the first playing of the *BRINDISI* and *CHORUS*, and Lady Elfrida the second.

ACT V

a. SCENE 1 [Scene]	Sung by Ulf, Hako, and Eric. Effectively 4.3. [presumably recitative, sung by Biorn]
b. AIR	Sung by Biorn
c. SCENE 2 <i>BRINDISI</i> (drinking song) plus <i>CHORUS</i> [Scene] <i>BRINDISI</i> plus <i>CHORUS</i> [Scene]	Sung by the Chorus, Biorn, Lady Elfrida and the Earls Sung by Biorn Sung by Lady Elfrida Biorn accidentally kills Lady Elfrida; Rollo kills Biorn; the 3 Norni claim Biorn's body: "He's ours! He's ours!" (Marshall and Rossi 35), in a similar manner to Taubert's ending (refer to <i>Part V – Chapter 1</i>) and Magnus is revealed to be the new king as the opera ends

Table 47: The main structures and performers of *Biorn*, Act V

What the breakdown of forms within the overall structure of Marshall's libretto highlights is the reliance on traditional forms, including the ballet for which it allowed. The use of verse in song-based forms and presumably a reliance on recitative during the sections of prose were written to conform to the traditional libretti of non-music drama opera. The use of verse will be further described in the following subsection, including two sections provided as examples of how Marshall transferred the poetic language of Shakespeare's play into the language required to conform to the song structures listed in the tables above.

Musically-linked rhyming structures

A discussion about the difference in libretti between traditional operatic forms and music drama in *Part III – Chapter 1* highlights the change that occurred towards the end of the nineteenth century. The previous operatic structures effectively adapted the information in theatrical texts and transferred it into formats that conformed to musical structures. This includes not only the number of lines in stanzas, but also the use of rhyming patterns in sections that are not recitative. As the only remaining full operatic adaptation of *Macbeth* in the English language prior to music drama's use of the theatrical text, there are numerous sections that present similar examples of the link between traditional operatic forms and libretti. The first occurs in the opening chorus of the opera, where the rhyming structures, while simple, separate the style and structure of the libretto from Shakespeare's original text.

SEMI-CHORUS. What news ? what news ?
 How goes the strife ?
Say doth our King in triumph **bring**
The vanquished rebels' heads to **swing**
 Upon his castle's walls ?
 We wait the tidings from the **field**;
 But doubt not Sweden's force must **yield**
 To brave Biorn ;
 All conquering Death
 Grows paler when his form he views.

CHORUS Oh brave Biorn ! oh brave Biorn !
 To thee the rebel Earls shall **yield** ;
 Proud Sweden's host shall strew the **field**,
 For thou a mighty arm dost **wield**,
 Thou Norway's homes from harm wilt **shield**.

The opening chorus of BIORN (Marshall and Rossi 5)

The scene with Hela and the three norni that interrupts the ballet performed by the supernatural characters follows the invented scene involving Hecate and the witches (3.5) very closely. In addition to similarities in the narrative content, the rhyming patterns are also a prominent feature of his writing:

HELA Break off ; break off ! Some mortal comes !
 List ! sweethearts, list ; I hear his **tread**,
 It sounds like the foot of a warrior **dread** ;
 Hearken and learn how his soul to betray.
3 NORNI. We listen dear Queen ; thy bidding we'll do.
HELA. Ambition reigneth in his heart,
 He takes the poison from his **dame**.
 Fill full his mind with vaulting pride,
 Canker his heart with greed and **fame** ;
 Tell him how soon his King shall **grace**

His titles with a nobler **name** ;
 Bid him not falter in the **race** ;
 Pluck from his heart all sense of **shame** ;
 His honour blast with treason's **taint** ;
 Bid him with blood his 'scutcheon **paint** ;
 Madden his brain, and scorch his soul !
 To foulest murder guide his **hand** ;
 When crowned as King he rules the **land** ;
 With million torments wring his heart !
 Gaunt Jealousy, sleep-haunting **Fear**,
 Gnawing Remorse, be ever **near** !
 Till mad with guilt and agony,
 Body and soul he our's for aye.
 3 NORNI We hear, great Queen, we **hear** ;
 No power in heaven or earth we **fear** ;
 The bidding only we **obey** ;
 He shall be our's ere break of **day**. (Marshall and Rossi 7)

The scene following the first ballet in BIORN (Marshall and Rossi 7)

These two sections of Marshall's libretto are not the only in *BIORN* that conform to rhyming patterns. Many other examples are evident throughout the entire libretto. The way that Marshall transformed the structure of the language while maintaining at least a stylistic fidelity to Shakespeare's poetic writing drew praise from some reviewers. Although there are other methods that he employed in forming *BIORN's* text, these two examples are typical of Marshall's work for the opera. The forms of the overall structure, as well as the appropriate use of prose and verse in *BIORN* are one of the strengths of the libretto. Although criticisms of the re-setting and the re-ordering of *Macbeth* into *BIORN* were quite common, the quality of Marshall's writing within these structures highlights the importance of his knowledge of Shakespeare and therefore his role in the – possible – collaboration as the *knowing adapter*.

The theoretical complications created by *BIORN*: An example of theory in practice?

The reasons that Rossi's opera, which began as sketches and was later completed under the title *MACBETH* with the Italian versions of the Shakespearean names, was changed to be *BIORN* with names from Norwegian history and mythology and a different setting are still unclear. Without evidence from correspondence between Rossi and Marshall, it can only be speculated as to the thinking behind such a decision. However, speculation related to the relationship that the decision has with adaptation theories could benefit later understanding of why *BIORN* came to be. There are a few angles that this speculation could take, including: a) Marshall's knowledge as a playwright led him to believe that the narrative changes in Rossi's *MACBETH* would be criticised by knowing audiences, whereas if it was *BIORN*, the impact would be reduced; b) the influence of a successful example such as Verdi's *MACBETH* led to the decision for commercial reasons; and c) the mythological influence of Wagnerian operas led to an expectation within operatic communities and the use of the recently released book linking Scotland and Scandinavia justified or drove Marshall's decision.

BIORN's climatic finale relies on the additional theme of jealousy that Rossi apparently included in his early sketches. Without this addition, the all but simultaneous killing of Lady Elfrida and Biorn during the banquet scene, which had been held back until the end of the opera, would not be possible. For a knowing audience, the addition of love between Banquo and Lady Macbeth, her manipulation of Banquo, and then the jealousy and fear that Macbeth displays towards this love would be extremely confronting if their expectation is that they are viewing "*Macbeth*". An audience that expects to see a new opera called *BIORN*, however, would not necessarily expect to see something that would maintain the exact content of Shakespeare's play. The first speculation about the decision, therefore, is that the reason for the change of names to Norwegian context is a belief that the inability of audiences to accept that Banquo would state his love for Lady Macbeth and that the appearance of them together instead of the line of kings in the scene involving apparitions would lead to heavy criticism. *Knowing audiences* would be confronted with such a massive shift in expectations that the success of the opera could relate purely to this aspect, and not the quality of the adaptation or the music itself. Marshall possibly understood that by eliminating or at least minimising the effects of audience expectations through the removal of character names and locational associations the opera might achieve better acceptance levels amongst the members of the public. Although this change causes other issues for *knowing audiences* – e.g. when do they notice the allusions to *Macbeth*? – Rossi and/or Marshall may have concluded that the opera would fare better by minimising the expectations of *knowing audiences*, particularly theatre critics. If this was the reason behind Marshall's decision, it failed to succeed because the marketing spruiked *BIORN* as an adaptation of *Macbeth*, which was mentioned in almost every source printed at the time.

Another possibility is that Rossi was aware of the effects that Verdi's adaptation could have on *knowing* operatic audiences. As was mentioned in *Part III*, composers face the daunting task of simultaneously living up to expectations of Shakespeare and of Verdi. If the requirement for originality is also added to their task, then Rossi and Marshall perhaps considered that replacing Scotland with Norway made their work significantly different enough that comparisons to Verdi might not be made. Verdi had released and re-released *MACBETH* in the period that Rossi's sketches are purported to be from. While this is also possibly a reason why Rossi did not fully compose the opera until the mid-1870s, Verdi's adaptation had by then cemented itself into opera repertoire enough to be used in comparisons to any other *MACBETH* opera.

One potential influence on Marshall was the increasing popularity of Wagner. Performances in London brought his operas even closer to the English public. With many of Wagner's stories drawing on mythology, an increase in the acceptance of mythology within the stories of operas at the time is imaginable. That, combined with the release of the book linking Scotland with Norway a year before *BIORN* was produced mentioned earlier ([4] Unknown) may have further contributed to the decision to reframe *Macbeth* into a Norwegian setting.

What happened with *BIORN* in 1877 during the production stage of the adaptation process as well as the possible order of processes within the product creation phases reinforces the likelihood that the proposition that the *(un)knowing* status of adapters, performers, and critics are an additional level of Hutcheon's *knowing and unknowing audiences* that requires further development.

The author of "Biorn" has borrowed either too much or too little from Shakspeare. His opera as it stands reminds one constantly of "Macbeth," without ever presenting such a resemblance to it as might fairly be desired. ([2] Unknown)

Adapters and performers can affect the responses of audiences – including critics – through a range from *knowing*, where the measured application of studious preparations is demonstrated, through to *unknowing*, in which adapters and performers are unable to demonstrate anything other than an artificial or forced application of a source text. Therefore, further development of this proposition would require adaptation theories to consider not only the relationship that the *(un)knowing* concept has to a source text but also to the medial textual forms of both the source(s) and the target(s). An excellent knowledge of a source text and its source medium does not imply a solid understanding of the target text-type or its target medium, nor knowledge of the processes of mediation required to transfer information from one to the other. This is also the case for audiences and critics: how they respond to a film version of a source text will also depend on their level of understanding of the conventions of the medium itself, as is demonstrated with opera in this case study.

As was seen in *Part III – Chapter 3*, the combination of the various types of knowledge that are possible in understanding operatic adaptations of *Macbeth* are numerous. This could also be applied to the adapters and performers of *BIORN*, as shown in Figure 106, which provides the variations possible in knowledge of the source text and source medium, as well as the target text-type and target medium. Whether this understanding is relevant to operatic management, stage management, or stage hands is questionable, certainly to what extent it would be relevant. However, the operational failures that occurred during the premiere performance of *BIORN* suggest that there are elements that could be related to the issues contained within Figure 106.

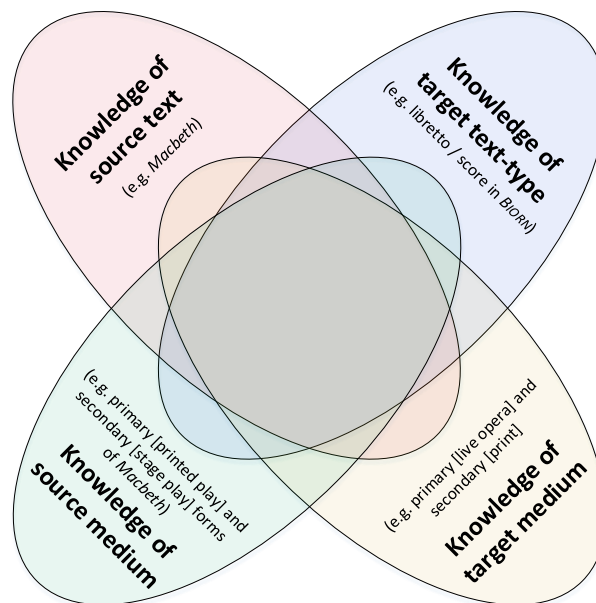


Figure 106: Venn Diagram of knowing adapters and performers

Some of the reviews that were printed following the premiere demonstrate that the critics involved had knowledge of the source text, the source medium, and the target medium. However, the missing element of the target text-type was obvious. The confusion that emanated from the re-ordering of text and the allocation of lines from *Macbeth* to different parallel characters in *BIORN* created misunderstandings in what was then reported. One example, “[a] young Norwegian noble, Rollo, appears as a mixture of Banquo and Macduff” ([22] Unknown) is a misrepresentation of the libretto, as both characters remained separate, with various lines from the source text simply switched in the target text. Other errors in reports of the events were also found, including misinformation that was apparently carried through to articles a year later, one of which the actress who sang the part of Rollo felt justified enough to amend (Stuart).

Another issue apparent in researching the opera is the lack of reporting that took place after the week of the premiere. The opera ran for two months, but the reviews only occurred after the premiere. If the opera remained catastrophic, it would be unlikely that Marshall would have extended the season. Similarly, why did something that had been such a failure attract the attention of the Chinese embassy in London, drawing the Chinese ambassador and the entire embassy staff to attend a performance along with translators almost one month later than the premiere ([1] Unknown; [15] Unknown)? This supposedly occurred after it had been seen shortly beforehand by some staff members ([15] Unknown). Had the opera improved, or was this due to the political connections from Marshall's time in bureaucracy and his father's role as a MP ([9] Unknown)? No matter what the reasons, the art of reviewing is problematic to the theory of adaptation, as the reviews are carried out by people who do not possess the knowledge of every aspect of text and medium related to the source and the target and they write them after the premiere of an adaptation. Similarly, the repetition of a viewing would change the level of expectation involved in the audience, which may alter a subjective point of view. Would a comment such as "I must, if I express my honest opinion, aver that it is an utter and complete failure from every point of view" ([6] Unknown) result in a different opinion following a second viewing? Would acceptance of the narrative and structural differences be minimised after time?

It is obvious that there were *knowing* audience members – in terms of Hutcheon's theory, where an audience knows the source text – in attendance at the premiere. According to one critic, when an unsuccessfully represented apparition appeared "enveloped in a cloak, which being removed reveal[ed] a skull", audience members engaged in "whimsical comments... one person saying "Take any form but that"" ([4] Unknown), an almost direct quotation from the Banquet scene in *Macbeth*: "Take any shape but that" (3.4.100). However, were these *knowing* audience members also as educated in the other aspects of knowledge as apportioned in Figure 106? Subjective reactions such as these may have been different had they understood other aspects of the adaptation processes. While errors on stage might still be humorous, the acceptance of the changes made in the libretto may have been higher.

A series of questions will probably always remain. Was Rossi aware of the libretto being changed to *BIORN*? If so, what was his opinion of such a change? Was he aware of the results of the production in London? How did Frank Marshall come to be in possession of the operatic score? Was Fitzinman Marshall really a student of Rossi's, and if so, to what extent? If the score in Naples marked as *MACBETH* was the score used for *BIORN*, how did it come to be back in Naples? If it wasn't the score used, what happened to the score to *BIORN*? The answers to these questions will probably never be known. Unfortunately, that means that the probable injustice created by the criticism levelled at Rossi will probably never be redressed.

PART V: Comparative case studies of MACBETH operas

Part V presents two pairs of comparative case studies, detailing each of the four operas as well as comparing their characteristics. The first case study compares two traditional operatic adaptations of *Macbeth* which were created in 1827/29 by Chelard and in 1857 by Taubert. The second case study compares two music dramas that were completed a year apart and were composed at least partly in the same location, with evidence suggesting that the composers were aware of their counterpart's work during their adaptation/composition phases. Both pairs of operas are also discussed in terms of their historical and cultural placement, as well as their respective national connections of Germany in *Chapter 1* and England in *Chapter 2*.

Discussions related to the issues that have plagued Shakespearean libretti are contained throughout each chapter, highlighting some of the issues that were examined in *Part III*. Relationships to other *MACBETH* operas that were discussed in this dissertation are also mentioned in relevant sections of these two chapters.

Part V – Chapter 1: Comparative Case Study 1 – Chelard and Taubert

The comparisons contained in this chapter relate to two operas with German libretti. The first opera to be discussed used a German translation related to the original French libretto from Chelard's earlier work, allowing for analysis of what occurs when a target text-type is itself then transformed into a new target text-type. The second opera, which was completed almost thirty years later, by Wilhelm Taubert, was composed to a libretto created in German. As will be shown, both operas contain narrative changes that allowed the structures to conform to operatic conventions of the time, as well as both displaying significant historical values. Despite these values, both have all but fallen into obscurity since their completion.

These two operatic adaptations of *Macbeth*, as will be discussed in the final section of this chapter, contain similarities because of their historical timing (e.g. prior to the change in conventions as a consequence of Wagnerian music drama) during which the socio-political framework in which they were created (e.g. monarchies and patrons of the arts) also played a part. Both operas, as will be shown, also rely upon traditional forms of structure within their libretti, including choruses that would seem considerably out of place in the source text. Chelard's work, "[t]he first big work" using *Macbeth* (Dean "Opera" 156), also contains considerable aspects of historical significance, which will be discussed later in the chapter. Additionally, the operas have an unusual, coincidental link, that of Richard Wagner's *The Valkyrie*, which contains a motif from Chelard's *MACBETH* (Wilson 57) that was performed at the premiere of *The Valkyrie* by Wagner's niece, Johanna Wagner, who had been Lady Macbeth in Taubert's *MACBETH* earlier in her career. This coincidental connection was indirectly facilitated by a mutual acquaintance of the three composers, that of yet another composer, Franz Liszt (Warrack 372; Wilson 57).

Neither opera has remained in standard operatic repertoire, both drawing criticism for their libretti and their music. Descriptions such as "ludicrous" and "very strange" (Dean "Opera" 100, 157) are used to describe the original French libretto for Chelard's opera, at least partly due to the list of characters in which "Banquo, Macduff and Malcolm are not among them" (Dean "Opera" 157). Dean further criticizes the music in the opera, which "shows a lively sense of the theatre but an incongruously mixed style derived from Rossini, Spontini, Weber and Spohr" ("Opera" 157), before praising some musical sections of the opera (158). His critique of the "remarkably good libretto" (158) from Taubert's opera stops at the final scene, which will be discussed in more detail in this chapter. The criticism drawn by these two operas, including the German libretto of Chelard's opera, is perhaps not surprising considering "the almost complete absence of success among German operas" (Dean "Opera" 96).

This chapter presents the basic information about each of the operas in two separate sections and a concluding section in which some of the similarities and differences are related to theoretical concepts presented in *Part I – Chapter 2*. Some examples of links to the source text are also provided and discussed with relation to the libretti types detailed in *Part III – Chapter 3*.

Hippolyte-André-Jean-Baptiste Chelard. *MACBETH, HEROISCHE OPER IN DREI AUFZUGEN* (1829)

Chelard's *MACBETH* used a French libretto created by Joseph Rouget de Lisle, the "French poet and composer" (Robert) who also wrote the *Marseillaise*, (Brockhaus; Hibberd 87; Meyers). It was completed in French in 1827 for the Paris Opera "where it flopped" (Reynolds 57) and was therefore only performed five times (Primmer) but was "successfully revised" for performance in Bavaria (Reynolds 57). It was notable, however, for being "the first French opera based on a Shakespearean play" (Hibberd 87), but was not considered to be an opera that followed the conventions of the time: "the majority of critics were baffled and unnerved by a score that was driven by the alarming psychological disintegration of Lady Macbeth rather than by conventional musical logic" (Hibberd 88), aspects which, following the onset of Wagnerian music drama, was to become the norm in *MACBETH* operas from 1900 onwards. The German version of Chelard's *MACBETH* was completed in 1829 and was also later performed in London in German by August Röckel's German Opera company in 1932 under Chelard's musical direction. As Chelard had fled France to Germany following "the collapse of his music business in the revolution of July 1830" (Primmer), and amendments had been made, it is most likely that only the German version was performed from this time, including in Weimar on May 6, 1840 (Kroll 210).

The libretto: (re-)adaptation / (re-)composition

The libretto for the German version was created by Cäsar Max Heigel after Claude Joseph Rouget de Lisle's French libretto, which was itself based upon an adaptation of Shakespeare's play.²⁴¹ There are, naturally, dangers in both the translation and the interpretation that should be remembered when considering the following discussion of this work. The multiple levels of information transferral across what is – arguably – four stages of translation and adaptation that occurred between the playwright, the two librettists, and separately Hibberd's research and this research, could result in differences between the librettist's intentions and the (re-)translations described. This problematic transference

²⁴¹ The French version is covered in some detail in Hibberd's 2011 research. An English (re-)translation of the German libretto is compared to the English (re-)translation of the French libretto for the sleepwalking scene provided by Hibberd later in this chapter.

of meaning is further complicated by the fact that the German libretto is shown as “*freely adapted*” (Chelard),²⁴² meaning that Heigel may have paid no or little heed to Rouget de Lisle’s text.

The product creation process is, therefore, not only complicated, but also problematic when attempting to analyse it against a theoretical framework. Nevertheless, the analysis provides an insight into the way the practical process of mediating text across languages can result in changes to the source text. Later comparative analyses of the French and German libretti and operatic scores in the future may result in additional findings beyond those presented in this chapter.

The complicated product creation processes are shown in the following two figures, Figure 107 and Figure 108, which show the process flow for the original French opera and the the German version of the opera respectively. As will be shown, the requirement for a (re-)adaptation/(re-)composition phase is additional evidence for yet another potential level of the overall product creation process, as has been mentioned within Koppel’s re-composition of his *MACBETH* into German in Case Study 1 and Marshall’s adaptation/translation of *BIORN* from Rossi’s *MACBETH* in Case Study 3.

The process involved in the French version, as shown in Figure 107, is similar to almost all operas that were not set as music dramas, except for reference to a secondary source text in French, “Ducis’s 1784 adaptation of *Macbeth* (in its 1790 revision)” (Hibberd 89), which had been created in an attempt “to make the English dramatist more palatable to the French” (Hibberd 85). This additional step in the overall product creation process presumably means that only this secondary source text, not purely a French translation of the source text but also an adaptation, was used to create a primary target text-type (libretto) and a French literary translation of *Macbeth* itself was not. After the libretto was “first submitted to the Opera’s reading committee in 1824” (Hibberd 89) and then accepted, it was subsequently used to create the secondary target text-type (notated French operatic score) which was premiered in 1827.

²⁴² „frei bearbeitet” (cover).

