

Shostakovich and the Russian Doll

Dimensions of Energy in the Symphonies

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For Mum and Dad

Abstract

If success is measured by popularity, then Shostakovich is undoubtedly one of the key figures in twentieth-century music. Yet with success often comes the accusation of a tarnished musical language; a bid for mass appeal rather than artistic integrity. In the case of Shostakovich, to evaluate this issue is even more problematic given the clear influence exerted by the political landscape in which he worked. But all too often this influence has led to the music's being observed through a politicised lens, and not as art worthy of consideration on purely musical grounds. The present thesis aims instead to concentrate upon one particular *musical* issue: the inherent sense of energy that so regularly pervades Shostakovich's symphonies. Importantly, this energy is not simply an extra-musical phenomenon; it emanates from multiple internal parameters: harmony, rhythm, timbre and form. Two principal methodologies are adopted in order to trace the evolution of energy: Russian theorist (and Shostakovich's childhood mentor) Boleslav Yavorsky's 'Theory of Modal Rhythm' is used to consider tonal motion, while proportional analysis reveals the frequency of symmetries and Golden Sections within the distribution of local and higher-level structures. As a Russian doll is homogeneous through the (varied) similarity of its layers, so too each individual symphony can be conceived of as a multi-layered construct, wherein energy is manifest simultaneously within different musical parameters. The nesting together of parametric dimensions – their interactions and incongruities – is vital to the unique evolution of each work.

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Preface

The Shostakovich Problem

For some time, Shostakovich has occupied a rather odd and somewhat unenviable position. His music is enjoyed by as many listeners as any other twentieth-century composer, yet it is also derided in some musicological and critical circles. Interestingly, these two positions are interconnected: Boulez, for instance, in a 2000 *Sunday Times* article, placed Shostakovich

Much lower [than] the second division, where you find Prokofiev and Hindemith...Shostakovich plays with clichés most of the time...It's like olive oil, you have a second and even a third pressing, and I think of Shostakovich as the second, or even third pressing of Mahler...With Shostakovich, people are influenced by the autobiographical dimension of his music. (quoted in McBurney, 2000:288)

And here is the Shostakovich Problem, for so often the intense interest that surrounds interpretations of biographical meaning actually demotes musical content to a supportive role: music as an abstracting tool for political speech, complete with clichés and melodrama. Indeed this is the way Shostakovich's work is regularly packaged, with the was-he-wasn't-he political debate an inevitable part of what can at times seem like every programme note, CD liner note or magazine article ever connected with his name.

Similarly, critical commentary on Shostakovich has been overwhelmingly focused upon his biography. Of course, as Christopher Norris rightly observes, 'it is impossible to separate Shostakovich, "the man and his music", from the highly politicised culture in which he came to maturity' (Norris, 1982:8), and when such

controversial texts as Solomon Volkov's *Testimony* appear,¹ there is clearly a strong need for biographical investigation in order to avoid misrepresentation.² The problem comes in the way this biographical detail is combined with discussion of the music itself. As David Fanning has summarised,

So far as Shostakovich's major instrumental works are concerned, commentary in the West has tended to polarize between generalized technical exegesis (e.g. Longman 1989, Roseberry 1989) and enthusiastic but reckless paraphrase (e.g. Kopp 1990, MacDonald 1990). The former trend does scant justice to the context in which the music arose and acquired its broader cultural resonance; the latter seeks to make good the deficiency, but does so mainly by substituting paraphrase for musical understanding, thereby often doing violence not only to the meaning of Shostakovich's music but also to the nature of musical meaning in general. (Fanning, 2004:9)

There is no doubt that the socio-political culture into which Shostakovich was born affected the way in which he worked. It is inconceivable that anyone, let alone someone who was 'the virtual embodiment of Soviet music' (Norris, 1982:8), could be untouched by the conditions in Soviet Russia, and to ignore this link would be to misunderstand the constraints within which Shostakovich composed. However, to transfer such a connection into the process of perception – of actually listening to and understanding the music – can become highly problematic, resulting in the type of analysis (or, rather, analogy) offered by critics such as Ian MacDonald in his *New*

¹ This contains the purported memoirs of Shostakovich, as relayed to Solomon Volkov. Much has been made (and continues to be made) of its accuracy/inaccuracy; see M. Brown, 2004, for a multi-perspective, analysis of this issue.

² For more balanced biographical accounts of Shostakovich, see Fay, 2000, or Wilson, 2006.

Shostakovich.³ To give just one example, MacDonald states of a particular piece that ‘the crash of two-note figures clearly denotes the presence of Stalin, portrayed as a kind of malevolent tornado’ (MacDonald, 1991:206). Such politicised readings are inevitably to the detriment of the music, fuelling (and justifying) Boulez’s conception of cliché-induced memoir. Even Shostakovich apparently had a view on this type of commentary, stating in a 1933 article that,

When a critic, in *Rabochiy i Teatr* or *Vechernyaya krasnaya gazeta*, writes that in such-and-such a symphony Soviet civil servants are represented by the oboe and the clarinet, and Red Army men by the brass section, you want to scream! (quoted in Taruskin, 1995:53)

Certainly, part of the appeal and significance of Shostakovich’s music lies in its extra-musical subtexts. Symphony No.7 – his ‘Leningrad’ Symphony – dedicated to and promoted as being *about* the siege of Leningrad, written and performed during that seige, could not help but stir a strong and precise extra-musical response in its contemporary Soviet audience. And that response can be experienced equally today, as MacDonald proves. But such a response is exactly that – an interpretation. For those at the première of ‘The Leningrad’, it was the immediate and horrific context of war that created specific meaning; for MacDonald, it may equally have been Volkov’s *Testimony*. But, as Fanning observes, Shostakovich’s works survive ‘*because* they speak to listeners who have never heard of Stalin’s Great Terror’ (Fanning, 2000:31, my emphasis). This ability of music to update itself somehow – to continue to be relevant – is crucial for its longevity. As Richard Taruskin states,

³ See Taruskin, 1995:49–56, or Taruskin, 2000:12–29, for reviews of this issue.

[attempts] to define the meaning of Shostakovich's work can only diminish [its] value and work against the interests of composer and audience alike. Definitive reading, especially biographical reading, locks the music in the past. Better let it remain supple, adaptable, ready to serve the future's needs. (Taruskin, 2000:29)

Only recently have commentators begun to consider this body of work on musical grounds, revealing how Shostakovich's compositional processes and contexts have come together to create a language worthy of consideration in itself; there are several multi-author volumes now available that in part follow analytical pathways,⁴ and there are individual analyses of the Fourth and Tenth Symphonies, and the Eighth Quartet.⁵ Additionally, there are several overviews available of the symphonies, either as parts of these larger works, or as books in their own right.⁶ This is essential for Shostakovich's legacy, for his music deserves close consideration. Through this process of building up a musical picture to complement the already thorough historiographical one, we can begin to remember Shostakovich for the right reasons, rather than just (*pace* Boulez) for the autobiographical dimension in his music.

⁴ See Fanning, 1995, Bartlett, 2000, Mishra, 2008, and Fairclough and Fanning, 2008.

⁵ See Fairclough, 2006, Fanning, 1988, and Fanning, 2004, respectively.

⁶ See Ottaway, 1978, Blokker and Dearling, 1979, and Hurwitz, 2006. Also, see summaries by Roseberry, 2008:9–37, or Mishra, 2008:37–312. However, these are often more discursive than analytical, and do not consider in detail the issues or approaches taken in the present thesis.

Defining Limits

It is relative to those listeners 'who have never heard of Stalin's Great Terror' that I wish to situate this thesis. My approach is therefore not historiographical, or even anti-historiographical. Rather, it is analytical, for through the consideration of the music itself – and in particular through the concept of multiple *dimensions of energy* (to be introduced in Chapter 1) – it will be possible to discuss something of the intrinsic power of this music. I will not shy away from political issues, particularly in Chapters 2 and 8, if they are considered relevant either to Shostakovich's overall approach to symphonism, or to specific compositional decisions. But in each chapter, these contexts will be considered more broadly, rather than approaching the music through politicised eyes (and ears). My motivation, then, is not political but musical: here is a composer whose energetic style emanates not just from extra-musical realms, but also from internal musical processes.

Shostakovich was a highly prolific composer, so to consider all his output would be both impractical and inefficient. Whilst I am confident the approaches presented here are valid for other music he wrote, I will focus solely upon the symphonies in this thesis – an inherently public genre, and one for which he is surely most remembered. In these fifteen works we can see a microcosm of the composer's output, as they were written more or less evenly throughout his career, adopting and rejecting processes and techniques in tandem with his other music. Even this undertaking may seem somewhat ambitious, given the density and variety of material the symphonies contain. However, part of the insight of this study will come through its breadth as well as depth of analysis; diversities and similarities between symphonies are as important a part of understanding Shostakovich's language as

isolated examples. In preparing this thesis, I have analysed all movements of all the symphonies, but inevitably I will focus upon some more than others in its presentation. In selecting examples for closer consideration, a balance has been attempted between those movements that offer clarity of issue and those that offer alternatives (or opposites) to that norm; an even selection from across the symphonies has also been sought. For those that receive less attention, I offer footnoted reference if they employ similar processes to examples considered in more detail.