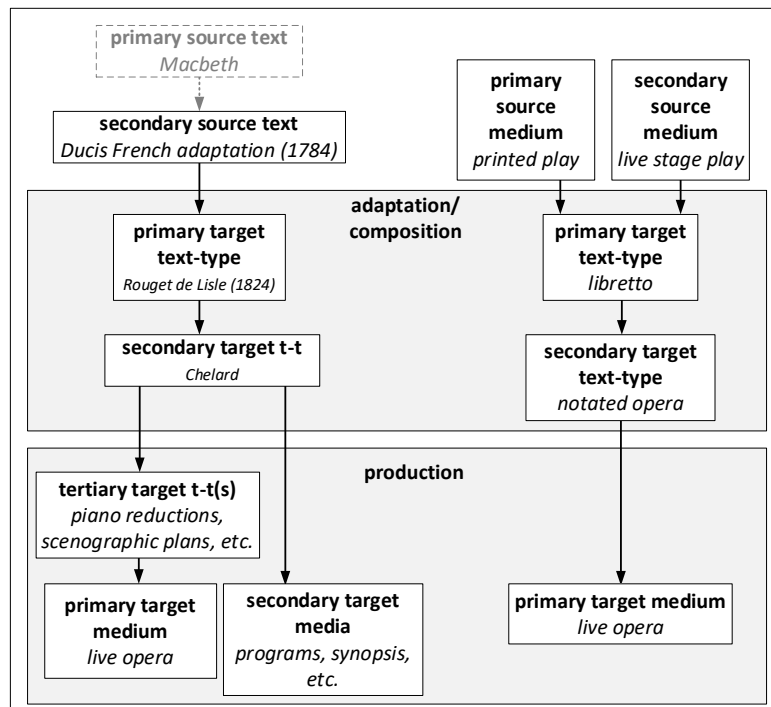


Figure 107: Process flow for the French version of Chelard's *MACBETH* (1827)

From an Adaptation Studies perspective, the most prominent point of interest in this opera is a creative loop back from the reception phase to the adaptation/composition phase, as evidenced by Wilhelm Taubert's (re-)adapted/(re-)composed German version, which was received considerably better than the initial French opera (Primmer and Hibberd)), even if that success was also short-lived. Ironically, this could be due to the "impenetrable musical language" that Chelard employed being considered "Germanic" by some French critics (Hibberd 91). That the German libretto appears to have been freely adapted purely from the French libretto is also of interest because this enforces the difficulties that Adaptation Studies has been faced with when it comes to defining adaptation in practice.

Unknown is how much Chelard influenced the German libretto, but Wilson records that after moving to Munich "he revised the whole opera most carefully" (56) which is supported by Primmer, who states that Chelard "reworked many of its more criticized passages" before submitting it "to the court theatre in Munich", thereby suggesting a collaborative process for creating the libretto with Heigel. The flow diagram that follows, Figure 108, demonstrates this complex process as it was undertaken by the composer and both librettists as well as the creation of further resulting tertiary text-types that were likely to have been required. Although it is highly likely that Chelard recreated sections of music after the creation of the German text-type, the workflow shows the operatic score only as the French version, with possible flows shown as if this was the case. Whether Heigel referenced a different German translation or Chelard's notated score (original French or the German in progress at the time) to inform himself of the rhythm and emphasis within the text and whether the necessities that the

music held required Heigel to freely adapt are unclear. Until English (re-)translations of both versions are compared, the lack of clarity about how Heigel created the libretto will remain. However, some clues are contained in the analysis of the sleepwalking scene provided in this section. These clues, however, may require future researchers to access the notated score(s) in order to see whether, as with Koppel's 1968 opera, the German libretto required re-composition of the melodic lines in order to match the language-rhythmic emphases.

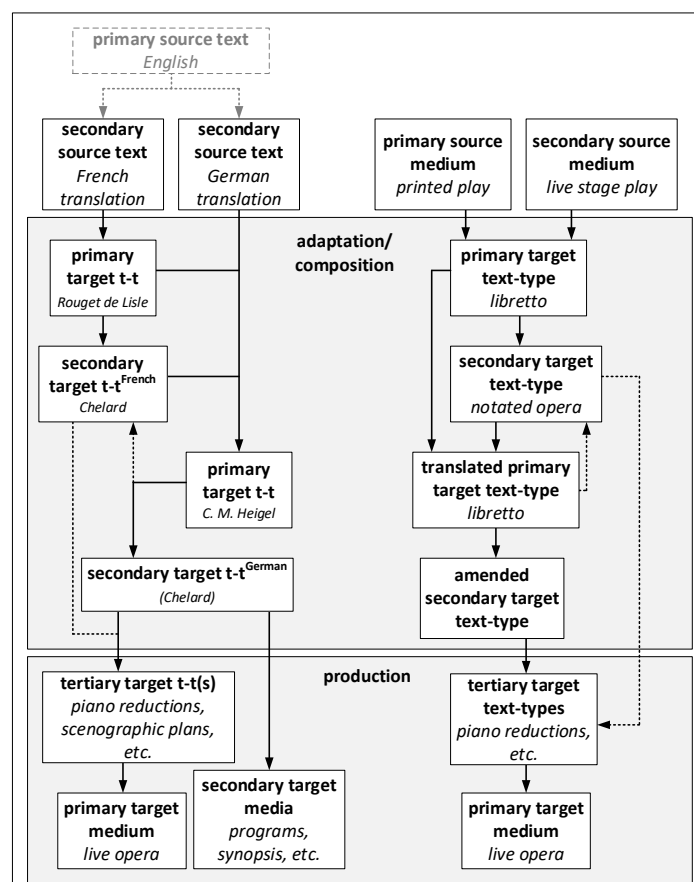


Figure 108: Process flow for the German translation version of Chelard's *MACBETH* (1829)

Comparing back-translations of the French and German versions

In order to understand the impact that the additional level that this (re-)adaptation/(re-)composition phase has had upon the interpretation of the original text following various different adaptations (of previous adaptations) across three languages, it is important to see whether the meanings of the two libretti correspond. Hibberd provides an English literary back-translation of the *Sleepwalking Scene* in Rouget de Lisle's French libretto (Hibberd 94-95). Comparing her back-translation to a similar (direct)²⁴³ translation of Heigel's German libretto²⁴⁴ should highlight the differences to the French text. This also

²⁴³ Intended here is not a literary translation which provides a mirrored style and form to that of the source, but one that presents the (denoted) meaning of the source text.

²⁴⁴ Translated as part of this research.

permits a better understanding of the extent to which Heigel ‘freely’ adapted Rouget de Lisle’s French libretto and, for *knowing* readers, permits a comparison to the original text. Only translations in English are shown in the following comparison. Comparative analyses of the syllables and stresses formed between the music and the language are not undertaken in this research, but are required if a more precise understanding of exactly how Heigel made primary mediation-based decisions about the textual sections within this (re-)adaptation/(re-)composition phase is to be undertaken.

Sleepwalking Scene (5.1)

	<i>TRANSLATION FROM FRENCH</i> (Hibberd 94) (de Lisle)		(direct) <i>TRANSLATION FROM GERMAN</i> (Heigel)
LADY	There, there, still blood!	LADY	Blood on my hand.
DOUGLAS	Let’s listen in silence...	DOUGLAS	Nobody venture to interrupt her actions.
LADY	Vanish, accusing mark, vanish...	LADY	Away with you, witness to my deed!
MOÏNA	I tremble!...		Away!
LADY	Vengeful heaven		
<hr/>			
LADY	Indelible mark, That chills me with fear What are you doing on my arm? Of this terrible crime, My heart alone was guilty: This hand is not.	DOUGLAS & MOÏNA & CHORUS Lady	Her ear is deaf, her eye is blind, She must wander in her sleep, Only a burdened conscience Has wrested her from the silence. God of revenge! Nothing allays my fears Shame must cover me I will forever stain this hand With disgrace and blood... ²⁴⁵

The comparison demonstrates how far Heigel diverted from the French libretto. Not only is there an obvious difference in meaning, but Heigel’s (re-)adaptation also requires (re-)composition, as even without an analysis of the syllable and stress differences, the characters performing the lines in the German version differ greatly from the characters in the original French opera. Further research is required if this is able to be confirmed by the German notated score. However, it could be that the performers learnt their parts from the original French notation with only the character names and language changed – thereby only a (re-)adaptation process was necessary. However, if Chelard (or a later composer) changed the notation, as Koppel did with the German version which he pencilled into his Danish manuscript (refer to *Part IV – Chapter 1 to 3*), then this would be further evidence in support of a (re-)composition process.

²⁴⁵ *Lady: Blut an meiner Hand. / Douglas: Niemand störe kühn ihr handeln. / Lady: Weg mit dir, Zeuge meiner That! / Verschwinde doch! / Douglas, Moïna & Chor: Taub ist ihr Ohr, ihr Aug’ ist blind, / Sie muß im Schlafe wandeln, / Nur ein belastet Gewissen / Hat sie der Ruhe entrissen. / Lady: Gott der Rache! Nichts bannet meine Schrecken, / Schande muß mich decken / Ich ewig wird beflecken / Schmach und Blut diese Hand.* (Chelard Libretto, 62-63)

Historically noteworthy aspects of Chelard's opera

There are also a considerable number of points of interest from a cultural and historical point of view that warrant attention. Firstly, economic influences are evident, such as those mentioned in *Part III – Chapter 3*, in which parts of the opera are intended for other uses. A piano arrangement of the ballet from Chelard's *MACBETH* became “popular with amateur pianists and organists” (Primmer). Another part of the opera demonstrates the importance of gentry as the financial basis of the artistic environment of the times, as one number involves “a long duet-cadenza for harp and flute [that] has nothing to do with the plot, and must have been put in to please two friends who were excellent players or had valuable patrons” (Wilson 57).

Of extremely high historical relevance is that the French version was the first French work to use valve trumpets (Koehler 47, 169), including “a trio for three valved trumpets” (Bickley 62), pre-empting the better-known works of Berlioz, which Chelard would later bring into German repertoire in his role as a conductor (Primmer). Berlioz, in fact, had been influenced enough when hearing Chelard's *MACBETH* that he altered the second French work to use trumpets, *Waverley* (Bickley 62). Although non-musicians may not understand the importance of this decision, this is indeed an historical aspect that should be noted, as it changed the history of trumpets and subsequently music from this point, beginning the conventional change to valved trumpets that would not only subsequently influence classical music, but give rise to their widely accepted use in popular music from the twentieth century.

Other notable points in the German version of the opera make it stand out from other *MACBETH* operas. Firstly, the opera opens with an invented scene with Macbeth's disappearance and the general turmoil of his soldiers. Secondly, two lovers, Moina and Douglas are added at the expense of some key characters in the source text: Macduff, Malcolm, and even Banquo. The omission of Macduff and Banquo in particular entails key changes to the narrative structure and the textual elements, and, if this occurred in an English version, would result in the removal of key lines, which would draw the attention of and potentially criticism from *knowing* audiences. Additionally, the witches each are named “for the first time” (Wilson 56)²⁴⁶, and Duncan is killed after Lady Macbeth's *Sleepwalking scene* (5.1). Highlighting the practice of ‘borrowing’ from other composers in the period, “one of [the witches] motives was used by Liszt, who knew Chelard at Weimar, and then taken from Liszt by Wagner for use in the *Walkure*. It comes as quite a surprise in its original place in this *Macbeth*” (Wilson 57).

There are many aspects of Chelard's opera that, despite the music not remaining in the operatic repertoire, warrant its mention within the historical development of opera and music more generally. That it led the trend for operatic Shakespeare repertoire in France and included attributes of

²⁴⁶ Also evidenced in Rossi and Marshall's 1877 *BIORN*, as detailed in *Part IV – Chapter 5*.

technological change such as the valved trumpets are significant. Therefore, the opera deserves more attention in academia than it has received to date.

Wilhelm Taubert. *MACBETH. OPER IN FÜNF AKTEN* (op. 133) (1857)

Taubert's opera was premiered in Berlin on 16 November, 1857, and is, by modern standards, an extremely long five-act opera which lasts over four hours ([47] Unknown 186). It had been announced in England in *The Morning Chronicle* two months prior to the premiere, where it was referred to as the "new" *MACBETH* against memories of "the older German "Macbeth," by M. Chélarde", to which the columnist decried the journey into obscurity that Chélarde's work had seemingly completed: "[Chélarde's Macbeth] has been too largely forgotten during late years – though it is an opera the care, cleverness, and combination of which should have kept it alive – especially now, when works of genius are rare" ([45] Unknown). As with the comparison of later operas to Verdi's *MACBETH* as discussed in *Part III*, the foregrounding of Taubert's work provides more evidence of the need for extending Hutcheon's *(un)knowing* through the inclusion of intramedial knowledge: the additional experience of another German language *MACBETH* opera. The foregrounding sets expectations, in this case, that it cannot compete with "genius".

The composer

Wilhelm Taubert held many conducting positions in Berlin from the early 1830s and at the time his opera was premiered, he was the music director of the Royal Berlin Theatre²⁴⁷ (Lindeman). Taubert was an acquaintance of Mendelssohn and was held in "high regard" by Schumann (Lindeman). However, Taubert was also viewed as a composer that did not meet his potential, once described in 1894: "One can only regret that a man who had such an eye for the failures of others exercised so little critique of his own works and chose to accept every whim to be good enough as the basis of a great work" (Eitner).²⁴⁸ The process within the adaptation/composition phase highlights another issue of note: the librettist and the composer were unable to achieve a harmonious collaboration. "But Friedrich Eggers withdrew his name because the composer did not make the alterations that had been arranged" (Fontane and Eggers 455).²⁴⁹ This is another example of how only one person not following a plan in a collaboration can cause problems with the mediation, even though the reasons why the alterations to the libretto were not implemented are not known. However, as both librettist and

²⁴⁷ At the time of this research known as the Deutsche Staatsoper.

²⁴⁸ „...nur bedauert man, daß ein Mann, der einen so scharfen Blick für Fehler anderer hatte, an seinen eigenen Werken so wenig Kritik übte und jeden Einfall für gut genug hielt ihn zur Grundlage eines großen Werkes zu wählen.“

²⁴⁹ "Friedrich Eggers zog allerdings seinen Namen zurück, weil der Komponist mit ihm nicht abgesprochene Änderungen im Libretto vornahm."

composer were recognised as having character faults, the potential for problems during the collaborative process could have been predicted. As can be seen in Figure 109, the overall creative process is, as far as can be determined, a relatively simple one. However, the agreement to amend the libretto during the adaptation/composition phase was not continued by Taubert, presumably because it would have required a considerable amount of re-composition, which the suggestions about Taubert's detrimental work-ethic would tend to support.

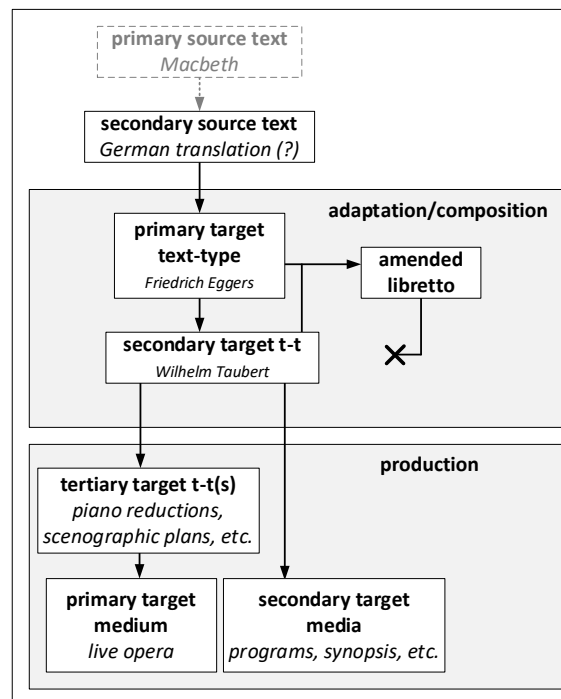


Figure 109: Process flow for Taubert's MACBETH

Historical period

The period in which his opera was composed is of note because although Abbate and Parker state that “[i]t is always naïve to imagine that the history of opera can be outlined simply by rewinding to the time when this or that work was written, by pretending to discuss the work’s historical context as if it only included the period immediately surrounding its composition” (Carolyn Abbate and Roger Parker 292), there is justification to “rewind” to 1857 because of the historical links that affected and were indeed part of the adaptation/composition phase. Just as it is true that Taubert’s opera could not be discussed without mention of the effects of both musical and socio-political conditions in Berlin at the time, *MACBETH* is also directly and indirectly connected to many musical events that occurred in that period. For example, although Wagner was well and truly along the path to fame, his political indiscretions resulted in major changes for himself and his family in the lead up to the premiere of Taubert’s work: this connection is direct, as will be discussed. The premiere also occurred as the first global financial crisis was taking hold (Uchatius). However, the onset of direct impacts had not taken hold by the time the work was performed.

Reception(s) to the opera: the impacts of political perspectives?

The surviving entries from Taubert’s diary held in the National Library in Berlin, which were also supplemented with various texts by the Taubert family (Marie Taubert), are unfortunately difficult to transcribe, not only because of the handwriting style of the time but also because of the quality of the handwriting that was used to copy over a thousand of pages of information. However, one section related to the opera states that “[t]he first performance took place on Nov. 16th, which was a great success and showed that the text and music had captured the audience” (Marie Taubert [Il. 9-11, entry p.78 in 1857])²⁵⁰. In his research into early *MACBETH* operas, Wilson states that “the opera has very good points, and should not die” (59): an unfortunately accurate assessment of the obscurity into which the opera had already fallen at the time of his writing and prediction of its destiny.

The positive assessments of the opera are, however, at odds with one review in the *Süddeutsche Musik-Zeitung* at the time, in which Taubert’s *MACBETH* was brutally criticised. The unnamed reviewer stated that, “[w]ith the exception of the Finale in the Third Act,... no sensation could be generated other... than... the excruciating doubt as to whether it... could in any way still be considered as music” ([47] Unknown 186).²⁵¹ Among the many criticisms that Taubert attracted, the reviewer ponders “what is an opera composer without a feeling for the situation?” ([47] Unknown 187).

²⁵⁰ „Am 16ten Nov. fand die erste Aufführung statt, daran glänzender Erfolg zeigte, daß Text und Musik das Publikum zu packen verstanden hatten.“ (transcribed from her handwritten copy).

²⁵¹ „Mit Ausnahme des Finale vom dritten Akt, konnte... keine Empfindung... hervorbringen, als... der quälenden Zweifel, ob das... überhaupt noch für Musik gelten dürfe.“

Another example of criticism directly targeting the opera that was provided within the review was that Lady Macbeth took over four hours to do what had been awaited from her first appearance, “namely to plunge from the castle in desperation of her senses” ([47] Unknown 187)²⁵² following Macbeth’s inevitable death. That the target of this example was the (slow) narrative development of Lady Macbeth throughout the opera links directly to the Wagnerian historical connection, as Lady Macbeth was none other than Johanna Wagner²⁵³, Richard Wagner’s niece (Friedlaender; Hofmeister 102). The reviewer apparently takes great joy, despite bludgeoning the opera overall, of complementing the staging of Taubert’s premiere and simultaneously pointing out that “[t]he new opera director, Mr. Wagner, could not have had a more resplendent debut” ([47] Unknown 187).²⁵⁴ Johanna Wagner also receives some praise and avoids direct criticism. Unlike the performers in Rossi and Marshall’s *BIORN*, which is discussed in detail in *Part IV – Chapter 5*, Johanna Wagner was not only well-respected, but she was “a celebrated opera singer who was for years the more famous musician in the family” (Carolyn Abbate and Roger Parker 292). As well as her fame, she brought to the role extensive experience, including the premiere of Elisabeth in her uncle’s opera *Tannhäuser*. In fact, Richard Wagner held her in such high esteem that he not only composed the role of Elisabeth for her when she was still 17 years old, but also that of Elsa from his opera *Lohengrin* (Friedlaender). Friedlaender also mentions her “extraordinary range of 3¼ octaves”,²⁵⁵ which also provided her the ability of performing roles of various voice and pitch type. Richard Wagner confirms this agility in 1845, writing of her:

The girl [Johanna Wagner] is 18 years old, thin and in the theatre especially of great youthful beauty; the essence of her voice is an excellent mezzo-soprano, for the power, however, the full soprano range is there, which has been cautiously groomed by her father, but nevertheless still promises to be easier to develop. I confess now never to have heard a more beautiful voice. What pleases me in particular is the sensation, the warmth and the dramatic finesse, with which her performances already demonstrate. (Wagner)²⁵⁶

Johanna Wagner left for Hamburg in 1849 before beginning with the Berlin Opera the following year (Jansohn "J. Wagner"), and her involvement in numerous opera houses away from Richard Wagner created a “difficult relationship”²⁵⁷ between the two Wagners. Nevertheless, she returned after retiring from the stage in 1872, performing in the premiere of his entire four-opera *The Ring of the*

²⁵² „sich nämlich in Verzweiflung von den Sinnen ihres Schlosses hinunterzustürzen.“

²⁵³ Johanna Wagner-Jachmann.

²⁵⁴ „Der neue Opern-Regisseur, Herr Wagner, hätte nicht glänzender debüti[e]ren können.“

²⁵⁵ „außerordentlichen Umfang von 3¼ Octaven“.

²⁵⁶ „Das Mädchen ist 18 Jahre alt, schlank und auf dem Theater zumal von grosser jugendlicher Schönheit; der Kern ihrer Stimme ist ein ausgezeichnete Mezzo-Sopran, für die Kraft ist aber die vollste Sopran-Höhe da, die sich, behutsam von ihrem Vater gepflegt, jedoch auch immer leichter zu entwickeln verspricht. Ich gestehe nun, eine schönere Stimme noch nicht gehört zu haben, was mich aber besonders freut, ist das Gefühl, die Wärme und das dramatische Geschick, wodurch sich schon jetzt ihre Leistungen auszeichnen.“

²⁵⁷ „schwierige Verhältnis“ (Friedlaender 103).

Nibelung in 1876 as Schwertleite and the Erste Norne in *Die Walküre* (Friedlaender). She performed in Taubert's opera from the premiere until her last performance on March 31, 1858 (Wilhelm Taubert "An Spohr"). That Johanna Wagner's stage character was attacked but she as a performer was not, despite the barb aimed at her uncle, suggests that the opinions regarding Richard Wagner's political background following his exile to Switzerland after his "abortive involvement in the Dresden Revolution" (Carolyn Abbate and Roger Parker 292) of 1849 were at play. Warrack discusses the "falling out" between Richard Wagner and Taubert's co-conductor in Berlin from the same year (372), adding to the likelihood that Wagner's reputation amongst the music community in Berlin had declined. Taubert himself is also stated to have "resisted Wagner, while not remaining wholly immune to his influence" (Warrack). It is unlikely that his enormous influence on changing operatic culture through developments for Bayreuth were involved, as he had only "roughly sketched" the idea in 1850 and the foundation stone was only laid in 1872.

The librettist came under fire for his work, later meeting with the reviewer: "Eggers encountered the theatre critic Julius Klein not without bias. In 1857, [Klein] had disparagingly reviewed the libretto created by Eggers for the opera *Macbeth* by Wilhelm Taubert in *Die Zeit* (18. November 1857)" (Fontane and Eggers 239, footnote 618).²⁵⁸ This is probably not surprising, considering the disregarding of Eggers' changes that Taubert had agreed to as already mentioned. The opera apparently "was given in Berlin until 1872, and revived in Magdeburg (1877)" (Meyerbeer and Letellier 189). The copies of Taubert's diary with the additional collations (Marie Taubert [ll. 13-14, entry p.78 in 1857]) show that, in addition to Johanna Wagner performing Lady Macbeth during the premiere, Heinrich Salomon, who was a bass at the opera in Berlin at the time (Jansohn "Salomon"), performed the role of Macbeth, and that "Best" performed as Banquo and "the youthfully fresh"²⁵⁹ Wippern²⁶⁰ performed the role of Malcolm. However, despite the quality of the cast, the blunt 1857 review is an example of how social and political connections that existed throughout the German culture at the time can influence the reception of the target medium.

²⁵⁸ „Eggers begegnete dem Theaterkritiker Julius Klein nicht unvoreingenommen. Dieser hatte 1857 das von Eggers verfaßte Libretto zur Oper *Macbeth* von Wilhelm Taubert abfällig in der *Zeit* (18. November 1857) besprochen.“

²⁵⁹ „die jugend-frische“.

²⁶⁰ Louise Harriers-Wippern.

The libretto

The libretto to Taubert's *MACBETH* by Hartwig Karl Friedrich Eggers (1819-1872), known as Friedrich Eggers, contains a variety of mediation techniques that include literal translation, mediation of "specific information" (North et al. e.g. 108), and additional text not contained within the source text. The only noted libretto in the summary of Eggers' life and career is that of Taubert's *MACBETH* (Fontane and Eggers 451-454). Eggers nevertheless had a strong academic background and professional life, resulting in him becoming an "art historian, Professor of the Academy and expert for Prussian art policy in the Ministry for Religious, Educational and Medicinal Matters"²⁶¹ (Fontane and Eggers 1). As with Taubert, Eggers was also known to have character flaws that, as shown in the excerpt taken from correspondence below, affected the collaboration and his career.

Eggers wasn't someone that was easy to help. He sought advice from everywhere but rarely let himself be advised. He considered pursuing the rather hapless collaboration with the Berlin conductor Wilhelm Taubert, for whom he wrote a "Macbeth" libretto, even though it drew the recognition of the Princess of Prussia, yielding nothing else. Taubert created the music for his Cantata about the sculptor Rauch, now connecting his music to a condensed recitation text from Shakespeare's *The Tempest*. Sullenly, Eggers complained to his brother Karl that he had "absolutely nothing (to do) with a composer as such, but I have to do it with *Taubert*". That [Eggers] tried to put as much "of his poetising into [Taubert]" as he could.²⁶² (Fontane and Eggers 38-39)

Despite their issues, Eggers and Taubert's collaboration includes some intricately-written sections of text that is performed at the same time. In *Number 7*, the scene directly after Duncan's murder is discovered (from 2.3.63b) is portrayed by a significant section of polyphonic²⁶³ writing, with which Malcolm, Fleance, Lady Macbeth, Macduff, Macbeth, Banquo, and the Chorus perform various layers of texture involving various textual elements. Taubert creates musical confusion in order to depict the confusion of the scene by having multiple performers express their reactions to the death. One section of *Number 7* is structured with three distinct parts: two passages of polyphonic writing which are ended in a relatively abrupt manner with the final line in which all performers sing in homophony²⁶⁴.

²⁶¹ „Kunsthistoriker, Professor der Akademie und Referent für preußische Kunstangelegenheiten im Ministerium für geistliche, Unterrichts- und Medizinalangelegenheiten“.

²⁶² „Eggers war keiner, dem sich leicht helfen ließ. Holte er auch von überall Rat, ließ sich ihm doch kaum raten. Er erwog, die an sich eher glücklose Zusammenarbeit mit dem Berlin Kapellmeister Wilhelm Taubert fortzusetzen, für den er ein „Macbeth“-Libretto schrieb, das ihm zwar die Anerkennung der Prinzeß von Preußen, sonst aber nichts einbrachte. Taubert hatte seine Kantate auf den Bildhauer Rauch vertont, jetzt sollte seine Musik einen aus Shakespeares *Sturm* zusammengestrichenen Deklamationstext verbinden. Verdrossen klagte Eggers gegenüber dem Bruder Karl, er habe es „nicht überhaupt mit einem Componisten, ich hab' es mit *Taubert* zu thun“. Dem versuche er, so viel er könne, „von meinem Dichterthum einzuimpfen“. Nun, da alles schief gehen drohte, blieb von dem Gedanken.“

²⁶³ *polyphony/-ic* here refers to the musicological term, in which multiple different musical lines are occurring simultaneously.

²⁶⁴ *homophony/-ic* essentially refers to performers singing the same text in the same (or at least predominantly the same) rhythm.

In this section, Lady Macbeth expresses her faked reaction to the death, as she makes her “griefs and clamour roar, / Upon his death” (1.7.77-78) in a way that only the role of a mediated dramatic soprano can.

Polyphonic passage 1 (Wilhelm Taubert "Macbeth" 85-86)

Lady	O Gott, was soll ich sagen, der beste König ward erschlagen, wer lieh den Kämmerern die Hand?	Oh Lord, what am I supposed to say, the best king was slain, who gave the chamberlains the hand?
Fleance	O lässt uns klagen! Er ward erschlagen von gottverfluchter Hand.	Oh let us complain! He was slain by by God-accursed hand.
Chor	O lässt uns klagen! Der König ward erschlagen von gottverfluchter Hand.	Oh allow us to complain! The king was slain by by God-accursed hand.

They are then joined by Malcolm, Macduff, Macbeth and Banquo, with Macbeth joining Lady Macbeth's “grief” in a rhythmically separated repetition of her text, and the Chorus linked in the same manner to the elements sung by Macduff and Banquo.

Polyphonic passage 2 (Wilhelm Taubert "Macbeth" 86-89)

Lady / Mb	O hätt' ich nie erlebt die böse Nacht, hätt' ich sie nie erlebt, die durch Verrath, und solche That, dies Schloss zum Ort des Schreckens macht.	Oh, if only I'd never experienced the evil night, if only I'd never experienced it, that through treason and such deeds, turned this castle into the place of terror.
Md, Bnq / Chor	Das war das fürchterliche Graun der Nacht, Das war das fürchterliche Graun der Nacht, Die durch Verrath und solche That, dies Schloss zum Ort des Schreckens macht.	It was the terrible horror of the night, It was the terrible horror of the night, that through treason and such deeds, turned this castle into the place of terror.
Malc.	Die mörderische Hand, eh' sie mich zu ihrem Opfer macht, eh' der Verrath sich unsichtbar mir naht, bin ich auf Sicherheit bedacht.	The murderous hand, which easily made me its victim, the unseen deed easily draws near to me, I am mindful of protection.

The chaotic scene is then reduced completely through both the homophonic writing and the instant dynamic change to a soft volume, which is then subsequently once more broken by an adapted form of Lady Macbeth's “What, in our house?” (2.3.89a).

Homophonic passage (Wilhelm Taubert "Macbeth" 85-86)

Alle	Der beste König ward erschlagen	The best king was slain
<i>ohne Mb, LM</i>	von gottverfluchter Hand.	by God-accursed hand.
Lady	In meinem Haus!	In my house!

Eggers' libretto also contains a mixture of literal translation (e.g. 3a and 3b) and mediated text created to form rhyming patterns and a rhythmic metre which were a part of the operatic convention of the time (e.g. 4-7). In order to achieve the latter, Eggers drops syllables, allowing the re-balance of syllables through contracted forms, for example, "gen"/gehen (go) in line 4 and "unsre"/unsere (our) in line 5. This mediation of the specific information into another textual form is one of the aspects that sets operas of the period apart from later *MACBETH* operas which, after *BIORN*, predominantly retain the original text.

Excerpt from Taubert (Act 3, Finale)

Shakespeare (5.4)

Malcolm	Wie heisst der Wald hier?	What wood is this before us?	(3a)
Chor	Birnamswald!	The Wood of Birnam.	(3b)
Malcolm	Er soll mit uns gen Dunsinan sogleich ,	(Let every soldier hew him down a bough)	(4)
	und unsre Zahl dem Feind verstecken ;	(And bear't before him; thereby shall we shadow)	(5)
	es fälle Jeder einen Zweig ,	(The numbers of our host, and make discovery)	(6)
	den Mann mit grünem Schild zu decken .	(Err in report of us.)	(7)

The ending also holds an unusual aspect related to the Macbeths. While Macbeth is fighting Macduff in the closing scene, Lady Macbeth, who has not yet plunged to her melodramatic end, accompanies the fighting by effectively nagging Macbeth to fight better, which Dean describes as "she keeps up a running commentary" (Dean "Opera" 158), calling down to him with:

"Why are you hesitating?" / Oh, send him to his wife, / and Fife, all of Fife will be dead!" ("Macbeth" 231)²⁶⁵; "Did you hear that? / He isn't an apparition, / Only ghosts say that swords scorn. / There is only him left! / You will defeat him!" ("Macbeth" 232-233)²⁶⁶; "Macbeth, don't leave me alone, / my eye helps (you focus), / the victory is yours! / Strike him! Strike him! / (Macbeth collapses to the ground, Lady swoons against the parapet) That struck (him)!" ("Macbeth" 233)²⁶⁷.

Lady Macbeth then begins the seemingly endless process of taking her own life, singing 18 bars of music before her dive from the castle (Wilhelm Taubert "Macbeth" 234-236):

Lady	Todt! Macbeth todt!	Dead! Macbeth is dead!
	Dann ist es Zeit dieses LebensSpiel zu enden,	Then it is time to end this game of life,
	Und die dunkle Ewigkeit öffn'	and I open dark eternity
	Ich mit entschlossnen Händen.	with resolute hands.
	Was dann kommt, ich nehm' es hin.	Whatever comes, I will accept it.
Chor	Ergreift sie! Ergreift sie!	Capture her! Capture her!
Lady	Lebend sollt Ihr mich nicht haben.	You will not take me alive.
	Diese Krone sei begraben,	This crown is buried, (<i>she throws the crown down</i>)
	Und mit ihr die Königin!	And with it the Queen! (<i>she plunges</i>)

²⁶⁵ „Macbeth, was zögerst Du? / O send' ihn seinem Weibe zu, / und Fife, ganz Fife ist todt!“

²⁶⁶ „Hörst Du's? / Er ist kein Wahngbild, / nur Geister sprechen Schwertern Hohn. / Den Einen noch! / Ihn schlägst Du doch!“

²⁶⁷ „Macbeth, Lass mich nicht allein, / mein Auge hilft, / der Sieg ist Dein. / Schlag ihn! Schlag ihn! (Macbeth fällt. Die Lady taumelt gegen die Brüstung) Das traf!“

After a short section with the Chorus, the witches appear, rising from where Lady Macbeth plunged, in unison singing “You can have the crown, we have the King! / You call and summon Scone, / Our kingdom is here!” (“Macbeth” 237)²⁶⁸, before sinking back again. This translation is a correction on Wilson’s 100-year-old translation: “He had the crown, we have the King” (59), which neither takes into account the grammatical context of the witches’ lines nor the context of Lady Macbeth having thrown the soldiers the crown. This scene is a clear example of the librettist’s ability to reshape the narrative structure of *Macbeth* in order to create a dramatic situation more suited to the medium of opera, but is one which Dean describes as “toppl[ing] into hopeless bathos in order to keep the prima donna on stage during the battle” (“Opera” 101). Although there is an excessive amount of time between the moment that Lady Macbeth states her decision to end her life and the actual moment she does, Taubert uses this time to rebuild from the climax of Macbeth’s death to a secondary climax as she dives, suiting the musical needs of the medium at the expense of the theatrical.

Chelard and Taubert: ‘Scottishness’ and conventions

This section considers some of the main similarities that support the connection of the operas through historical and socio-political environments, despite the nearly thirty-year period between them. These similarities involve the inclusion of perceived Scottishness, as well as structural conventions resulting from the use of Chorus. A handful of examples will be used to highlight these issues. However, the section is not intended to be a comprehensive comparison of the aspects of both operas.

Scottishness

In the course of the nineteenth century, almost every country in Europe and almost every major composer... would feel the need to bring a note national specificity into their music. ‘National music’ dominates the century from Carl Maria von Weber (*Der Freischütz*, 1821) to Jean Sibelius. (Leerssen “Romanticism” 609)

Chelard’s German *MACBETH* and Taubert’s *MACBETH* came into existence in the period of history in which nationalism was being integrated into the operatic medium as described above, establishing a situation where “the national opera had ceased to be an innovation and had become an institution” (Leerssen “Romanticism” 612). For reasons that will be discussed, both Chelard and Taubert employed the use of ‘Scottish’ music in their operas, in a continuation of what Warrack mentions as having occurred in earlier German operatic history (Warrack 371-372). Ironically, while “the country so often permeated musical thinking in Germany, France and elsewhere... Scottish music was in a very low state, and... [t]he theatre... was regarded by most Scots as an inciter of irreligion and vice” (Fiske x). Although the two

²⁶⁸ „Ihr habt die Krone, den König haben wir! / Euch ruft und ladet Scone, unser Reich ist hier!“ The translation provided above is similar to that provided by Dean in 1964, though the inclusion here of “can” highlights the witches’ intentions, and “call” being a more direct translation of “ruft”, which Dean omitted.

German *MACBETH* composers drew on perceptions of Scottish musical values, the general interest in Scottishness had begun almost a century before, during a period defined by Leerssen as Romanticism's "pre-1789 run-up... in what has been called pre-Romanticism" ("Notes" 11). Examples of the influence of 'Scottish' music can be found in music by Veracini, who "based one aria on a Scottish folksong" in his operatic adaptation of *AS YOU LIKE IT* produced in 1744 (Dean "Opera House" 78), as well as overtly announced works such as Beethoven's *12 Scottish Songs* in 1817-18 (Beethoven) and Weber's *Scottish National Songs*²⁶⁹, which were released in the year of his death in 1826, a year before the premiere of the French version of Chelard's opera (Weber). In order to integrate nationalism into their work, "elements such as dance forms... with characteristic rhythmic or melodic patterns; 'national' instruments such as the pastoral-German horn, the guitar, bagpipe-style drones; or liturgical chants" (Leerssen "Romanticism" 615). Dances and drones both appear in the two operas concerned.

The interest in Scottishness in Germany increased dramatically following the release and translation of Macpherson's *The Poems of Ossian* in the 1760s, which influenced key German figures such as Herder and Goethe (Fiske 44; Kristmannsson 1; White 110), despite the sceptical reception that they received in England and Ireland (White 111). German romantic nationalism, "which has a central position in the unfolding of modern German spiritual, intellectual and political life and in the constitution of the national German psyche" (Taylor) plays a part in the music of the period that Chelard's German version and Taubert's opera were created, demonstrating that the operas are also "the outcome of historical practices and events" (Leerssen "Romanticism" 607). "[T]he imposition" of stereotypes of Scottishness "was the work of the later eighteenth and early nineteenth centuries" (Trevor-Roper 16) and national romanticism in Germany unknowingly drew on these features, although Calleo questions whether "the Germans were uniquely afflicted with the nineteenth-century Romanticism and Philosophical Idealism" (Calleo 3).

Ossian poetry "influenced works of visual artists and composers of music. The transnational circulation and impact of *The Poems of Ossian* was not limited to the field of literature but inspired artists working in other media" (Kristmannsson). The Ossian poems also affected structures within Goethe's poetry which were subsequently used by composers including Schubert and Schumann (Fiske 46-47). However, it was the perception of Scottishness that was the dominating aspect of the Ossian poems' influence over German culture. The German composer Mendelssohn created programmatic works such as *Overture - The Hebrides*, also known as "*Fingal's Cave*" due to name changes (Carpenter), which was first completed in 1830 and *Symphony No. 3 "Scottish"* (premiered 1842). This interest in

²⁶⁹ *Schottische National-Gesänge*.

Scottishness was also to continue after the premieres of the two operas that are the focus of this comparative case study, including Bruch's *A Scottish Fantasy* (1880).

This concept of linking the – at least Europeanised perception of – musical traditions from, or perhaps more appropriately, romantic depictions of Scotland is not one continued in later *MACBETH* operas. Wilson discusses the Scottishness in the *MACBETH* operas in some detail, but cannot contain his less-than-subtle sarcasm, nor for that matter his bewilderment, when he writes of Chelard's attempts at Scottishness where "[o]ne number is marked tempo d' inglese, though why a Franco-Scottish dance, produced in Germany, should be in English time I cannot understand" (57). He continues this mocking style, mentioning a "Scoto-German characteristic dance" (58), and remarking of one section of Taubert's work: "a male chorus sing[s] "O Scotland, poor fatherland, how has fate treated you!" It is a very sentimental bit of work, and must often draw tears; but I don't think real Scotsmen would be caring about it" (59). Dean mentions the "quoting [of] 'Auld Lang Syne' – in a somewhat corrupt text", which seems incongruent with "a strange compound of early German romanticism and the skittish coloratura of Rossini's comedies" ("Opera House" 81). Wilson also comments about the Chorus' singing of loyalty for each of the new kings: "Already they have sung in praise of Duncan and Macbeth, and now, quite easily, they adapt their vocal transports to Malcolm, and are very Scoto-Germanic in their efforts" (59). Taubert is also described as having "derived a German-Scottish dialect involving the addition of Scotch snaps to square Teutonic tunes and even polaccas" (Dean "Opera" 158).

That composers attempted to draw stereotypical representations of Scottishness is perhaps not surprising. However, that this musical aesthetic of both Chelard's and Taubert's *MACBETH* operas does not return in later operas²⁷⁰ highlights what is perhaps an aspect of the historical period that warrants mention.

²⁷⁰ Excluding the possible usage in Rossi's *BIORN*, as mentioned in *Part IV – Chapter 5*.

The conventional operatic Chorus

The two operas contain examples of structures that conform to operatic conventions prior to the changes that the development of Wagner's music drama concepts brought to opera. The segmenting of the opera into numbers as opposed to through-composed scenes, as well as the reliance on Chorus and ballet are some of the conventions that affect the structural functions of both operas. Even the inclusion of prominent harpists in some numbers separates these two operas from any other *MACBETH* opera. Both composers provide the Chorus with more opportunities to perform than is demonstrated by the later *MACBETH* operas that conform more directly to the original text. Taubert, for example, involves the Chorus in 12 of the 22 separated structural settings, sometimes briefly, others such as in 13a, where they are the only performers. Hibberd mentions that Chelard's French opera "was highly traditional and limited the opera's radical potential" but that "it allowed for only a few ensembles and choruses" (Hibberd 90), which would suggest a lower usage than Taubert in this regard. The use of choruses in any great number is in stark contrast to the source text, in which very few scenes provide for large numbers of performers on stage at any one time, most of which occur in the final act. Taubert's Chorus appears in all but Act 4, which only contains the *Sleepwalking Scene*.

One of the means by which Eggers and Taubert increased the usage of the Chorus was through the replacement of Ross and Angus, who are represented by the entire male chorus in some sections, and Fleance in others. In doing so, Taubert creates a more traditional operatic style of performance, instead of a through-composed structure and style more associated with music drama.

Taubert also provides Fleance with numerous appearances in 4, 7, 8, 13b, and 16, which is very similar in terms of the importance that Fleance plays to that of Gatty's opera, as discussed in the following chapter. The appearance in 13b relates to Shakespeare's 4.3, and in duet with Malcolm, Fleance performs the lines: "The fatherless sons, / they stand up for you, / the childless man!"²⁷¹

Textual conformity to structural conventions

In addition to the use of rhyme in sections mediated from types of prose in Shakespeare's original text, the structures in both libretti from Chelard's and Taubert's operas also clearly delineate sections in order to provide moments for the audience to demonstrate appreciation of the performers, particularly prior to scene changes. Both libretti resort to rhyming structures in order to conform to the structural conventions, demonstrating medial fidelity to the text-type of libretto to that point of history. This subsection presents two examples from their libretti that display these traits. As can be seen below in the excerpt from the opening of Heigel's German libretto from Chelard's work, the opera

²⁷¹ Malcolm und Fleance: Die vaterlosen Söhne, / sie stehen für Dich, / den kinderlosen Mann!

opens with both Chorus and such rhyming structures. With the exception of the repetition of line 1 and the end of line 2 of the libretto a few lines later, the entire structure is formed with rhyme, highlighted below in bold text. Also noticeable in this excerpt is the use of contractions in order to hold the rhythmic requirements of the text (e.g. “uns’re” in line 6; “entschuld’gen” in 11; “huld’gen” in line 12), which was discussed earlier in this chapter.

Chelard (German version) (with direct translation)²⁷²

Act 1, Scene 1

Macbeth’s military camp on a distant heath. In the background stands a bleak forest. In the foreground stands Macbeth’s tent. The horizon is filled with steep cliff. As the curtain rises, small groups of soldiers can be seen, moving around quickly and appear to be murmuring discontentedly to each other. The number increases and suddenly in turmoil they rush forward.

Chorus	Zerbrecht die Waffen und die Fahnen! Fluch uns! – denn dahin ist die Macht. Macbeth verschwand, - sein Geschick decket Nacht. Er wird zum Sieg’ nicht die Wege mehr bahnen. Zerbrecht die Waffen und die Fahnen, Dahin schwand mit ihm uns’re Macht.	Destroy the weapons and the flags! Curse us! – for there is the power. Macbeth vanished, - Night shrouds his fate. He will no longer pave the way to victory. Destroy the weapons and the flags! There with him our power vanishes.
Soldier 1	Sagt Brüder! Wer wird es wohl wagen, Herold zu sein von Macbeth’s Missgeschick? – Wer will ganz Schottland’s Vorwurf tragen?	Say brothers! Who will dare to be the herald of Macbeth’s misfortune? Who will bear all of Scotland’s burden?
Soldier 2	Wer des Königs zurnenden Blick?	(And) Who the king’s angry glare?
Soldier 3	Was geschehen – wie es entschuld’gen?	What happened – how to apologise?
All three soldiers	Hah! Weh uns allen, - nur Schande droht. Macbeth verschwand, dem alle huld’gen, Und rachelos blieb noch sein Tod.	Ha! Woe are we, - only disgrace menaces. Macbeth vanished, who all revere, And unavenged his death still remained.
Chorus	(Wiederholen Zeile 1 bis 6)	(repeats lines 1 to 6)

In the following example, Eggers created a text which incorporated various parts of 4.3 from *Macbeth*. In addition to changing the performers involved in presenting the text, he included the Chorus and formulated patches of rhyming structures. The use of Chorus in this scene is highly unusual when considering the extreme length of 4.3, in which the majority involves only Malcolm and Macduff until they are finally joined by a third character, Ross, for the remaining lengthy ending. Ross was omitted from the libretto by Eggers, who resorted to a message being delivered in recitative²⁷³ form instead of

²⁷² The direct translations presented in this subsection are purely for understanding of the denoted meaning of the words, but do not form a true literal (literary) translation which matches the overall structures (e.g. rhyming schemes) contained in the libretti.

²⁷³ *Recitative* styles are, in simple terms, effectively pitched spoken text, often emphasised by orchestral chords or short rhythmic motifs, as is the case in the section presented here.

his announcement of the Fife murders and then used Fleance and the Chorus to deliver other lines mediated from the original text.

Taubert (Shakespeare 4.3) (with direct translation)

Act 3, Nummer 13b (Recitativ, Terzett und Ensemble) (Wilhelm Taubert "Macbeth" 178-182)

(Recitative: *Allegro impetuoso*)

Malcolm	O hört die neue Schreckenspost, die Fleance uns bring(-), des treuen Macduff Schloss ward überfallen, und hingemordet sind ihm Weib und Kinder!	Oh, hear the terrible new message, that Fleance brings us, the loyal Macduff's castle was stormed, And his wife and children murdered!
Chor	O Höllenthat!	O hell-kite!
Malcolm	Gott der Gerechtigkeit, wo ist dein Blitz!?	God of justice, Where is your lightning?
<i>(Terzett: andantino doloroso agitato)</i>		
Macduff	Mein Weib! Meine Kinder! O meine Kinder, mein geliebtes Weib! All' meine Lieben! Das konnt' ein Teufel nicht verüben, so lang er noch bei Sinnen blieb. Und ich musst' ferne sein! (x2) Oh!	My wife! My children! Oh my children, my darling wife! All my pretty ones! The devil cannot perpetrate that, as long as he remains with senses. And I must be from thence! (x2) Oh!
Fleance	Vergieb, dass ich den Dolch zu Dir getragen , der Deiner Kinder Herz zerstach!	Forgive that I carried to you the dagger, which stabbed your child(ren)'s heart!
Macduff	Wie konnt' mein Herz nur weiter schlagen , als es daheim gedoppelt brach .	How could my heart continue to beat, as at home it split in two.
Chor	O fasse Dich!	Compose yourself!
Macduff	Sie schrien nach mir und ich war weit!	They screamed for me and I was away!
Malcolm	O fasse Dich!	Compose yourself!
Macduff	Vergebens rief ihr mich mit eurem letzten Schluchzen, eurem letzten Seufzer.	You hailed me in vain with your last sobbing, Your last sighs.
Malc./Fl.	O fasse Dich, es fordert Dich die Zeit,	Compose yourself, it commands you the time,
mit Chor	O fasse Dich, es fordert Dich die Zeit.	Compose yourself, it commands you the time,
Macduff	O lasst mich weinen! Mein Weib! [...] Herr, lass mich's überstehen , lass nur mein Herz nicht brechen , in sanften Thränenbächen lass all' mein Leid vergehn .	O let me cry! My wife! Lord, let me survive it, do not let my heart break, in gentle streams of tears, Let all my grief fade.

Conclusion

It can be seen from the evidence presented in this chapter that the two German libretti (primary text-types) as well as the two operas (secondary text-types) conform to certain aspects of operas at this point of the medium's historical development, with pre-music drama structural conventions dominating that demonstrate medial fidelity for the text-types of that time. Both operas also encapsulate elements of relevant historical value, which, although the operas themselves have vanished into obscurity, deserve more critical attention than has been given to date. Additionally, the way in which Hutcheon's concept of *adaptation as a process* is expanded by the creative loop back from the *reception* of Chelard's French opera to a *(re-)adaptation/(re-)composition* of Chelard's German opera is also of note. Although the details of when the changes in libretto agreed to by Eggers and Taubert are not known, this theoretical expansion is also affected by the potential creative loop back to *(re-)adapting/(re-)composing* that should have occurred in Taubert's opera, but for whatever reasons did not. As both also relate to other important people and events of the period, it could easily be argued that their value has been underestimated since they disappeared from performed repertoire. Deeper analyses of the operas and a subsequent juxtaposition over other theoretical concepts could also be of value to academic discourse regarding adaptation and mediation in Adaptation Studies and Intermedial Studies.

Part V – Chapter 2: Comparative Case Study 2 – Gatty and Collingwood

The opportunity presented by the two *MACBETH* operas that are the focus of this chapter is one that combines historical timing as well as geographical and cultural location. Two British composers, Nicholas Gatty (1874-1946) and Lawrence Collingwood (1887-1982) both composed *MACBETH* operas while involved with the same musical institution, the Royal College of Music (RCM) in London, finishing their works in 1924 and 1925 respectively. This opportunity opens many avenues of research: defining levels of collaboration and/or competition between the two composers; the importance of networking in providing for performances, as was also seen in the detailing of Koppel's Danish opera in *Part IV*; the comparative ways that the source text were used in the adaptation/composition phase and the subsequent reception that the adaptations achieved; social and cultural aspects that may have led to musical and financial connections that facilitated (Collingwood) or did not facilitate (Gatty) performances of the operas; the state of operatic composition in England at the time, particularly in light of musical breakthroughs in Europe in the period such as Stravinsky's ballet *The Rite of Spring* (1913), Berg's opera *WOZZECK* (1925), and the completion of Shostakovich's opera *LADY MACBETH OF THE MTCSENSK DISTRICT* (1934)²⁷⁴ at the time that Collingwood's *MACBETH* was finally premiered; and the effects of other historical events that marked this period.²⁷⁵ This chapter will concentrate on these various social, political, and cultural aspects and how they formed a symbiotic relationship with the two completely different support mechanisms through which only one opera was performed.

Unfortunately, with almost a century of time having passed since the operas were completed, many of these aspects are difficult, if not impossible, to deduce with absolute certainty. However, there are some clues that have been left that allow some level of estimation and speculation to be made about how and why these two operas received such different attention in the period between the two World Wars. As the product creation process is also not able to be followed at this stage, this chapter does not provide a process flow related to Hutcheon's concept of *adaptation as process*. All that is known is that Collingwood set his own libretto, and Nicholas Gatty composed the music to his brother Reginald Gatty's libretto. That Gatty's opera was never performed and Collingwood's was performed with a considerably long delay after completion is possibly due to the culture of "caution" within the opera organisations, which avoided the "financial risks" prevalent with the commissioning of and premiering of new works (Rodmell 12).

²⁷⁴ This is an adaptation of Leskov's novel, not of Shakespeare's play.

²⁷⁵ While a comparison of the two composer's compositional styles might also be of interest, the focus of this chapter is instead that of the textual usage within the operas as well as the aspects mentioned above. Similarly, a discussion of the impact that the first colour films becoming available at this time (1920s) were having on opera generally in England and on operatic production of new operas may also be of interest, but will not be undertaken in this research.

Placing Gatty and Collingwood into early twentieth-century British culture

Rodmell states that operatic output in the British Isles did not develop to the same extent as other musical forms (1). He further defined foreign “domination”, elitism, new forms of musical theatre, and the absence of skilled British musicians as “reasons for the failure to establish a nation of opera-lovers and canon of British operas” (1). This is confirmed by Glover in 1926, who stated that “no outstanding genius has yet succeeded in dominating the field; there has been no César Franck, no Brahms, no Verdi to serve as the nucleus for a school of composers’ (Glover 291). Although not maintaining the same development rate as other forms, British opera was nevertheless improving and saw “more than 100 serious operas by British composers” premiered (Rodmell 1) in the period leading into the composition of both Gatty’s and Collingwood’s operas. Unlike Italian, French, and German operatic styles, British opera at the time had no definable commonality (Glover 291). The dominance of European opera and its influence over British composers (Rodmell 1) was not always approved of, as can be evidenced in Glover’s comment about Collingwood’s style in general to that point of his career, where “there is none of that horrible sophisticated chromaticism with which certain modern composers seek to envelope the tunes which they are arranging” (Glover 296). Collingwood was further criticised – simultaneously with his contemporaries – for having “dodged the possibility of consciously or unconsciously borrowing the melodies of other people by putting no melodies in his opera at all” (Page), which can easily be viewed as a swipe at the state of operatic composition generally. Page continues to display his disregard: “one of the virtues of [Collingwood’s *MACBETH*] is the originality of its style, a quality which British composers of opera usually lack”.

Beyond the sarcasm of critics, the state of British opera at the time is probably best reflected in the small amount of research that has been undertaken into operatic culture of the time, with British operas and “operatic culture” near the end of the nineteenth century and the beginning of the twentieth century remaining “largely neglected” (Rodmell 1). In 1918, Engel even highlighted the problem that would hamper future research: “The chapter on lost manuscripts is a long one; that on works out of print is interminable; that on unknown identity quite hopeless” (505). Partly because of the loss and destruction of many operas and relevant documentary evidence, research into British operas has remained difficult despite the increase in web-based content, which “has to be treated with caution” due to the weaknesses that subjective resources and reviews have resulted in, as well as the fact that “newspaper reviews are the sole records of the performances of new operas” (Rodmell 1). Judging the accuracy of information available about the operas is also difficult because apart from the blatant subjectivity of the critics which was often repeated in different newspapers or journals with only slight variation in the language used, many of the more recent resources accessed for this research were simply plagiarised from earlier texts without reference, some with changes to information and

details. Primarily for this reason but also because of the need for clarity about the composers and their work, the following two subsections will provide more detail about the operas and their creators as well as other issues relevant to the difficulties associated with researching these specific operas that have been identified.

Nicholas Comyn Gatty. *MACBETH. TRAGIC OPERA IN 4 ACTS (1924)*

It is not simply a case that research into Nicholas Gatty has been lacking, but that he has effectively been erased from some previously existing historical records. His obscurity has occurred due to both the removal of an entry about him in the prominent Grove's music dictionary from the Fifth Edition (1954) onwards and the failure of the inheritance and copyright systems, which have resulted in his works being held in archives at the University of Exeter without any apparent likelihood of them being performed²⁷⁶. The removal of the entry about Gatty in Grove's is made more noteworthy because Gatty was himself an assistant editor of the Second and Third Editions of the dictionary (Scowcroft). Gatty was also not an unknown entity as a musician. He was an assistant conductor at Covent Garden and a performed and published operatic composer with well-received performances of his operas and a work that indeed won a Carnegie Award (Scowcroft). Indeed, his opera *THE TEMPEST*, which premiered in 1920 under his musical direction, was lauded as:

one of the best British operas as yet given to the world. Good as were the examples of the old days, they had not the modernity of a work like this... I have never heard music for the stage so faithful to mood as this. The composer falls in with the phases of the story as to the manner born. It is a most successful musical investment, as it should be, for if Englishmen cannot provide music to Shakespeare, then who can? (Barrett 320)

The author continues to expound Gatty's musical virtues by stating that: "What I find of particular value in the greater part of Mr. Gatty's music is its thoroughly British idiom. He makes it clear that such a thing is not impossible, and shows practically that it can be expounded with complete success" (Barrett 320). Gatty also demonstrated his intellectual credentials well before completing his doctorate in an article about the divergence away from tonality that composers had begun. Only a couple of years after the riot that supposedly greeted the premiere of Stravinsky's ballet, *The Rite of Spring*

²⁷⁶ The Special Collections archives. In 2017, the staff provided anecdotal evidence of the journey into obscurity that Gatty's works had undertaken. After Gatty died in 1946, his widow kept boxes of his manuscript scores. In her testament, his works were not allocated to anyone. Her lawyers provided the boxes of scores to the Music Department at the University of Exeter, which was then disbanded. When the music library was searched, the boxes were found in a storage room, apparently untouched. Due to their age and because the staff member involved could only speculate on their importance, the boxes were taken to storage and documented, where they had remained until March, 2017. The decision by the Special Collections staff to take the boxes luckily saved the full scores of *MACBETH* from being lost for good. However, for reasons unknown, a copy of Gatty's piano score is also held by the library at the RCM. The near loss of the operatic scores is staggering, considering that it was the first (full) *MACBETH* opera to use Shakespeare's original text. The irony is, however, that despite the scores being saved, the lack of copyright ownership effectively relegates Gatty's music, including that of *MACBETH*, into eternal obscurity.

(1913) in Paris, a 'riot' which was questioned 100 years later (Hewett), Gatty ponders the new direction of composition as:

moments when the accepted methods have been, as it were, ruthlessly swept on one side and an apparently new order of things established. [...] [I]f the underlying theories are pushed home it would seem that we shall have to completely readjust our ideas and perceptions. (Gatty "Futurism" 9)

Although Gatty does not explicitly expose his conservative musical tendencies, he nevertheless highlights conservative beliefs by stating that:

Musical expression has hitherto always consisted of the right employment, the proper alternation of concord with discord... [...] [D]iscord as such can no longer exist when concord is abolished, since the one is purely relative to the other and therefore it must be sought how to recognize variation in musical impressions in the terms of differential ugliness between one set of discordant sounds and another. (Gatty "Futurism" 11)

Positioned at a moment of time where the musical focus had switched dramatically, Gatty's writing suggests that he was not completely willing to let go of tonality or the conservative aspects of British music. However, a paradox is shown between the reality of his position within Western music and the way he is described in British terms: "As an English opera composer Gatty was perhaps born a generation too early, though even had he been born after 1900 he was for all his virtues not Britten or Tippett. Yet it does seem to be a pity that we have forgotten him entirely" (Scowcroft). Viewed as modern in British terms is perhaps a completely different version of 'modern' – or futurist, as Gatty wrote about – as was already occurring in Europe at that time.

Gatty's *THE TEMPEST* "was chosen as the first opera to be given under the auspices of the Ernest Palmer Opera Study Fund at the R.C.M. in 1925" (Blom [ed.]), shortly after the completion of *MACBETH* in 1924, as signed off by Gatty in Figure 110 below.

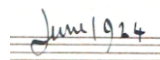
A photograph of a handwritten signature 'June 1924' written in cursive on a musical staff with five lines. The signature is written in dark ink and is positioned above the staff lines.

Figure 110: Photograph of Gatty's handwritten completion date in the score

In addition to his musical ability and his academic credentials, Gatty had important social connections with prominent English musicians such as Ralph Vaughan Williams (Scowcroft) and was known purely by his initials in correspondence between Vaughan Williams and Gustav Holst ("Letter to Holst"). Vaughan Williams also mentions Gatty's appointment as organist to the Duke of York's Royal Military School c.1899, stating that "I'm afraid he doesn't care for it very much but I think a little routine work is good for everyone - even a composer" ("Letter to René"). Despite the apparently good reception to his compositions and the relative prominence that he had, *MACBETH* and two of Gatty's other operas have never been performed (Scowcroft).

Lawrance Arthur Collingwood. *SHAKESPEARE'S "MACBETH" SET AS A MUSIC DRAMA (1925)*

The main focus of articles about Collingwood is his connection to Russia, usually with tacit approval of the cultural association that his experiences there brought to his work as a composer and conductor. The effects of his time there were both professional and emotional, each of which deserve mention. His first journey there in 1909 launched the direction of his career (Glover 293), and he subsequently returned to study. During this period “the first sketches of the Poème Symphonique and the opera “Macbeth” were made. The former was finished by 1917; the latter has occupied the last ten years of the composer’s life and is only now nearing completion” (Glover 294). Collingwood also composed other unpublished works which “were lost when the composer escaped from the country after the Revolution” (Glover 296). Collingwood reportedly remembered the reactions inside the Royal Opera House in St. Petersburg as reports of Rasputin’s death spread (Schafer 118). Following his return to England, his knowledge and experience in Russia as well as his fluency in the Russian language meant that “he was sent out as an interpreter to the Russian Expeditionary Force where he remained until the end of the war” (Glover 296), and where his works were “inspired by a sense of the ruin of the Russia he loved” (Glover 297).

On the opening cover page of Collingwood’s piano reduction, he states that the opera is actually ‘Shakespeare’s “Macbeth” set as a Music Drama’. This is an interesting statement, as it highlights that the conventions of his opera were aimed towards the theatrical medium more than the traditional operatic one. At the time, this treatment of Shakespeare’s text drew criticism for not being operatic (e.g. [49] Unknown 1123) including one critic who decried the lack of “purely vocal opportunities” despite praising Collingwood’s music for “[serving] to heighten the drama... [a] good example of this is the maliciously mocking music for the scene of the three witches” ([36] Unknown). Glover agreed with the reviewer of the witches, who compared the murder scene as “ten times more horrible” and “the witches and their apparitions ten times more hellish” (Glover 298). In 1970, however, the opera was described as “very much an operatic setting – too much text at times” ([3] Unknown). That the expectations of opera shifted so drastically within 35 years is interesting, especially if the subjectivity of further descriptions in the same review can be taken as correct: “The sleep-walking scene is particularly haunting: a simple melody for the doctor and the gentlewoman, above and below it Lady Macbeth’s line strays in discord and shivering sound”.²⁷⁷ However, no matter how well received the music of the opera was, the basic problem that faced Collingwood when adapting Shakespeare into the operatic medium (see *Part III – Chapter 3*) remains, as Clausen summarises:

An audience’s reluctance to break free from Shakespeare is a sure recipe for spending an evening in outraged agony. A composer’s unwillingness to break free from Shakespeare is an

²⁷⁷ This description further highlights the shift in acceptance for dissonance in music about which Gatty wrote that was mentioned in the previous subsection.

equally sure recipe for dramaturgical disaster, the opera crushed by sheer fame of the play. This was the fate of Lawrence Collingwood's opera *Macbeth*. ("Opera" 89)

The only image of Collingwood's opera found during this research is from 1934 of Malcolm, Macduff and Ross in the adapted version of 4.3 (Carey 141). The black and white image portrays a typically traditional theatrical staging of *Macbeth*, with an obviously fake backdrop castle wall behind the three characters, a Viking-horn styled helmet/crown that could be expected in Wagnerian operas, and caped costumes that would also be expected of any regal characters in any stage or film production about King Arthur or Robin Hood. The three characters are posed in 'brothers-in-arms' fashion, each connected by contact of hands.

Perhaps because it was written before the quality of the visual setting was apparent, and prior to the completion of the opera, Glover assessed that Collingwood's work would become one of the great operatic works in British history:

It is premature to assess the value of the work, until it can be considered as a whole; sufficient has, however, been accomplished to justify the assertion that we have in "*Macbeth*" one of the most original and outstanding of British operas, worthy in its own way to stand beside the other two great Shakespearean operas "*Otello*" and "*Falstaff*" and, unlike these, the work of a man who is on the threshold of achievement. (Glover 298)

However, history has proven this to be a considerable overstatement, as the various factors that are discussed in the following section have led the opera through two seasons of performances before it landed on storage shelves at the Royal College of Music, alongside Gatty's *MACBETH* – literally, in the case of Gatty's piano reduction – unfortunately where it remains.



Figure 111: Photograph of Collingwood's piano reduction volumes at the RCM

Influences through other factors

Apart from the obvious differences related to musical style, which are not being detailed in this chapter, there are many other factors that could have influenced decisions that led to the performance or non-performance of the two operas. The following subsections will consider these factors. The first will look at the way in which the librettists/composers mediated the source text and show the complete difference in their approaches in this regard. The impact that other priorities in the composers' lives had upon their purpose of having their operas performed will follow. A discussion about financial issues within the possibilities for operatic production of the works will ensue, including the historical timing of the Great Depression. The penultimate subsection focusses on the social groups that the two composers were involved in, including their associations with Oxford and Cambridge universities. Finally, the personality traits of the composers and the perceptions amongst financiers and production companies will complete the chapter.

The use of text within the libretti

One of the key issues that without doubt would have been a consideration regarding the two operas' acceptance in such a conservative academic and social environment is that of textual fidelity. As can be seen in the following tables (Tables 48 to 53), Collingwood maintained the original text and avoided new material, whereas Gatty did not maintain the text and considerable quantities of new material were created, including an entire section for Fleance.²⁷⁸ As can be seen in Table 48, Collingwood set a considerably higher percentage of text, which may have resulted in the duration of the opera being recorded as close to four hours ([30] Unknown). Of all of the English language operatic adaptations analysed²⁷⁹, Collingwood set the most to music.

Percentages	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)	54.4	64.1	35.5	16.2	43.5	41.64
L. Collingwood (1925)	41.7	71.8	76.8	64.9	55.6	61.53

Table 48: The percentages used from each Act of *Macbeth*, including total percentage

Gatty's opera also contains an excessively high number of additions (Table 49) and repositions both within scenes (Table 50) and to other scenes (Table 51), each category of which it is expected that, if the sample size analysed were bigger, the counts would show his opera to be an outlier. Despite most twentieth-century composers of English operas displaying "a reluctance to depart from Shakespeare's language", Gatty is described as one of those who "make things worse by filling gaps or replacing prose

²⁷⁸ Some of the text for this additional section is discussed in *Part III – Chapter 3*, under "Sub-category 2".

²⁷⁹ As well as Koppel's Danish opera, which was based on a literal translation.

passages with deplorable gobbets of rhymed pseudo-Elizabethan doggerel” (Dean "Opera" 103). Dean also discusses the libretto to Gatty’s *THE TEMPEST*, which was premiered in 1921:

Gatty’s libretto... dilutes the language..., but the music is at least competent. Its idiom falls between two stools, lacking the melodic invention needed for a number opera and the symphonic development for a music-drama, though many motives are worked into a texture. [...] The word-setting, however, is sensitive, especially in the great poetic speeches. ("Opera" 113)

This description is remarkably accurate for that of Gatty’s *MACBETH*, which is similar both textually and musically. As the counts for Collingwood’s opera show, the textual structure was not completely that of Shakespeare, as he did reposition some text. However, the addition of text was minor, whereas Gatty added entirely new (partial) scenes.

Additions	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)	13	26	24	4	6	73
L. Collingwood (1925)	0	1	0	0	0	1

Table 49: The number of additions to each Act of *Macbeth*, including total number

Repositions (within)	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)	11	18	17	3	11	60
L. Collingwood (1925)	0	3	0	0	1	4

Table 50: The number of repositions within each scene (by Act) of *Macbeth*, including total number

Repositions (to other)	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)*	3	3	5	0	0	11
L. Collingwood (1925)	0	0	0	0	0	0

Table 51: The number of repositions to other scenes by Act of *Macbeth*, including total number

As with the other aspects of textual usage, the Gattys once again repeated text more often (Table 52) and amended the text (Table 53) considerably more than in Collingwood’s and more than any other opera, demonstrating a low level of *textual* and *medial fidelity* as proposed in this research.

Repeats	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)	5	14	6	7	11	43
L. Collingwood (1925)	0	3	0	0	1	4

Table 52: The number of repeats for each Act of *Macbeth*, including total number

Amendments	Act 1	Act 2	Act 3 (First Folio)	Act 4 (First Folio)	Act 5	Total (First Folio)
N. Gatty (1924)	5	4	1	1	1	12
L. Collingwood (1925)	0	0	0	0	0	0

Table 53: The number of amendments for each Act of *Macbeth*, including total number

All of these findings demonstrate the difference between Collingwood's traditional libretto and the libretto created and used by the Gatty brothers, who added, repositioned, repeated, and amended text to a great extent throughout the opera. As discussed in *Part I – Chapter 3*, the textual use within these works should be considered with regard to the definitions: if the definition of *adaptation* includes creative components within the transfer to the libretto (primary target text-type), then Collingwood has demonstrated more of a *abridgement* of the text, with the adaptation elements involved in his operatic score (secondary target text-type) predominantly relying on the mediation created by musical elements such as tempo, rhythm, and pitch (Howard "Earth"). The Gattys, however, demonstrate creative components within both the primary and secondary target text-types as demonstrated by the extreme number of changes made to the text, which can be seen in the comparative totals in Table 54: perhaps one of the many reasons that could be attributed to the opera's failure to achieve a performance.

Comparative totals (First Folio)	Percentages	Additions	Repositions (within)	Repositions (to other)	Repeats	Amendments
N. Gatty (1924)	41.64	73	60	11	43	12
L. Collingwood (1925)	61.53	1	4	0	4	0

Table 54: The comparative totals for the *MACBETH* operas by Gatty and Collingwood

Priorities

Another aspect for consideration is that of prioritisation leading to distractions and delays. It is possible to see a link between the premieres of two of Gatty's operas, his work as assistant editor on the third edition of Grove's music dictionary, and the completion of his doctorate at Cambridge as being distractions that might have prevented or delayed his ability to gain support for his *MACBETH*, which was being composed during the same period. Although there are other aspects that contributed to the obscurity of his opera, as will be discussed, these personal events would have been detrimental to the task of having his *MACBETH* performed, particularly when combined with the other historical events of the period.

Among the many aspects that Figure 112 shows is a diagrammatic summary of the events that affected Collingwood's composition of *MACBETH* within Russia. His period of study in St. Petersburg was cut short because of the Russian Revolution, and when he was sent back as a translator for Winston Churchill's Expeditionary Force (Naxos), this further prevented the composition of the opera from maintaining any level of priority. His acceptance of a role as chorus master at the Old Vic could also be added to this list of distractions, as his focus on producing other operas would have taken precedence.

Differentiating medial patterns: *Macbeth*

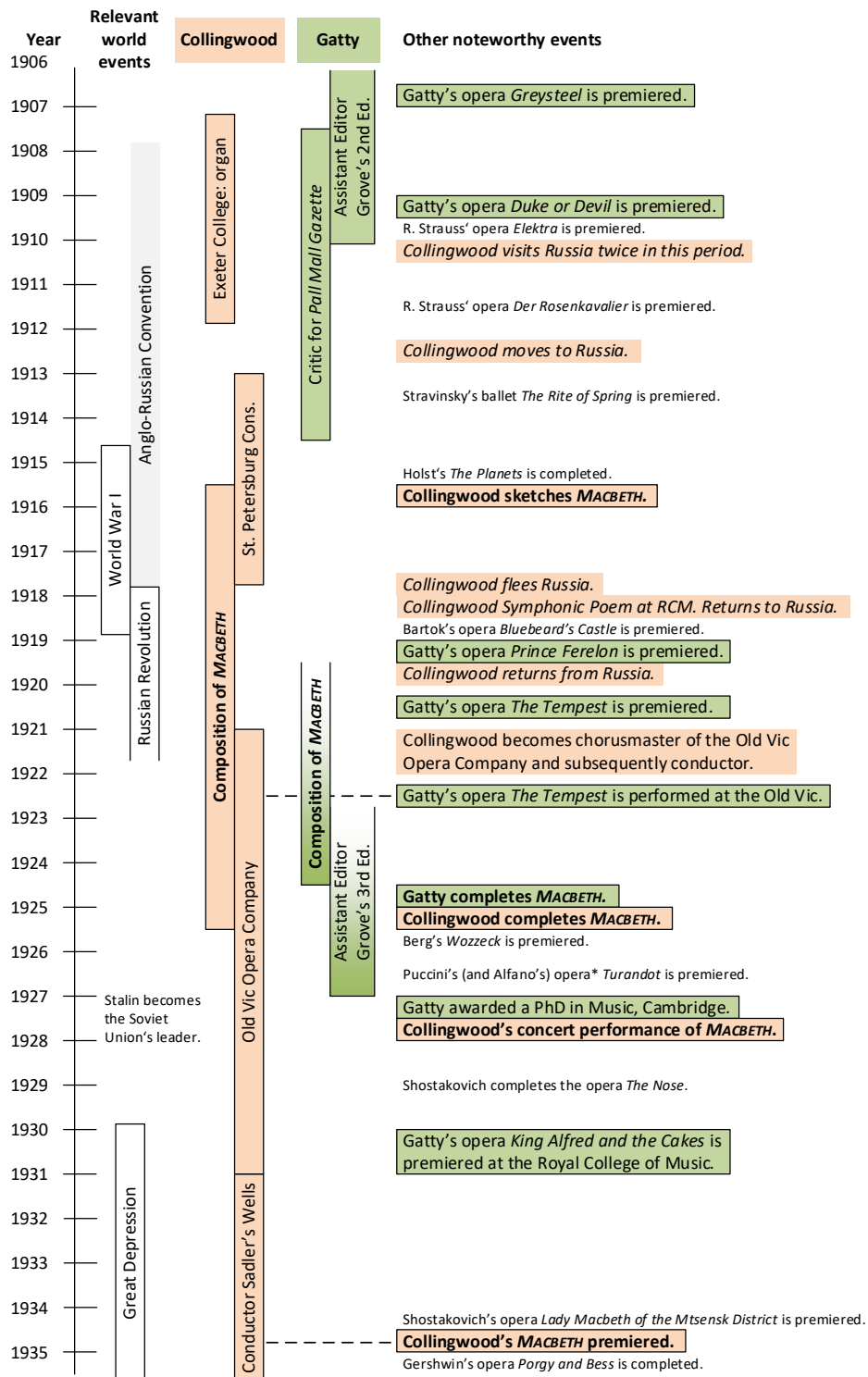


Figure 112: Timeline 1906 to 1935 – Gatty, Collingwood, relevant historical aspects

All of the respective events and periods shown in Figure 112 would have drawn from the amount of time and energy available to both composers. The necessities of survival, income, and education are all evidenced in these events, and each would have had at least some impact on the progression and timing of the operas' completion dates and also, in the case of Collingwood, the production dates.

Economic crises and the difficulties of financing opera

The cost of staging operas at the time was known to be considerable (e.g. [31] Unknown). Added to this problem for composers of new operas was the historical timing of the period. This timing includes two major economic factors: the recovery from the economic costs of World War I, and shortly after the operas being completed, the onset of the Great Depression, as can be seen above in Figure 112, which also displays the key events in both Collingwood's and Gatty's lives and careers and other key musical works. One example relates to the delay between composition and performance, and it is possible that at least part of this delay could be attributed to the impacts of the Great Depression. Sadler's Wells had already experienced internal disagreements about new operatic productions and when they programmed Collingwood's *MACBETH*, they were "careful to dilute them with popular favourites" (Carey 142), highlighting general financial concerns that were constant in the theatrical world even prior to the Great Depression. A concert performance of Collingwood's opera occurred in 1927 and was generally received well despite the lack of stage movement ([30] Unknown). However, it took seven years to produce the 21 performances²⁸⁰ of the Sadler's Wells production, even though some of the key performers were the same (Betts; [30] Unknown; [36] Unknown; [49] Unknown)²⁸¹, unlike during the 1970 'revival' performances ([3] Unknown; [34] Unknown)²⁸². The delay to *MACBETH*'s theatrical premiere appears to be unusual, but can be easily understood due to the additional cautiousness that the onset of such a massive financial crisis would have created.

Another influential factor on financial decision-making of staging an opera is a component of musical composition, that of instrumentation. Although Gatty set a relatively standard orchestra for his opera²⁸³ he demonstrated poor understanding of the economic constraints by adding an "on-stage"

²⁸⁰ A list of performance dates in the Sadler's Wells programme inside cover of Collingwood's piano reduction.

²⁸¹ Known performances of Collingwood's *MACBETH* include a **concert performance on November 10, 1927**, Small Hall Queen's Theatre: Joseph Farrington (Macbeth), Joan Cross (Lady Macbeth), Stuart Wilson (Banquo and Ross), Edward Leer (Macduff), Harold Cook and Sumner Austin (unknown minor parts). Lawrence Collingwood (piano); **Stage performances in April, 1934**, Sadler's Wells (noted in Collingwood's handwriting in the inside cover of the piano reduction as well as the programme taped inside the piano reduction): Sybil Crawley/ Joan Cross (Lady Macbeth), Joseph Farrington (Macbeth), Gerald Kassen (Duncan), Henry Wendon (Banquo), Dan Morgan Jones (Ross), Clive Carey (Malcolm), George Hancock (Donalbain, 1st Murderer), Powell Lloyd (Porter, 2nd Murderer, 1st Apparition), Arthur Cox (Macduff), Roderick Lloyd (Doctor), Betsy de la Porte (Waiting Gentlewoman), Ruth Naylor (1st Witch), Rose Morris (2nd Witch), Edith Coates (3rd Witch), Olive Dyer (2nd Apparition), Sybil Hambleton (3rd Apparition), Claerwyn Havard (messenger), Ailwyn Best (Lennox), John Morgan (attendant), Eric Sydney (servant), Edith Lee (Young Siward). Chorus (Servants, soldiers and Witches off-stage). Sumner Austin (producer [director]), Geoffrey Corbett (chorus master), Alan Melville (musical coach), O. P. Smyth (costumes and scenery), Vernon Corri (orchestral rehearsals).

²⁸² **Stage performances in May, 1970**, Hammersmith Municipal Opera, Fulham Municipal Orchestra: Kenneth Reynolds (Macbeth), Doreen Doyle (Lady Macbeth), David Kane (Macduff), David Winnard (Malcolm), Keith Arnold (Banquo). Joseph Vandernoot (conductor), Tom Hawkes (director).

²⁸³ The full score shows an orchestra of 2 flutes, 2 oboes, 2 clarinets, 2 bassoons, 4 horns, 2 trumpets, 3 trombones, tuba, timpanist, percussionist, harp, and strings.

orchestral group that consisted of eight additional players,²⁸⁴ thereby adding not only the logistical complications of a second harp being necessary, but also increasing the operating costs for productions.

Collingwood's opera, on the other hand, consisted of the standard instrumental forces, thereby creating a financial difference for operatic production. However, although Collingwood's instrumentation in *MACBETH* was frugal, the opera was known to be "on the long side", despite the abridgement of the texts down to three Acts ([49] Unknown). As was discussed in *Part IV – Chapter 1*, Herman D. Koppel was convinced to reduce the length of his opera by removing sections that were not necessary to narrative development. Parr mentions that Collingwood starts his opera unusually with the reading of Lady Macbeth's letter, mentioning that "[a]n overture is forgone in favour of opening immediately with Lady Macbeth's monologue" (45). This is not strictly the case in terms of Collingwood's intention, as the piano reduction contains a lengthy overture which Collingwood simply titled "Introduction" ("Macbeth" 4). It is an opening that announces the opera in typical style, four notes in unison octaves across three bars at fortissimo²⁸⁵ and "Maestoso",²⁸⁶ before launching into a faster section of the overture. The reading of the letter does not actually begin until page 15 of the reduction. However, the Introduction is not this long, as some pages of sketches have been crossed out, suggesting that this version was used in the concert version in 1927 and cuts subsequently made following the reception of this initial version. Next to the programme from Sadler's Wells which is pasted into Act I of the reduction, Collingwood has penned in "No Overture" (Figure 113).

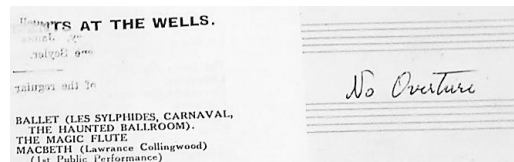


Figure 113: Collingwood's note "No Overture"

While it is obvious that this choice saved performance time – one of the criticisms mentioned in the review at the time quoted above – exactly when the decision to cut the overture was made is not known: it must have been made, however, during the *(re-)daptation/(re-)composition* phase and probably while orchestrating the opera, presumably completed in 1934, if Parr's completion date for the full score is correct. It may also be possible that this overlapped with early rehearsals during the *production* phase at Sadler's Wells.

²⁸⁴ The full score shows a further on-stage group of 4 trumpets, clarinet, harp, viola, side-drum.

²⁸⁵ Very loud, shown as "ff" in the notated score.

²⁸⁶ "Majestic".

Potential collaborative, social and personality-based influences

These two operas were written at the same time, completed in the same place, and were based on the same source text. Yet something led to one being performed in 1927, 1934 and 1970, whereas the other was never performed. This is unusual for one main reason: the composer whose opera was premiered had never written an opera before, whereas the composer whose opera remains unperformed had already had numerous successfully received operas (Scowcroft; [28] Unknown; [35] Unknown). This hints at various collaborative, social, and political factors that must have come into play, as well as the personas of the two men potentially affecting how their abilities were perceived. This section explores the contexts and pieces of evidence that have been found and discusses the possibilities that could have led to the different destinies for the two operas.

Influences of collaboration: acquaintance, collaboration, or competition?

Both composers were associated with the Royal College of Music at various stages of this period. Gatty was a student in the early 1900s (Colles "Gatty, Nicholas (Comyn)") and then a teacher in 1923 (Spicer 129-130) and Collingwood had his *Poème Symphonique*²⁸⁷ "produced by the Patrons Fund of the R.C.M. in London in 1920" (Colles "Collingwood, Lawrance"). Unfortunately, no sources have been found that confirm the extent to which Gatty and Collingwood knew each other at the Royal College of Music. However, a single word in Collingwood's handwriting provides a clue that he was at least aware of Gatty's opera, either having seen Gatty's score or having heard part of it. In Gatty's setting of 2.3.5, he uses "Come in farmer" instead of "Come in time."²⁸⁸ The piano reduction created by Collingwood has "Come in time" as its composed text, but underneath the word "time", he added the word "farmer" without altering the music rhythmically to count for the additional syllable (Collingwood "Macbeth" 134, second system, bar 131), as can be seen in Figure 114. This suggests that Collingwood was most likely acquainted with Gatty's work.

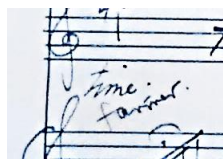


Figure 114: Photograph of Collingwood's piano reduction with the added "farmer"

It is also difficult to believe that Gatty would not have been aware of Collingwood's opera while its composition was still in progress, as "[p]ortions of the opera were performed in Petrograd publicly as long ago as 1917 and some of the Macbeth monologues have since been heard in London" (Glover 298). Although this report of Collingwood's opera was published in 1926, where Glover states that the opera was still in progress (298), Collingwood's score shows completion as:

²⁸⁷ A recent recording was conducted by Barry Wordsworth.

²⁸⁸ This version occurs in another of the adaptations analysed, but is not a common version of the play.

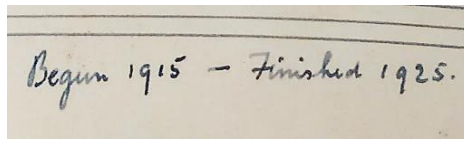


Figure 115: Photograph of Collingwood's handwritten dates at the completion of the piano reduction

This either suggests that – most probably – the time between Glover writing the article and it being published was incredibly long or Collingwood composed with the piano reduction and then orchestrated from the manuscript, which can only be confirmed by comparison with the manuscripts held in the RCM and the British Collection. As Parr notes, “[i]t may be that the two manuscripts differ from each other in some, perhaps significant ways” (Parr 32)²⁸⁹.

It is also extremely likely that Gatty and Collingwood were (further) acquainted at the Old Vic, as Gatty's operas were performed there during the period that Collingwood was chorus master and later conductor (Gilbert Ch. 2; Schafer 119). However, the popular English operas from the Old Vic “did not, however, transfer to the company's new home, Sadler's Wells, in 1931” (Gilbert Ch. 2). Whether Collingwood was part of the decision-making process that saw this change is not known, nor is the level of respect between the two composers.

It can therefore only be speculated as to whether there was any level of acquaintance through the RCM, or even the Old Vic. There is no supporting evidence to suggest that there was collaboration or competition between the two men. However, the simple marking of one word on Collingwood's score shows that there was a connection of some sort. It is possible that Gatty varied course dramatically from the source text because Collingwood's had been too 'faithful' and he had heard the performances – or potentially even rehearsals. Decisions may have been made to change aspects because he knew Collingwood's was being received well at the time, although the timings suggest this would be unlikely. None of these possibilities will probably ever be able to be answered definitively. However, the speculative reasons and effects that they raise are something that should be considered within the development of adaptation theories.

²⁸⁹ As with Parr's research, access to both sets of manuscripts was not possible.

Social and personality trait-based influences

The two composers concerned had two different social circles, both of which enjoyed prominence in musical and theatrical realms. As mentioned above, Gatty was heavily connected to Ralph Vaughan Williams and the musical community in the Sheffield area, in part because of the standing that his family had attained. Not long after Collingwood had returned permanently from Russia, he became closely associated with Lilian Baylis, manager of Old Vic and eventually Sadler's Wells when it opened. After being the chorus master at the Old Vic, Collingwood went on to be one of the conductors at Sadler's Wells, which would be the way that he managed to achieve the premiere season of his opera. Both cases demonstrate the importance of networking once again, as Gatty managed to achieve multiple premieres in Sheffield for other works and Collingwood that of the Sadler's Wells season. As was displayed by the family links in the production of Herman D. Koppel's opera in *Part IV – Chapter 1*, such networks are critical in permitting new operas to be produced. In these cases, the outcomes differed, as did the level of 'success'. However, the influence of social circles and community support cannot be denied in these cases.

Also worth mention is a possible influence of social status: the perceived high culture of Londoners and the provincial status of supposed countrysiders. This possible influence is apparent even in the wording of reviews from the time, which tend to discuss the two composers in a different light. The Sheffield Daily Telegraph explains that "the greetings showered upon" Gatty "owed part of their heartiness to the composer's associations with the Sheffield district. As is known well, he is the grandson of the Rev. Dr. Gatty, the Vicar for many years of Ecclesfield, and god-son and nephew of Mrs. Ewing, the gifted writer on child life" ([27] Unknown). This sentiment was continued for the premiere of *Prince Fereion* in Sheffield: "owing to his family connections with our city, we feel entitled to take a personal interest" ([35] Unknown). In the London-based Daily Independent, they mention Gatty as being "of Hooton Roberts near Rotherham" and even have the headline "Rotherham Composer" ([33] Unknown), highlighting that he is not a Londoner. Furthermore, they state that his work "had its first provincial production at the Lyceum Theatre, in Sheffield" ([33] Unknown). A neutral view yet also from a 'provincial' newspaper is that of the Yorkshire Post, in which Gatty is described as "a young composer of exceptional promise" while discussing his opera *Greysteel* being premiered in the Sheffield Festival, and also praising the Festival for its work with new English operas, for which "British composers have not hitherto been conspicuously successful in serious opera" ([28] Unknown). The only London-based newspaper that appears to talk neutrally of Gatty mentions that "London has hardly done him justice", despite mentioning Sheffield and Manchester in the same column ([31] Unknown). Collingwood seems only to have attention drawn to his Russian connections in the articles.

While no direct evidence was able to be ascertained during this research, and while it is not the intention to delve into this possibility any deeper, there also appears to be a link between the two composers' university lives: Cambridge (Gatty) and Oxford (Collingwood). It can naturally only be speculated whether this assisted the two men. However, the fact that Collingwood had lengthy, incredibly positive articles written about him published in Oxford-based journals would suggest that the influence of additional socio-academic links also played to his advantage. Considering the small amount of music which Collingwood had composed in comparison to Gatty, who had already had numerous well-received performances, it seems somewhat unusual that *The Musical Quarterly*, which is now published by Oxford University Press, would publish such a large article espousing Collingwood's merits let alone provide an analysis of an opera that was not even finalised at the stage that the writer had been involved.

Among the composers of the youngest or third generations of this musical Renaissance, Lawrance Collingwood must be accounted one of the most interesting and promising. He has been spared the precocious maturity of some of his contemporaries which has already resulted in a disappointing sterility. His genius has progressed slowly and normally and the various stages of its advance are clearly marked, each work profiting by the experience of its predecessor.... [...] ...he is able to give full rein to his creative imagination. (Glover 292)

Glover provides further pieces of evidence related to Collingwood's Oxford associations and the importance that these may have played in his career:

The concerts which Collingwood organized at the University Musical Union after his visit to Russia, introduced a new current into the tranquil waters at Oxford music. [...] He succeeded in communicating his special enthusiasm to a small circle of fellow undergraduates, aided by the catholicity of his own taste, which at once put him in sympathy with those who were musically less mature. Being an admirable pianist and a splendid sight-reader, Collingwood played a large part in those chamber-music parties... [...] So far as creative work is concerned the Oxford period was one of preparation and the cultivation of a real musical discrimination. (Glover 293)

How important the Oxford connections were is difficult to pinpoint, partly because Collingwood left to study in Russia soon afterwards. Nevertheless, the potential for these additional social connections – or even the perceived associations that the name “Oxford” held – should not be overlooked. As was mentioned earlier, the possibility that the reality of Collingwood's background did not match what was written about him, particularly given the intent to promote his abilities, should also not be overlooked.

In reporting on Gatty's *Fly, Envious Time* in 1905, the Sheffield Daily Telegraph mention the choir “whom he has won by his unaffected, courteous bearing” ([48] Unknown). In a different column, Gatty was also interviewed and was described as “[c]lean-featured, lithe, and lightly built, Mr. Gatty looked almost boyish as he received the greetings showered on him during the interval.” After announcing Gatty's doctoral achievement in the Era, the writer states that “[o]peras are, of course, expensive to stage, but there is no reason (except in the composer's own modesty and retiring disposition) why his lesser works, vocal and instrumental, should not obtain the hearing that is their due” ([31] Unknown).

These personality traits attributed to Gatty suggest that he was humble in his approach to his ability: quite the opposite to the depictions of Collingwood, who is portrayed as a man that was outwardly confident and believed in his abilities.

Certainly with regard to securing finance for a production of an opera, it could be speculated that the financiers would be more likely to place their confidence in a composer that exudes success than one that permits others to make assessments of them. This may have had different effects between the city and country areas. Gatty had achieved many provincial performances because of his Sheffield connections, but had failed to achieve as many in London. Collingwood achieved performances in London but not in the smaller cities. It is therefore possible that, for various reasons, the difference between introversion and extroversion, or at least the perception of the composers' personas, is one of the factors that affected the composers in their bids to have their operas performed. Combined with all of the other factors mentioned in this section, personality and the social circles in which the composers were involved could have altered the chances of the operas being performed – in Gatty's case negatively, and in Collingwood's positively.

Implications of Gatty's and Collingwood's operas on adaptation theories

In terms of Hutcheon's construct *adaptation as process*, there is nothing of considerable substance that can be added to the theoretical model by these two operas because of the lack of knowledge about the processes followed in creating the target text-types in the *adaptation/composition* phase as proposed in the *Introduction*. However, conceptual developments can be made through speculation about the mediation processes of the *production* phase because of the basic information recorded and the reviews from the time. In addition to the collaborations that occurred during the *production* phase, the simultaneous creation of two operas based on the same source text, where the composers were most likely aware of the other's creation as it occurred, provides additional aspects that theoretically affect the collaborative processes because of competition, even if the competition involves a desire to be different from the competitor.

The ways in which both librettists transferred the source text into the primary target text-type as well as the way in which the text was mediated into the secondary target text-type (notated score) were seen to be vastly different. Collingwood was criticised for maintaining the text too closely and also praised for his treatment of it, and Gatty would have been criticised for the massive changes which were made to the text, had his opera been premiered.

In addition to the normal effects of historical events, including the consequences of priorities involved with survival in general, both operas were also shown to be affected by the perceptions about the

composers themselves: associations of Gatty's provincial roots and Collingwood's relationship to Russia were both prominent in articles and reviews. With such large amounts of financial and professional support necessary for a new opera to be produced plus the requirement for a potential audience to connect to the background of a composer, certainly in the period around the 1920s, the social networks in which they engage, and thereby their social status, appear to have been factors involved in the different outcomes. These issues, combined with the perceptions made about the composers related to their personality traits, highlight the need for *adaptation as process*, especially for the *production* phase, to be developed alongside other fields of academic research, particularly Sociology and Psychology.

Gatty and Collingwood both managed to complete their adaptations of *Macbeth* in a period of history where destruction was a dominant force in both Europe and Russia. That they were also able to compose them in a musical environment that valued foreign operas more than nationally-based ones is noteworthy, particularly without any set patronage to ensure a performance, such as occurred with the operas of Chelard and Taubert presented in the previous chapter. As discussed, it is not surprising that one was never performed and the other was delayed following the onset of the Great Depression. However, it is surprising that the composer that had already had operas received favourably was not the composer of the *MACBETH* opera that was premiered. All of the factors that were discussed throughout this chapter provide possibilities as to why this occurred, but after almost a century of time since they were completed, it is unlikely that a definitive reasoning will ever be formed as to exactly how this occurred.

CONCLUSION

This dissertation examines whether the medial patterns of operatic adaptations could enhance the understanding and usage of adaptations within English Studies, particularly through a focus on adaptation as a process and concepts involving the reception of adaptations. The differences between research into screen adaptations and operatic adaptations are discussed in terms of similar processes that are spoken of in different ways. Screen-based research focusses on the relationships between the source text and a single directed production, whereas the focus of operatic adaptations is normally on the text-types (the libretto with notated score) which are intended to be directed in as many productions as possible. A discussion of relevant terminology highlights that terms are often used as synonyms for the different processes. This reveals yet another potential reason why Adaptation Studies and Intermedial Studies have not yet been able to fully differentiate intermedial adaptations.

In order to investigate whether the hypothesis that the structural conventions of media are indeed able to be differentiated, quantitative research was undertaken that compared 75 adaptations of *Macbeth* in an intermedial context. Various *MACBETH* operas were subsequently investigated within an intramedial context, including six additional operas that did not conform to the requirements for the intermedial analysis because they are not based on the original Shakespearean text or a literal translation thereof.

One proposal is that analyses of adaptations should be based on a four-phase model of product creation that included *conception*, *adaptation/composition*, *production*, and *reception*, with the middle two phases forming the combined process of *mediation*²⁹⁰. In doing so, researchers could focus on the adaptation/composition phase for *printed* adaptations or the relevant phase (or phases) within the overall product creation process for *directed* adaptations. The directed adaptations are achieved through both mediation phases, whereas the printed text-types have not undergone the secondary mediation phase of production. The example of the separation between film and opera is shown to have a key contractual difference: films usually involve a screenplay and only one production, whereas operas involve a notated score with as many different productions as possible. This example also provides justification for the judging of adaptation to be made based on text-types and that of mediation to be made based on directed productions.

²⁹⁰ See Figure 1 in the *Introduction*.

The intermedial analysis involves Information Visualisation as a method of quantitative data collation by using a *visual comparative representation* (vcr) of the adaptations displaying the textual usage within and against each adaptation. The visual comparative representation is divided into the two groups of adaptation mentioned above, with the upper half involving the directed adaptations, such as films, and the lower half the printed adaptations, such as notated opera scores. This visual division highlights the difference in processes that the groups of adaptations involve: directed adaptations are analysed after a production involving performance has occurred, whereas printed adaptations are assessed predominantly from the text-types that have undergone only the adaptation/composition phase. This suggests that existing research into intermedial relationships such as those in novel-to-film adaptations actually involves two separable mediation processes. This therefore demonstrates that much of the existing research targets the reception of the aesthetics applied during the production phase of mediation and not necessarily the processes observable during the adaptation/composition phase. This thereby supports the two main proposals that are made in this dissertation, the first of which is the four-phase model.

The other proposal that it supports is that the long-held debate about fidelity to a source text has been misconstrued by this difference in mediation processes. The proposal suggests that if fidelity is to be a consideration in any future research, then different forms of fidelity should be examined, three of which were examined during this dissertation. These could include, firstly, *textual fidelity*, proposed here to involve the closeness to the macro and microstructures of the source text within the target text-type. This type of fidelity is able to be analysed using quantitative methods. The second form, *medial fidelity*, is closely related to the first, but is one in which the structural conventions of the text-type and/or medial form are assessed quantitatively through comparison to other adaptations from the same medial category. This confirms whether an adaptation corresponds to the structural conventions demonstrated by that category of media. The other form, *aesthetic fidelity*, is where the visual and/or auditory aesthetics are evaluated qualitatively with regard to (subjective) reception.

The findings from the intermedial analysis in *Part II* partially confirm the generally-held belief that operatic adaptations condense text in comparison to other categories of media. However, this confirmation is clarified by a need to discuss textual abridgement in combination with the duration of performance, as some operas contain a far greater percentage of text than, for example, many of the film adaptations of *Macbeth*. This nevertheless needs to be balanced by consideration of the operas' much longer performance times. The findings also show that operatic adaptations tend to repeat segments of text considerably more than those of other media. Furthermore, directed medial categories such as live stage plays, filmed (former) stage plays, television and film adaptations are separated by median percentage differences in that order respectively.

Television demonstrates a more traditional usage of the text but with a lower percentage than stage plays. Film, however, displays a considerably lower percentage and alters the textual forms, particularly through the repositioning of text within scenes and across scenes. The highest level of textual fidelity is observable in the traditional media: audiobooks, live stage plays, filmed (former) stage plays, and radio plays, all of which maintain a higher median percentage of text and lower numbers of alterations than the other medial forms, with the exclusion of unabridged graphic novels. Many aspects of medial fidelity are observable. This includes the prominence of repositions within the film adaptations of *Macbeth*, a far greater extent than in the other screen-based media. This is visually obvious from the large amounts of yellow colouration found in the visual comparative representation.

The intermedial findings also contain observations related to various aspects of narrative elements of *Macbeth*, such as adaptations omitting certain sections of the text. As was discussed, *Macbeth* contains additional sections of text related to the additional character of Hecate that are not believed to have been in the First Folio. These sections are used within adaptations significantly less than the other witchcraft scenes. Among the omissions in adaptations of *Macbeth* are those made to scene 4.3, which is by far the longest in *Macbeth* in terms of number of lines and duration. This scene is one where the abridgement is considerably more noticeable across the medial categories, with vast sections being omitted by many adaptations.

The discussions and intramedial findings in *Part III* also include a similar finding with regard to the 'traditional' treatment of the text. Three sub-categories of libretti are identified in the operas analysed. As opposed to the textual treatment in other media, however, the traditional treatment in operatic adaptations is split to two types of traditional, each related to the traditions of structural conventions. The first sub-category demonstrates an adherence to the *theatrical tradition*: theatrical structures of the source text placed in music dramas, which rarely deviate from the macro or microstructures. The tendency to abridge the text is also mostly done through the omission of entire scenes. As is mentioned above with relation to the intermedial relationship of abridgement, however, the amount of abridgement also requires a correlation to the duration of the performance. The other tradition that is followed is that of *operatic tradition*. This is the third sub-category of libretti, and includes mediation of the source text into the structures of operas at the time, such as the aria, the chorus, and different types of recitative. This division between theatrical and operatic structural conventions effectively happened following the establishment of Wagnerian music drama, with the last full 'operatic' libretto of *Macbeth* performed in 1877. In between these two traditions is that of the second sub-category, which involves libretti that use the theatrical text but alter it through repetition, repositions, and additions as desired. As with new media's tendency to alter the text, this is effectively a similar pattern of textual fidelity to the modern directed adaptations as identified in the intermedial analysis. This

second sub-category also includes operas that add entire sections of scenes, such as Gatty's dialogue between a Shepherd and Fleance that follows Banquo's murder.

The intramedial analysis also relates to issues of translation and the effects that are involved between the differing types of translation applied to libretti. The literal translation that was used in the formation of Koppel's Danish opera allowed a music drama to be composed. However, the source text is only usually recognisable as literal or direct translations in some sections of recitative in the libretti for the operas by, for example, Chelard, Taubert, and Verdi. The arias and choruses use text that is completely reformed from theatrical structures to the operatic structural conventions.

The individual case studies that comprise *Part IV* portray a comprehensive array of issues that could be applied to theoretical concepts, with each opera presenting different examples and different issues. The creation of Koppel's opera, detailed in *Part IV – Chapters 1 to 3*, provides evidence that the four-phase concept proposed in this dissertation is able to separate the issues encapsulated by medial fidelity from those of aesthetic fidelity. Koppel's avant-garde creation, which was formed during the adaptation/composition phase, was poorly staged by a director who was unable to imagine anything other than a traditional theatrical visual aesthetic on stage. This failure to link the symbiotic aspects of music and staging is brought into the spotlight even more by the successful pairing of the two operatic components during the television production of Bibalo's opera, in *Part IV – Chapter 4*. The matching of avant-garde composition with avant-garde staging highlights the types of fidelity even more, by ensuring that the difference in staging between Koppel's 1968 opera and Bibalo's 1989 opera present two extremes. These two individual case studies demonstrate the importance of collaborative work during the combined phases in mediation, because acceptance by an audience during reception relies on a significant number of conventions and expectations. This is also evidenced in the English libretto from Rossi's opera, (re)named *BIORN* by the librettist, Frank Marshall. This particular libretto, which is in *Part IV – Chapter 5*, was heavily criticised and indeed ridiculed for its divergence from Shakespeare's original text in favour of an intralingual translation into operatic structures within a Norwegian setting. The adaptation/composition phase involves a mixture of different creative processes that are uncommon within operatic composition, for it appears that Rossi composed the opera in Italian and Marshall superimposed his ideas afterwards.

Each of the three operas that are analysed in *Part IV* show the level of intricacy that is required of operatic adaptations and subsequent productions if the operas are to be accepted by audiences, let alone if they are to remain in operatic repertoire. This intricacy involves a delicate balance between the expectations of audiences that have foreknowledge of the source text, the medium of opera, including the structural differences between the traditional number operas and those of through-composed music dramas, the language(s), intermedial relationships, and even cultural and historical

knowledge. It is therefore proposed that Hutcheon's concept of *knowing audiences* is extended to incorporate *(un)knowing adapters, performers, directors, and critics*. This should allow consideration of the various aspects of the adaptation/composition phase and the production phase, as well as the overlap into the reception phase that already dominates Adaptation Studies. In addition to foreknowledge of the source text, various other components of knowing are considered as necessary in the extension of her concept, such as foreknowledge of medial conventions and language(s).

Another concept within Hutcheon's theory is shown to be problematic. Although her *modes of engagement* is a concept intended to highlight the cognitive differences involved with receiving each category of media, various problems are detailed in this dissertation. For example, a presentation of the terminological difficulties that the concept has in practice as well as examples of medial categories that are not covered by the concept is given. Hutcheon's concept labels the reception of medial forms based on three stand-alone modes: *telling, showing* and *interaction*. As contained in *Part I – Chapter 2*, there are numerous terminological problems with these labels. Her choice of terms and descriptions for the first two modes creates potential clashes with the meanings in Narratology (*telling, showing*) and Psychology (*imagination, perception*), for example. Combined with this is the failure to incorporate media that engage with only visual or auditory aesthetics. The concept intends to target media such as novels and film, but its simplicity does not apply to all media, weakening its theoretical value.

All of these issues have complicated the development of Adaptation Studies and Intermedial Studies to date and could explain why no single theory of adaptation has yet been able to encompass all intermedial relations. Although the quantitative research in this dissertation requires confirmation through additional source texts and their linked adaptations, the findings and observations suggest a development that could combine with the extensive amount of research into adaptation that has been created over recent decades. The combining of existing theories such as those by Hutcheon in Adaptation Studies and Elleström in Intermedial Studies as well as aspects related to the four-phase product creation process could bring a fully incorporated theory of adaptation nearer to reality. This will only be possible through a deeper and more detailed understanding of the total process from source text to target text-type and its subsequent target medium. Additionally, the collation of a comprehensive set of quantitative data involving numerous source texts and their related adaptations will assist in defining such a theory.

Improving the understanding of what the entire product creation process involves and what the differences between primary and secondary mediation are will have benefits to the study of English. With the increasing role that the teaching of a source text with an adaptation is undergoing in English Studies, the ability to explain the differences in interpretation between the source text and the target text-type and/or medium is becoming more necessary. Assessing these differences through the study

of different text-types and media as well as the aspects of textual fidelity, medial fidelity, and aesthetic fidelity should make for clearer explanations of interpretation between the two phases of mediation.

Connecting quantitative methods of analysis with qualitative analyses related to expectations and preconceptions of a source text should minimise the level of subjectivity involved in both Adaptation Studies and Intermedial Studies. While the effect that the fidelity debate has had on Adaptation Studies has waned, this could be because it has been falsely aligned to processes of the production phase instead of the adaptation/composition phase. Similarly, it has not encapsulated the different types of fidelity that appear to exist, thereby potentially weakening research findings. By focussing on text-types such as screenplays instead of their film medium, or at least combining the two forms of mediation during analyses, students may come to understand how adapters mediate the text textually separately from how directors mediate the screenplay using visual and/or auditory aesthetics. This of course requires the teaching of literary text-types beyond novels and poems within English Studies. However, this presents possibilities for the comparison of textual forms in the source text with textual forms in the target text-type, as opposed to comparisons with visual and auditory media. Such possibilities should be achievable through a deeper understanding of the various structural conventions of text-types such as screenplays and libretti. This includes knowledge of the structural aspects, their elements, and the constraints and freedoms of each text-type as documented within the tables in *Part II – Chapter 1*, as well as the types of alterations that were observed in existing adaptations across each medial form in the intermedial analysis.

It would be almost impossible to change the way which adaptation is referred to in the practice of adaptation by removing of synonymic terminology. However, defining terminology more clearly in combination with teaching the differing processes in mediation could also assist to minimising the likelihood of unknowing collaborators in future adaptations. This would only be possible through the education of adapters, performers, directors, and critics – and future researchers and educators – in the differences required of the text-type, the medium, and the mediation processes. Highlighting the difference between textual fidelity, medial fidelity, and aesthetic fidelity would bring an awareness that could assist in the understanding of the interpretational differences between a source text and a source medium. This awareness would also include knowledge of the processes in between.

The research contained within this dissertation demonstrates that the current focus on receptive processes in adaptation research needs to be balanced with a focus on the adaptation/composition phase. Furthermore, it proposes that there are indeed ways in which structural conventions can be isolated in ways that support the categorisation of text-types and media, including the mixtures of elements that co-exist with other medial forms. The separation of structural interpretations in the process of adaptation and aesthetic interpretations in production is possible through the analysis of

medial patterns, including the percentage of text used and the number of alterations undertaken. Although further research is needed to confirm the findings of the analyses contained in *Parts II* and *III*, the evidence collated from a comprehensive number of adaptations over various medial categories indicates that medial fidelity and aesthetic fidelity can be separated and therefore applied separately. The medial patterns described throughout this dissertation illustrate the potential to differentiate medial categories, in both intermedial and intramedial relationships. Various findings demonstrate the differences and links between traditional and modern media, providing evidence that supports the overlapping of the media borders discussed by Elleström. The operatic adaptations of *Macbeth* are characterised by a lower percentage of text in combination with a proportionally longer performance time when compared to other medial forms. Additionally, three sub-categories of textual usage within the libretti were identified, with more expected to be added with a broader scope of research.

The theoretical shift from a focus on production and reception to a focus that comprises all four phases of product creation will broaden the methodologies that can be used. In doing so, the terminological ambiguities documented in *Part I – Chapter 3* could also – ideally, and idealistically – be minimised. This may assist in realigning discourse within Adaptation Studies and Intermedial Studies research and refocus the terminology of all of the fields, including those of Translation Studies and Opera Studies. Such a shift could benefit the study of language generally, and more specifically the study of canonical texts in parallel with relevant adaptations within English Studies, whether that involve Cultural Studies, Literature, or Media Studies.

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Deutsche Zusammenfassung (German summary)

The following summary of the dissertation is provided in German due to specific university by-laws that govern the doctoral process at the University of Kiel. No information is contained within the summary that is not already provided within the English dissertation. All discussions refer to the information within the main document of this dissertation and the digitalised appendices. Figure numbers used in the summary are those originally provided in the main document. Any references and citations given during the summary refer to works contained in the bibliography from the main document. However, the main sources referred to during the summary involve Hutcheon's *A Theory of Adaptation* (2006) and various sources shown in the bibliography by Lars Elleström between 2010 to 2021.

Deutsche Zusammenfassung

“Differentiating the medial pattern of operatic adaptations: *Macbeth*”

(„Die Differenzierung der mediale Muster von Opern-Adaptionen: *Macbeth*“)

Diese Dissertation untersucht, wie die medialen Muster von Opern-Adaptionen das Verständnis und die Verwendung von Adaptionen innerhalb der Anglistik verbessern können, insbesondere durch einen Fokus auf *adaptation as process* und Konzepte, die die Rezeption von Adaptionen betreffen. Die Unterschiede zwischen der Forschung zu audiovisuellen Adaptionen und Opern-Adaptionen wurden im Hinblick auf ähnliche Prozesse diskutiert. Es gibt jedoch einen wesentlichen Unterschied, der sich auf die Terminologie ausgewirkt hat: Die audiovisuelle Forschung konzentriert sich normalerweise auf die Beziehungen zwischen dem Ausgangstext und einer einzelnen inszenierten Produktion, wohingegen Opern-Adaptionen in Bezug auf das Libretto und die Partitur betrachtet werden, die in möglichst vielen Produktionen inszeniert werden. In einer Diskussion der relevanten Terminologie wurde hervorgehoben, dass Begriffe häufig als Synonyme für die verschiedenen Prozesse verwendet werden. Dies zeigt einen weiteren möglichen Grund, warum Adaptation Studies und Intermedial Studies nicht in der Lage waren, intermediale Adaptionen vollständig zu unterscheiden.

Um zu untersuchen, ob eine Hypothese die Annahme unterstützt, dass die strukturellen Konventionen verschiedener Medien tatsächlich differenziert werden können, wurde eine quantitative Analyse durchgeführt. Diese verglich 75 Adaptionen einschließlich acht Opern von *Macbeth* über verschiedene mediale Kategorien hinweg in einem intermedialen Kontext. Anschließend wurden verschiedene *MACBETH*-Opern in einem intramedialen Kontext untersucht. Darunter sechs zusätzliche Opern, die nicht den Anforderungen für die intermediale Analyse entsprachen, da sie nicht den shakespeareschen Text oder eine wörtliche Übersetzung verwendeten.

Eine mögliche Herangehensweise für diese Problematik wird in dieser Dissertation vorgestellt. Die Analyse von Adaptionen sollte auf dem folgenden Vier-Phasen-Modell basieren. Die *product creation* (Produkterstellung) umfasst vier Prozesse: die *conception* (Konzeption), *adaptation/composition* (Bearbeitung/Komposition), *production* (Produktion, einschließlich Regie, Inszenierung und Herstellung), und *reception* (Rezeption). Die beiden mittleren Phasen bilden den kombinierten Prozess der *mediation* (Mediation) (siehe Abbildung 1). Dabei könnten sich Forscher auf die *adaptation/composition* Phase für *printed* Adaptionen konzentrieren oder auf die relevante Phase innerhalb des gesamten Produkterstellungsprozesses, die für inszenierte Adaptionen kombiniert werden.

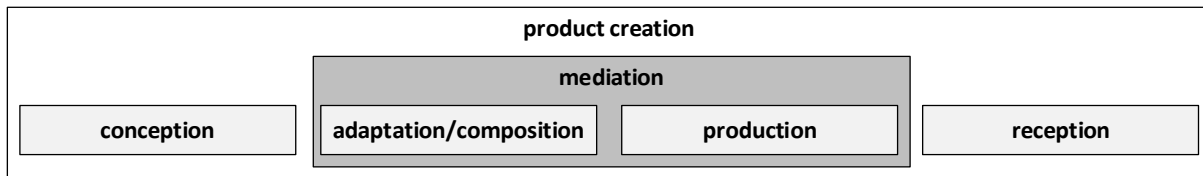


Abb. 1: die Vier-Phasen-Modell der product creation (Produkterstellung)

Das Beispiel der Trennung zwischen Film und Oper weist einen wesentlichen Unterschied auf: Bei Filmen gibt es in der Regel ein Drehbuch und nur eine Produktion, bei Opern dagegen eine Partitur mit möglichst vielen Inszenierungen. Dieser vertragliche Unterschied zwischen Filmen und Opern ist eine der Begründungen, weshalb Adaptionen nach Texttypen und die der Mediation nach Produktionen zu erforschen sind.

Die intermediale Analyse umfasst die Information Visualisation (Informationsvisualisierung, kurz: *InfoVis*) als Methode zur quantitativen Datenerhebung unter Verwendung einer *visual comparative representation* (visuelle Vergleichsdarstellung, kurz: *vcr*) der Adaptionen, wobei die Verwendung des Textes innerhalb und in Vergleich zu jeder anderen Adaption visualisiert wird. Die *visual comparative representation* wurde in zwei Gruppen von Adaptionen unterteilt (siehe Abbildung 41), wobei die obere Hälfte *directed* (inszenierte) Adaptionen wie Filme und die untere Hälfte die von *printed* (gedruckte) Adaptionen wie Opernpartituren umfasst.

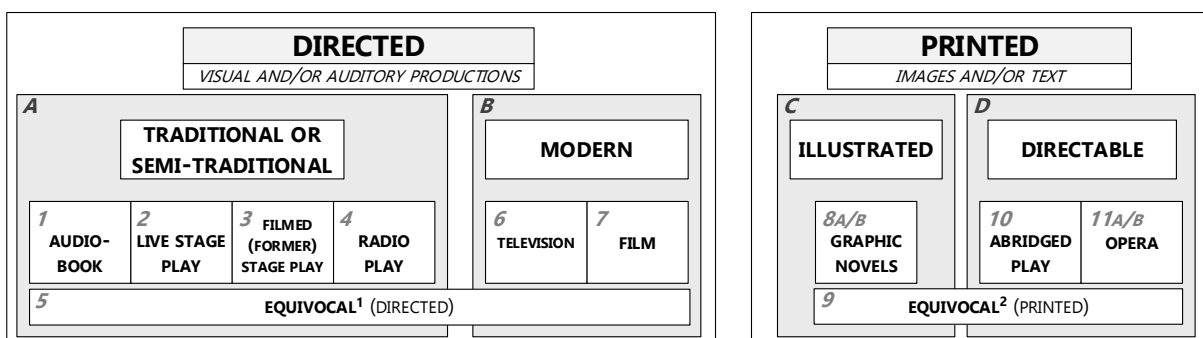


Abb. 41: Die Kategorien der Adaptionen

Diese visuelle Aufteilung verdeutlicht den Unterschied in den Prozessen, die die Gruppen von Adaptionen beinhalten: *directed* Adaptionen werden analysiert, nachdem eine *production* Phase stattgefunden hat, wohingegen *printed* Adaptionen überwiegend anhand der Texttypen bewertet werden, die nur eine *adaptation/composition* Phase durchlaufen haben. Dies deutet darauf hin, dass die bisherige Forschung zu intermedialen Beziehungen, wie z.B. Romanverfilmungen, tatsächlich zwei trennbare Mediationsprozesse umfasst. Dies legt ferner nahe, dass ein Großteil der vorhandenen Forschung auf die *reception* der ästhetischen Gestaltung abzielt, die während der *production* Phase der Mediation angewendet wird, und nicht unbedingt auf die Prozesse, die während der *adaptation/composition* Phase zu beobachten sind. Dies unterstütze damit zwei Herangehensweisen, die in dieser Dissertation verwendet wurden, von denen die erste das Vier-Phasen-Modell ist.

Die andere Beobachtung ist, dass die lange geführte Debatte über die *fidelity to a source text* durch diesen Unterschied in der Mediationsprozessen falsch interpretiert wurde. Wird Fidelity als ein Hauptthema betrachtet, dann müssen verschiedene Formen von Fidelity untersucht werden. Drei dieser Formen wurden während dieser Dissertation untersucht. Dies könnte die in dieser Dissertation vorgeschlagene *textual fidelity* einschließen, um die Nähe zu den Makro- und Mikrostrukturen des Ausgangstextes innerhalb des Zieltexttyps zu erfassen, die mit quantitativen Methoden analysiert werden kann. Als Zweites die *medial fidelity*, bei der die strukturellen Konventionen des Texttyps bzw. der medialen Form auch quantitativ durch den Vergleich mit anderen Analysen derselben medialen Kategorie bewertet werden können. Die medial fidelity stellt fest, ob die Adaption, im Vergleich zu andere Adaptionen in dieser medialen Kategorie, den strukturellen Konventionen entspricht. Die dritte Form von Fidelity stellt die *aesthetic fidelity* dar, bei der die ästhetische Gestaltung qualitativ im Hinblick auf die (subjektive) Rezeption bewertet wird.

Die Ergebnisse der intermedialen Analyse in *Part II* dieser Dissertation bestätigen teilweise die anekdotische Evidenz, dass Opernadaptationen im Vergleich zu anderen Medienkategorien den Text verdichten. Diese Feststellung macht deutlich, dass über die Kürzung des Textes eigentlich in Verbindung mit der Dauer der Aufführung gesprochen werden sollte. Die Ergebnisse zeigen auch, dass Opernadaptationen dazu neigen, Textsegmente wesentlich häufiger zu wiederholen als anderer Medien. *Directed* Medien wie *live stage plays* (Live-Bühnenstücke), *filmed former stage plays* (gefilmte ehemalige Bühnenstücke), *television* (Fernseher) und *film* (Film) Adaptionen werden in dieser Reihenfolge durch die medianen Anteile unterschieden. Die nachfolgende Abbildung (Abb. 54) stellt die Unterscheidung der vier verschiedenen Medien dar.

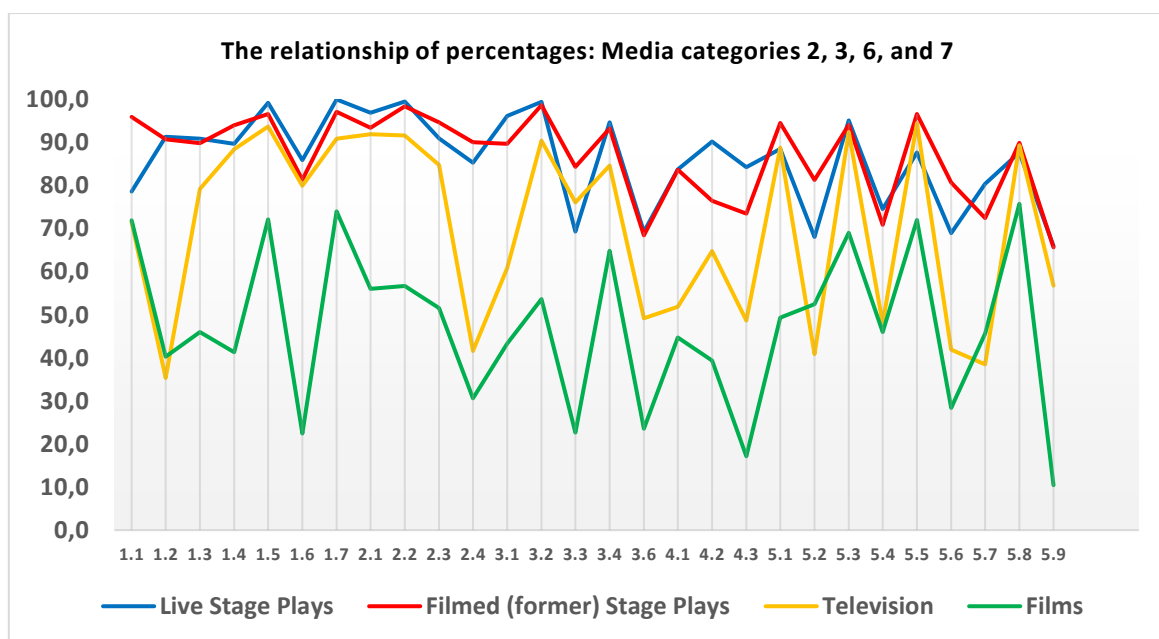


Abb. 54: Das Verhältnis zwischen den medianen Anteilen der Medienkategorien 2, 3, 6, und 7

Fernsehadaptationen zeigen eine traditionellere Verwendung des Ausgangstextes, jedoch mit einem geringeren Anteil als bei Bühnenstücken. Filme hingegen weisen einen erheblich geringeren Anteil auf und die Textform wird öfter verändert, insbesondere durch die *repositioning* (Neupositionierung) von Text innerhalb von Szenen und über Szenen hinweg.

Diese Unterschiede zeigen sich auch in den elf Kategorien bei einer Analyse der prozentualen Textanteile pro Akt. Abbildung 58 zeigt nicht nur den Median der Anteile pro Akt (rote Strich), sondern auch den Bereich für jeden Akt. Der Mediananteil für jede Adaption ist ebenfalls dargestellt (blaue Strich). Wie in der Abbildung zu sehen ist, behalten *audiobooks* (Hörbücher) [Kategorie 1] und ungekürzte *graphic novels* (Comic) [Kategorie 8] fast den gesamten Ausgangstext bei. *Films* (Filme) [Kategorie 7], *graphic novels* [Kategorie 8] und *operas* (Opern) [Kategorie 11] weisen einen ähnlichen prozentualen Bereich auf, differenzieren sich aber durch andere mediale Konventionen, wie beispielsweise die vorgenommenen Änderungen am Text.

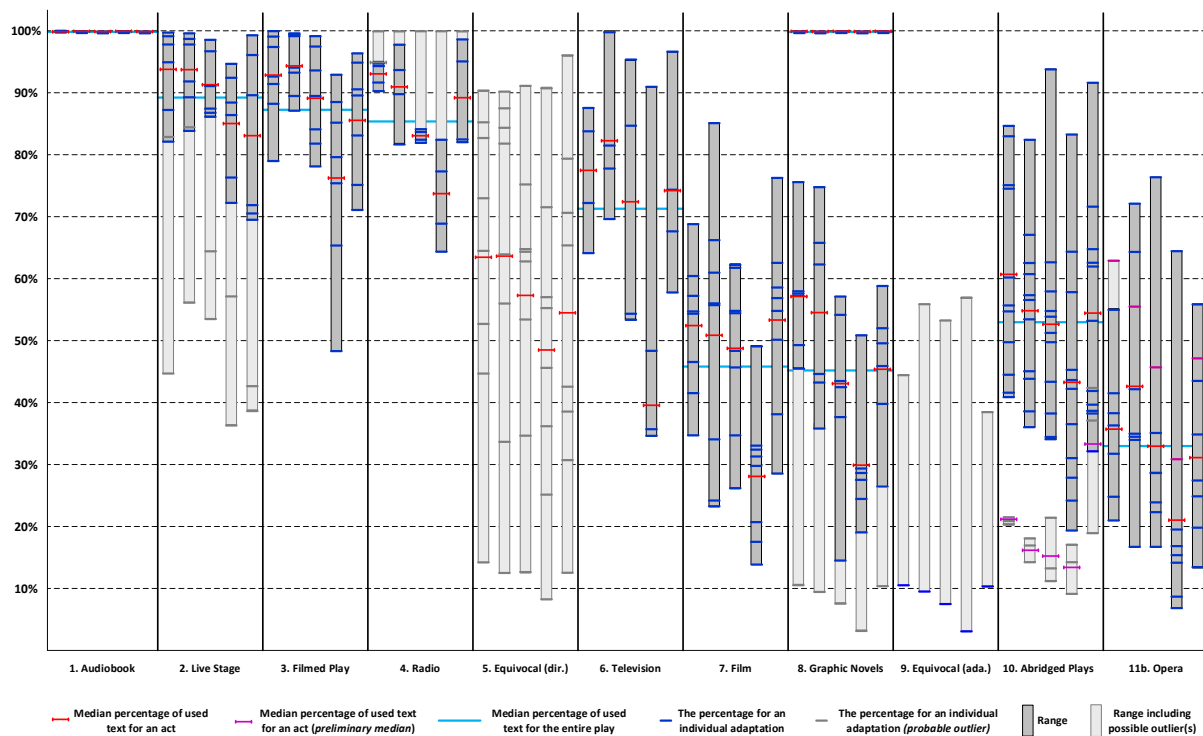


Abb. 58: Vergleich aller Medien - Bereich, Prozentanteile und medianer Prozentanteil (nach Akt)

Das höchste Maß an *textual fidelity* ist bei den traditionellen Medien zu beobachten: *audiobooks*, *live stage plays*, *filmed former stage plays* und *radio plays* (Radiospiele). Alle vier Medien haben einen höheren Mediananteil an Text sowie ein geringere Anzahl von Änderungen als die anderen medialen Kategorien, mit Ausnahme der ungekürzten *graphic novels*. Viele Aspekte von *medial fidelity* sind in der *visual comparative representation* (im Appendix A) zu beobachten: z.B. *repositioning* (gelb dargestellt im vcr) in der Verfilmungen von *Macbeth*.

Die intermedialen Ergebnisse enthalten auch Beobachtungen, die sich auf verschiedene Aspekte der narrativen Elemente von *Macbeth* beziehen, wie z.B. Adaptionen, bei denen bestimmte Abschnitte des Ausgangstextes weggelassen worden. *Macbeth* enthält zusätzliche Textabschnitte die nicht in Shakespeares First Folio enthalten sind. Diese Abschnitte beziehen sich auf die zusätzliche Figur der Hexe Hecate und werden in Adaptionen deutlich weniger verwendet als die anderer Hexenszenen. Zu den Auslassungen bei Adaptionen von *Macbeth* gehören die der Szene 4.3, die in Bezug auf Anzahl der Zeilen und Dauer mit Abstand die längste in *Macbeth* ist. In dieser Szene ist die Kürzung in den medialen Kategorien deutlich stärker bemerkbar, große Abschnitte werden in vielen Adaptionen weggelassen.

Die Erörterungen und intramedialen Feststellungen in *Part III* beinhalten eine ähnliche Feststellung in Bezug auf die traditionelle Behandlung des Textes. In den analysierten *MACBETH*-Opern lassen sich drei Subkategorien von Libretti erkennen. Im Gegensatz zur Textbehandlung in anderen Medien, teilt sich die traditionelle Behandlung in Opernadaptationen jedoch in zwei Arten von Traditionen auf, die sich jeweils auf die Traditionen struktureller Konventionen beziehen.

Die erste Subkategorie macht die Festhaltung an der theatralischen Tradition deutlich. Sie zeigt, dass die theatralische Strukturen des Ausgangstextes in Musikdramen selten von den Makro- oder Mikrostrukturen abweichen. Die Tendenz, den Text zu kürzen, erfolgt ebenfalls meist durch das Weglassen ganzer Szenen. Wie oben in Bezug auf das intermediale Verhältnis der Kürzung erwähnt wurde, erfordert das Ausmaß der Kürzung jedoch auch eine Korrelation mit der Dauer der Aufführung. Die andere Tradition, der gefolgt wurde, ist die der Operntradition. Dies ist die dritte Subkategorie von Libretti und beinhaltet die Mediation des Ausgangstextes in die Strukturen der damaligen Opern wie Arie, Chor und verschiedene Arten von Rezitativen. Diese Trennung zwischen theatralischen und opernhafte Strukturkonventionen erfolgt effektiv nach der Gründung der Wagnerschen Musikdramen, wobei das letzte vollständige ‚opernhafte‘ libretto von *Macbeth* 1877 aufgeführt wurde. Zwischen diesen beiden Traditionen liegt die zweite Subkategorie, die den Theatertext verwendet, ihn aber durch *repetition* (Wiederholungen), *repositions* (Neupositionierungen) und *additions* (Ergänzungen) nach Belieben verändern. Wie bei der Tendenz der neuen Medien effektiv ein ähnliches Muster der *textual fidelity* wie bei der *modern directed* Adaptionen, wie sie in der intermedialen Analyse identifiziert wurden. Diese zweite Subkategorie umfasst auch Opern, die ganze Szenenabschnitte hinzugügen, wie z.B. Gattys Dialog zwischen einem Hirten und Fleance, der nach Banquos Ermordung hinzugefügt wurde.

Die intermediale Analyse umfasst auch Fragen im Zusammenhang mit der Übersetzung und den Auswirkungen, die zwischen den verschiedenen Arten der Übersetzung von Libretti auftraten. Die *literal translation* (wörtliche/literarische Übersetzung), die bei der Entstehung von Koppels dänischer

Oper verwendet wurde, ermöglicht es, ein Musikdrama zu komponieren. Der Ausgangstext, der beispielsweise von Chelard, Taubert und Verdi zur Formulierung der Libretti für die Opern verwendet wurde, ist jedoch in einigen Abschnitten des Rezitativs als wörtliche oder direkte Übersetzung erkennbar. Die Arien und Chöre verwenden Text, der vollständig von den theatralischen Strukturen auf die strukturellen Konventionen der Oper umgestellt ist.

Die Einzelfallstudien, aus denen *Part IV* besteht, stellen ein unfassendes Spektrum von Themen dar, die auf theoretische Konzepte angewendet werden können, wobei jede Oper unterschiedliche Beispiele und Themen enthält. Die Entstehung von Koppels Oper, die in *Part IV – Chapters 1 bis 3* detailliert beschrieben wird, zeigt, dass das in dieser Dissertation vorgeschlagene Vier-Phasen-Konzept in der Lage ist, die von der medial fidelity erfassten Themen von denen der aesthetic fidelity zu trennen. Koppels Avantgarde-Oper, die während der adaptation/composition Phase entstand, wurde von einem Regisseur, der sich nichts anderes als traditionelle visuelle Theaterästhetik auf der Bühne vorstellen konnte, schlecht inszeniert. Dieses Versäumnis, die symbolistischen Aspekte von Musik und Inszenierung zu verbinden, wurde durch die gelungene Paarung der beiden Opernkomponenten während der Fernsehproduktion von Bibalos Oper, die in *Part IV – Chapter 4* dokumentiert wurde, noch deutlicher ins Rampenlicht gerückt. Die Übereinstimmung von Avantgarde-Komposition und Avantgarde-Inszenierung machte die Arten von Fidelity noch deutlicher, indem sichergestellt wurde, dass der Unterschied in der Inszenierung zwischen Koppels Oper von 1968 und Bibalos Oper von 1989 zwei Extreme darstellte. Diese beiden Einzelfallstudien zeigen, wie wichtig die kollaborative Arbeit in den kombinierten Mediationsphasen ist, da die Akzeptanz durch ein Publikum während der Rezeption von einer erheblichen Anzahl von Konventionen und Erwartungen abhängt. Das zeigte sich auch im englischen Libretto von Rossis Oper, das der Librettist Frank Marshall in *BIORN* umbenannte. Dieses Libretto, zu dem die Details in *Part IV – Chapter 5* zu finden sind, wurde heftig kritisiert und in der Tat lächerlich gemacht, da es von Shakespeares Ausgangstext in eine intralinguale Übersetzung in Opernstrukturen zugunsten einem norwegischen Umfeld überführt wurde. Die adaptation/composition Phase beinhaltete eine Mischung verschiedener kreativer Prozesse, die auch innerhalb der Opernkomposition nicht üblich waren, denn es scheint, dass Rossi die Oper in italienischer Sprache komponierte und Marshall seine Ideen nachträglich hinzufügte.

Jede der drei Opern, die in *Part IV* analysiert werden, zeigt den Grad der Komplexität, der von Opernadaptation und nachfolgenden Produktionen erforderlich wird, wenn die Opern vom Publikum akzeptiert und ebenfalls im Opernrepertoire bleiben sollen. Diese Komplexität beinhaltet eine empfindliche Balance zwischen den Erwartungen des Publikums, das *foreknowledge* (Vorkenntnisse) über den Ausgangstext und dem Medium der Oper, einschließlich der Unterschiede zwischen den traditionell strukturierten Nummer-Opern und denen der durchkomponierten Musikdramen, der

Sprache(n), den intermedialen Beziehungen und sogar kulturelles und historisches Wissen. Hutcheons Konzept der *knowing and unknowing audiences* (Publikum mit/ohne Vorkenntnisse) ist daher um eine Erweiterung ergänzt, die *(un)knowing adapters* (Adapter), *performers* (Darstellerinnen und Musikerinnen), *directors* (Regisseurinnen), und *critics* (Kritikerinnen) umfasst. Dies soll die Berücksichtigung der verschiedenen Aspekte der adaptation/composition und production Phasen sowie die Überschneidung mit der reception Phase ermöglichen. Neben den Vorkenntnissen des Ausgangstextes sind beispielsweise mediale Konventionen und Sprache(n) in der Erweiterung ihres Konzepts inbegriffen. Diese zusätzliche Form von Vorkenntnisse werden in den drei Fallstudien in *Part IV* besprochen.

Zusätzlich zu den verschiedenen Rollen, die im Konzept von Hutcheon berücksichtigt werden müssen, werden weitere mögliche Überschneidungsebenen von Wissen erörtert, wie in Abbildung 21. zu erkennen ist. Das Venn-Diagramm zeigt einige der mögliche Überschneidungen, die sich ergeben können, wenn diese anderen Rollen oder unterschiedliche Ebenen des Wissens berücksichtigt werden. Wie sich jede dieser Ebenen auf die in dieser Dissertation vorgeschlagenen Vier-Phasen-Modell auswirkt, könnte sehr unterschiedlich sein, je nach Erfahrung(en) der an jeder dieser Phasen beteiligten Personen. Selbst wenn die Komplikationen des intertextuellen Wissens aus diesem Diagramm entfernt werden, sind die mögliche Überschneidungen der verschiedenen Arten von Wissen weitaus komplizierter als nur die Konzept von knowing and unknowing audiences.

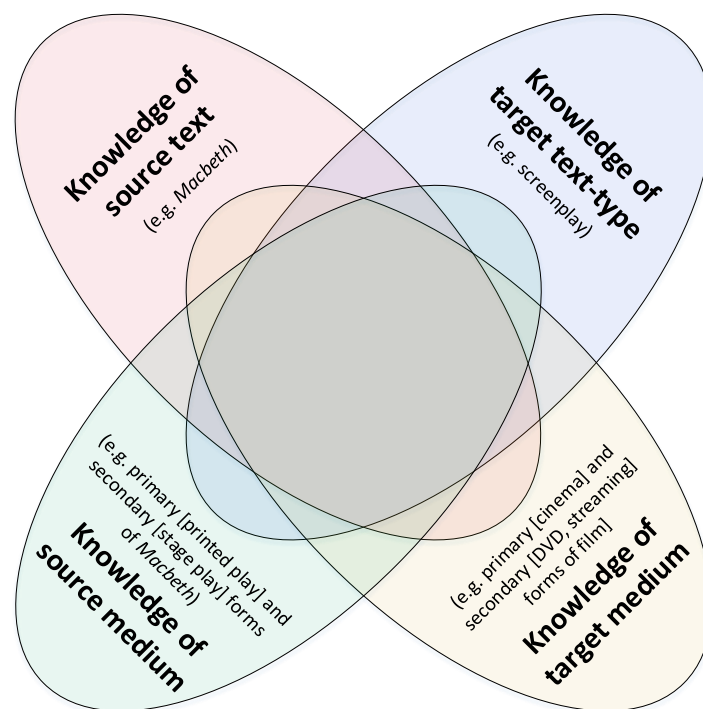


Abb. 21: ein Venn-Diagramm, das einige Komplikationen zeigt, die mit ‚(un)knowing‘ verbunden sind

Ein anderes Konzept in Hutcheons Theorie hat sich als problematisch erwiesen. Bei *modes of engagement* handelt es sich um ein Konzept, welches mit der Rezeption einer jeden Medienkategorie verbunden ist. Hutcheons Konzept kennzeichnet die Rezeption medialer Formen allein anhand der drei eigenständigen Modi des *telling* (Erzählens), *showing* (Zeigens) und *interaction* (Interaktion). Wie in *Part I – Chapter 2* erwähnt, birgt dieses Konzept Schwierigkeiten in der Terminologie. Die Auswahl von Hutcheons Begriffen für die ersten beiden Modi kollidieren mit den Bedeutungen der Narratologie (Erzählens, Zeigens) und der Psychologie (Einbildungskraft, Wahrnehmung). So werden hier Medien vernachlässigt, die sich nur mit visueller oder auditiver Ästhetik befassen, wie z.B. audiobooks (Hörbücher) und silent films (Stummfilme). Das Konzept zielt hauptsächlich auf Medien wie Romane und Filme ab, aber seine Einfachheit gilt nicht für alle Medien, was seinen theoretischen Wert abschwächt.

Zusätzlich zu den Problemen, die die Kategorien zeigen, gibt es Unterschiede, die mit den drei von Hutcheon bereitgestellten Optionen hervorgehoben werden. Diagramme mit drei Positionen wurden bereitgestellt, wie z.B. das Diagramm für live opera in der oberen Hälfte von Abbildung 89.

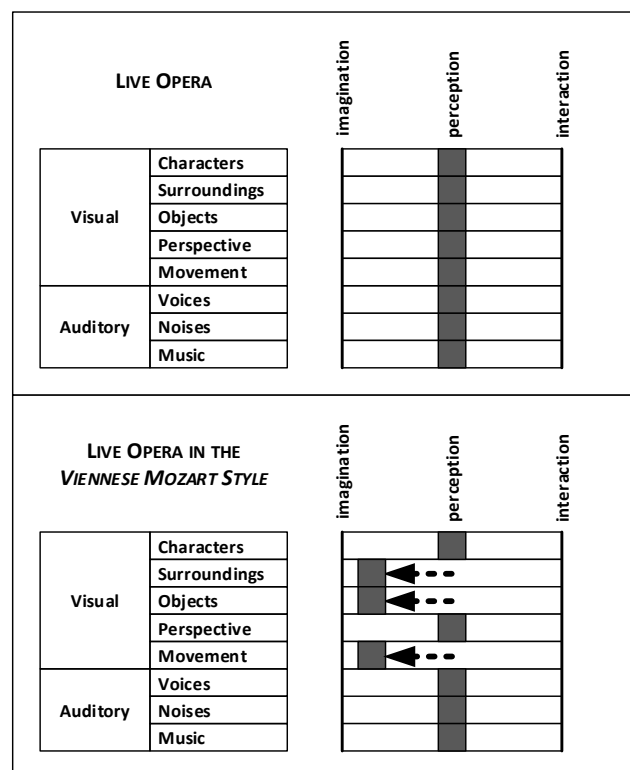


Abb. 89: Ein Liniendiagramm der Veränderung zwischen Opern mit und ohne Wiener Mozart-Stil

Das Diagramm zeigt die live operas in der Wahrnehmung für die visuelle und auditive Ästhetik. Ein Beispiel aus Fallstudie 1 zeigt jedoch, dass diese ästhetischen Elemente manipuliert werden können,

wie in der unteren Hälfte der Abbildung zu sehen ist. Der Regisseur hat mit Absicht visuelle Aspekte minimiert, so dass das Publikum mehr auf die gesungene Text achten musste. Das Ergebnis ist, dass das Publikum daher mehr seine Vorstellungskraft einsetzen muss, aber nicht im gleichen Maße wie bei printed Medien. Dieses Diagramm zeigt das Hauptproblem des Drei-Optionen-Konzepts. Wenn Adaptionen nur einer dieser Optionen zugeordnet werden können, entfällt die Möglichkeit der Kombinierbarkeit der drei Optionen. Das Publikum kann daher z.B. nicht Imagination und Wahrnehmung innerhalb eines Mediums mischen. Wie oben erwähnt sind Medien wie Stummfilme oder Hörbücher daher problematisch, da die visuellen und die auditiven Elemente auf Imagination oder Wahrnehmung aufgeteilt werden. Außerdem würde jede Art von Interaktion die anderen Modi ausschließen. Um diese Probleme auszugleichen, wurde ein Triangulationsmodell erstellt. Dieses Modell erlaubte es, die drei Modi in beliebiger Weise für jedes der Elemente zu mischen. Es wurde ein Beispiel eines triangulierten Diagramms für die gleichen Opernadaptionen bereitgestellt, bei dem die einzelnen Elemente angemessener zwischen den drei Optionen positioniert werden konnten (siehe Abb. 90). Zusätzlich wurde ein Diagramm beigefügt, das die Unterschiede aufzeigt, die die Fernsehoperen mit sich bringen kann. Alle gezeigten Positionen der ästhetischen Elemente sind hypothetisch, da es eine komplizierte Methode mit subjektiven Bewertungen erfordern würde, um diese Diagramme mit gesammelten Daten korrekt darstellen zu können.

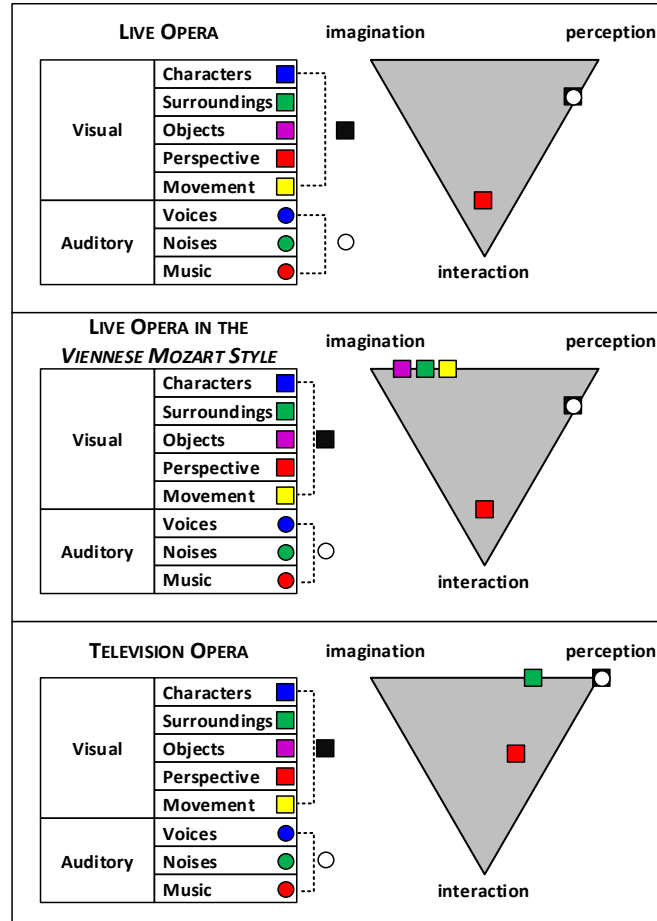


Abb. 90: ein Dreiecksdiagramm der verschiedenen Opernmedien

Alle diese Punkte haben die Entwicklung der Adaptation Studies und der Intermedial Studies bisher erschwert und könnten erklären, warum noch keine einzige Theorie der Adaption akzeptiert wurde, die in der Lage ist, intermediale Beziehungen zu erfassen. Obwohl die quantitativen Untersuchungen in dieser Dissertation noch eine Bestätigung durch weitere Ausgangstexte und die damit verbundenen Adaptionen bedürfen, neigen die Ergebnisse und Beobachtungen zu einer Entwicklung, die sich mit der umfangreichen Forschung der Adaption der letzten Jahrzehnte verbinden könnte. Dies wird nur möglich sein durch ein tieferes und detailliertes Verständnis des Gesamtprozesses vom Ausgangstext zum Zieltexttyp und seinem anschließenden Zielmedium sowie durch die Erhebung eines quantitativen Datensatzes, der zahlreiche Ausgangstexte und deren zugehörige Adaptionen umfasst.

In *Part I – Chapter 2* wurde untersucht, wie Elleström zwischen *basic media* (grundlegenden Medien), *qualified media* (qualifizierten Medien) und *technical media* (technischen Medien) unterscheidet. Dies schließt eine Reihe von Medien ein, die in einer überwiegend bildschirmbasierten Sphäre der Adaptation Studies selten diskutiert werden. Diese Untersuchung basierte auf verschiedene Bücher des letzten Jahrzehnts (z.B. „Media Borders“ und „Beyond Media Borders“). Im wesentlichen werden *basic media* verwendet, um Ideen auszudrücken. *Qualified media* bezeichnet die Art und Weise, wie diese Ideen mit Hilfe der basic media zu Inhalten organisiert werden, kombiniert mit den *contextual* und *operational qualifying aspects* (kontextuellen und operativen Aspekten), die in Abbildung 25 dargestellt sind. Technical media sind diejenigen, die es einem Publikum ermöglichen, auf die Ideen und organisierte Inhalte der qualified media zuzugreifen.

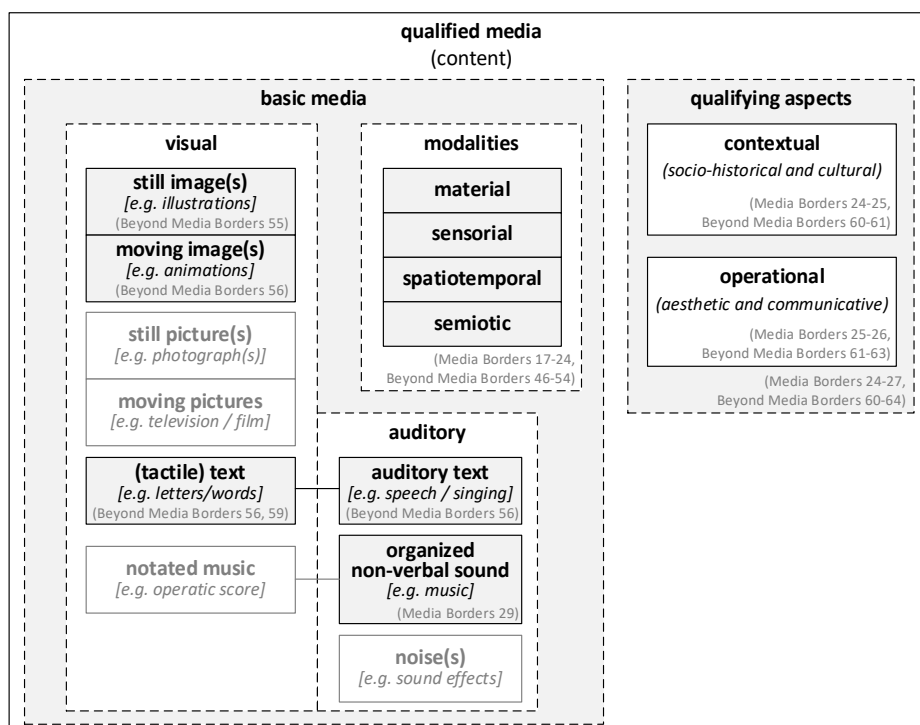


Abb. 25: eine schematische Fassung der wichtigsten Aspekte von Elleströms Konzept von "qualified media"

Ein besseres Verständnis darüber, was der gesamte Prozess der Produkterstellung beinhaltet und welche Unterschiede zwischen primärer und sekundärer Mediation bestehen, hat Vorteile für die Anglistik. Mit der zunehmenden Rolle, die das Unterrichten eines Ausgangstextes mit einer Adaption in der Anglistik einnimmt, wird die Fähigkeit, die Unterschiede in der Interpretation zwischen Ausgangstext und Zieltexttyp bsw. dem Zielmedium zu erklären, immer notwendiger. Die Betrachtung dieser Unterschiede anhand der verschiedenen Texttypen und Medien sowie die Untersuchung der Aspekte von *textual fidelity*, *medial fidelity* und *aesthetic fidelity* in Bezug auf die beiden Mediationsphasen sollten deutlichere Erklärungen für die Interpretation liefern.

Die Verknüpfung von quantitativen Analysemethoden mit qualitativen Analysen in Bezug auf Erwartungen eines Ausgangstextes sollte den Grad der Subjektivität innerhalb *Adaptation Studies* und *Intermedial Studies* minimieren. Während der Wirkung, die die Fidelity-Debatte auf *Adaptation Studies* hatte nachgelassen hat, könnte dies daran liegen, dass sie sich fälschlicherweise an die Prozesse der *production Phase* statt der *adaptation/composition Phase* ausgerichtet hat, oder dass sie die verschiedenen Arten von Fidelity, die zu existieren scheinen, nicht erfasst hat. Durch die Fokussierung auf die Texttypen, wie z.B. Drehbücher, statt auf das Medium der gefilmten Produktion oder zumindest durch die Kombination der beiden Mediationsphasen können die Studenten verstehen, wie Adapter den Text getrennt davon vermitteln, wie Regisseure das Drehbuch mittels visueller und/oder auditiver Ästhetik vermitteln.

Dies erfordert natürlich die Vermittlung von literarischen Texttypen jenseits von Romanen und Gedichten innerhalb der Anglistik. Dies bietet jedoch Möglichkeiten für den Vergleich von Textformen im Ausgangstext mit Textformen im Zieltexttyp, im Gegensatz zu Vergleichen mit visuellen und auditiven Medien. Solche Möglichkeiten sollten durch ein vertieftes Verständnis der verschiedenen strukturellen Konventionen von Texttypen wie Drehbüchern und Libretti erreichbar sein. Dazu gehört die Kenntnis der strukturellen Aspekte, ihrer Elemente sowie der *constraints* (Einschränkungen) und *freedoms* (Freiheiten) jedes Texttyps, wie sich in den Tabellen in *Part II – Chapter 1* dokumentiert sind, sowie die Arten von Veränderungen, die bei der intermedialen Analyse in den vorhandenen Adaptionen über jede mediale Form hinweg beobachtet wurden.

Es wäre fast unmöglich, die Art und Weise, wie Adaption bezeichnet wird, durch die Beseitigung der synonymen Terminologie zu ändern. Das Hervorheben des Unterschieds zwischen *textual fidelity*, *medial fidelity* und *aesthetic fidelity* würde dennoch ein Bewusstsein schaffen, das zum Verständnis der interpretatorischen Unterschiede zwischen einem Ausgangstext und einem Ausgangsmedium beitragen könnte. Dieses Bewusstsein würde auch Wissen über die dazwischen liegenden Prozesse beinhalten.

Die Untersuchungen in dieser Dissertation haben gezeigt, dass der derzeitige Fokus auf rezeptive Prozesse in der Forschung von Adaptionen durch einen Fokus auf die adaptation/composition Phase ausgeglichen werden muss. Es hat ferner gezeigt, dass es tatsächlich Möglichkeiten gibt, die strukturellen Konventionen so zu isolieren, dass sie die Kategorisierung von Texttypen und Medien unterstützen, einschließlich der Mischung von Elementen, die mit anderen medialen Formen koexistieren. Die Trennung von struktureller Interpretation in der adaptation/composition Phase und ästhetischer Interpretation in der production Phase wurde durch die Analyse medialer Muster ermöglicht, darunter der Anteil des verwendeten Textes und die Anzahl der vorgenommenen Änderungen. Obwohl weitere Untersuchungen erforderlich sind, um die Ergebnisse der in *Part II* und *Part III* enthaltenen Analysen zu bestätigen, deuten die aus einer umfangreichen Anzahl von Adaptionen über verschiedene mediale Kategorien gesammelten Erkenntnisse darauf hin, dass medial fidelity und aesthetic fidelity getrennt und daher separat angewendet werden können. Die in dieser Arbeit beschriebenen medialen Muster veranschaulichen das Potenzial zur Differenzierung medialer Kategorien, sowohl in intermedialen als auch in intramedialen Beziehungen. Verschiedene Ergebnisse zeigen die Unterschiede und Verbindungen zwischen traditionellen und modernen Medien auf und liefern Belege, die die von Elleström diskutierte Überlappung der Mediengrenzen unterstützen. Die Opernadaptationen von *Macbeth* zeichnen sich durch einen geringeren Anteil des Ausgangstextes in Kombination mit einer proportional längeren Aufführungsdauer im Vergleich zu anderen Medien aus, sowie durch drei Subkategorien der Textverwendung innerhalb der Libretti, wobei bei einem breiteren Forschungsumfang weitere hinzukommen dürften.

Ein theoretischer Wechsel von einem Fokus auf production und reception zu einem Fokus, der alle vier Phasen der Produkterstellung umfasst, wird die anwendbaren Methoden erweitern. Dabei könnten auch die in *Part I – Chapter 3* dokumentierten terminologischen Unklarheiten – idealerweise und idealistisch – minimiert werden. Dies könnte dazu beitragen, den Diskurs innerhalb der Adaptation Studies und der Intermedial Studies neu ausrichten und die Terminologie aller Bereiche, einschließlich der Translation Studies und der Opera Studies, neu zu fokussieren. Einen solchen Wechsel könnte dem Studium der Sprache im Allgemeinen und insbesondere dem Studium kanonischer Texte parallel zu entsprechenden Adaptionen innerhalb der Anglistik zugute kommen, unabhängig davon, ob es sich um Kultur-, Literatur- oder Medienwissenschaften handelt.

Glossary

The terminology used within this dissertation involves numerous academic fields. As these terms may be used in considerably different ways (refer to the discussions on the synonymous use of some terminology in *Part I – Chapter 3*, the usage within quotations may differ from these definitions. Due to the multidisciplinary mixture contained within this research, these terms have been used to create the simplest explanations of the theoretical concepts.

adaptation/composition	the first phase of mediation, where the information from a source text is transferred into a target text-type.
aesthetic fidelity	
back translation	a transfer of a target text from the target language back to the original language (e.g. English to Italian, then Italian back to English).
direct translation	a transfer of a source text's meaning to a target language within the same text-type (e.g. a play to a play) or one with similar aspects (e.g. a play to a libretto), but where the structural functions within the source text (e.g. its rhyming scheme) are not transferred into the target text. A direct translation does not have to allow for the intended purpose or style of the source text but can simply provide an understanding of the meaning. Direct translations as defined here are less 'faithful' to the source text than <i>literal translations</i> .
duple time / duplet	perceived or written beats within audible or notated music that contain groupings of two notes.
faithfulness	See fidelity
fidelity (to a source text)	the belief that an adaptation should be judged against the source text, usually implying a perception of hierarchical quality in which the source text is presumed to be more valuable than the target text. [It should be noted that although this research quantifies the adaptations in relation to the structures of the source text, no presumption of subjective value is intended for either the source text or the adaptations.
intralingual translation	the transfer of a source text to a target text-type that is written in a different form of the same language (e.g. regional variation, modernisation) that may occur due to the type of translation (e.g. a direct adaptation that removes the rhyming schemes of the source text).
literal translation	a transfer of a source text's meaning to a target language with the same target text-type (e.g. a play to a play) or one with similar aspects (e.g. a play to a libretto). The structural functions within the source text (e.g. rhyming schemes) are also transferred into the target text [where possible], thereby also transferring the intended purpose and style of the source text. Literal translations are the most faithful of any form of translation analysed in this research.
Macbeth / <i>Macbeth</i> / <i>MACBETH</i>	respectively: the character, the play, and any adaptation, including abbreviated forms of full adaptation names.

medial fidelity	fidelity to the structural conventions of a text-type and/or medium, which is related to the adaptation/composition phase of product creation.
mediation (process)	the process of mediation is separated into two different types in this dissertation. Firstly, the process of transferring information from a source text to a text-type is referred to here as <i>primary mediation</i> , which occurs in the adaptation/composition phase. Secondly, the process of transferring the information from the text-type(s) into a directed medium or directed media is referred to as <i>secondary mediation</i> , which occurs in the production phase. For printed media, only primary mediation is involved. For directed media, both processes are involved.
mediation (two phases)	the two phases of <i>adaptation/composition</i> and <i>production</i> form the two-part process of mediation, which is part of the overall product creation process.
medium/media	<p>the definition follows the three types of media by Elleström (see <i>Part I – Chapter 2</i> for greater detail):</p> <ol style="list-style-type: none"> 1) <i>basic media</i> – the elements that are used to express ideas within certain modalities (material, sensorial, spatiotemporal, semiotic). 2) <i>qualified media</i> – the organisation of the basic media into formed content with the additional influences of contextual and operational aspects. 3) <i>technical media</i> – the physical ‘products’ which are able to be accessed in order to see and/or hear (and/or touch) adaptations. (e.g. CDs, DVDs, cassette tapes, books, computers). <p>Additional definition is provided by the Council of Europe’s Common European Framework of Languages (CEFR), which differentiates between “text-types” and “media” (see <i>Part I – Chapter 3</i> for greater detail).</p>
narrative conceptual translation	a transfer of the narrative components of a source text into a different textual form.
polyphonic texture	a feature in music where multiple separate voices are able to work in individual roles at the same time. The use of polyphonic in this sense is different from that used in Literature, where the different voices occur with separate timing (in terms of reception).
primary mediation	the transfer of information from a source text into a target text-type. A ‘pure’ form of primary mediation would involve no changes of information in either the source text or the target text-type but simply a change of formatting into the structural conventions.
<i>production</i> (phase)	the second phase of mediation, where the information contained in the target text-type(s) is transferred into the target medium/media.
production	a term for the organisation of a performance or performances of stage-based adaptations or the filming/editing (etc.) of screen-based adaptations.
secondary mediation	the process of transferring the information of a text-type into a directed medium such as film.
source(s) / source text	the document(s), image(s), or other form(s), from which ‘original’ information is taken in order to form a source text. For example, the stage play <i>Macbeth</i> is spoken about as being a source text, and Holinshed’s chronicles are one of the ‘sources’ used to help form Shakespeare’s stage play. A source text (or

	texts) is the text upon which an adaptation is directly based. The source text is/may be based on a source or sources. It is then used to form the adaptation's text-type.
target	the form intended to contain the transferred information. This can be applied to various forms such as languages, text-types, media, and audiences.
text-type	a text-type is a printed form of text that draws on the basic media such as text and image. In some cases, text-types are the 'final product', such as illustrated media (e.g. graphic novels and picture books). In other cases, the text-types are 'directable' and can be the basis for directed productions.
triple time / triplet	perceived or written beats within audible or notated music that contain groupings of three notes.

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