All symphonies will therefore be discussed at some point, but instead of 15 case studies (or even 62, if each movement were considered independently!), the thesis is divided into two parts, reflecting the balance between breadth and depth of investigation. In Part I, 'Theories and Diversities', Chapter 1 presents an overview of methodologies used to describe the different dimensions of energy in Shostakovich's work. These dimensions are then considered independently over the following five chapters: large-scale approaches to symphonism, formal archetypes, thematic processes and their formal consequences, soundworld, and pitch organisation. In each, a range of examples will be taken from across the symphonies in order to demonstrate the diversity of compositional process, and the consequent differences in aural effect – differences that are rarely discussed in the attempt to politicise the music. Part II, 'Applications and Implications', applies these theories to individual case studies respectively of the Sixth, Fourth and Fifth, and Fourteenth Symphonies, allowing a more detailed and comprehensive consideration of how previously-separated parametric dimensions come together to create an overall evolution of energy. As a conclusion, Chapter 10 considers the implications of this thesis as related to the semiological tripartition of intention, transmission and perception.

Part I

Theories and Diversities

Chapter 1

Introduction – Dimensions of Energy

Shostakovich's music has an immediate and inherent sense of energy. This energy pervades his compositional language so extensively that it is an integral part of its character and appeal. In music such as Symphony No.10 (ii),¹ energy can readily be understood as the product of basic principles: it is fast, loud (and gets louder), rhythmically driven, insatiably repetitive, and timbrally harsh. By contrast, the fourth movement from the Eighth is none of these things, and yet still feels tense and nervous. Its energy is held in reserve almost as a form of potential, having absorbed the dynamism of the preceding movement, but not yet having dissipated it; this release comes in the transition to the finale. So while Shostakovich's energetic style certainly emanates at times from surface characteristics, such as awkward ostinati, animated melodies or unnerving timbres, such foreground details do not account fully for the tangible sense of energy that is so pervasive.

Energy has long been discussed in Shostakovich criticism. For instance, Rabinovich notes that, 'The music of the mature Shostakovich is not calculated to soothe the idle ear, it compels the brain to work and the heart to beat faster' (Rabinovich, 1959:4); Downes states, 'There are moments when a listener feels swept along by sheer temperament' (Downes, 1976:856); Blokker and Dearling observe 'Shostakovich's ability to write music of unremitting impetus' (Blokker & Dearling, 1979:52); Ivashkin proposes that 'Shostakovich employs ostinato and other forms of

¹ Throughout this thesis, this notation will be used to identify movements within a Symphony; here, the second movement from Symphony No.10 is under question.

rhythmic inertia as a special “supercharging” device, a sort of psychological pressure or pressurisation’ (Ivashkin, 1995:262); while McBurney similarly suggests that Shostakovich builds ‘sequences and pulsing paragraphs of sound which, in the old phrase, “rock and roll”’ (McBurney, 2000:296). Further, there are many instances of commentators discussing a sense of energy in specific examples.² But these observations are often rooted in short-term, surface events, while my conception of Shostakovich’s energetic style seeks also to account for longer spans of music. As an extension of Schoenberg’s view of Shostakovich, Fanning considers in some detail ‘the breath of the Symphonist’,³ an issue he later expands as ‘the way we hold our breath, musically speaking, over long time-spans’ (Fanning, 2000:36). In this regard, the manipulation of energy is capable of offering long-range structural definition. An approach is thus necessary that takes account of both foreground and background patterns, for energy exists within multiple dimensions of this music.

Energy is a multi-faceted phenomenon and not a single concept. As music is a diachronic experience, it is inherently tied to some degree of motion and change. Importantly, this motion is not uniform, as different rates of change render different degrees of energy perceptible at different points. Theoretically, therefore, there must be opposite states which define minimum and maximum extents of energy: these will be defined in this thesis as ‘stasis’ and ‘dynamism’. Stasis will refer to stability and rest, due either to the absence of energy or to states in which forces are in equilibrium. Dynamism, by contrast, will be used to denote instability and motion, as forces actively drive directionality. Further, ‘momentum’ will define the rate of transition between states of stasis and dynamism, as impetus is gained or lost over time.

² Instances include Ottaway 1978:27, Blokker & Dearling 1979:115ff, Fanning 2004:77 & 86, Fairclough 2006:116, or Hurwitz 2006:128.

³ See Fanning, 1988.

Importantly, stasis, dynamism and momentum do not necessarily exist in isolation, as this music often juxtaposes, or superimposes, different forms of motion as events unfold, accumulating and dissipating energy through their gradual evolution. But from where do these forces actually derive, and how does Shostakovich use them to control the evolution of energy?

Harmonic Direction and 'The Theory of Modal Rhythm'

To understand the presence and function of energy in Shostakovich's musical language, it is useful first to observe its manifestation over a short time-span. The majority of this chapter will therefore focus upon two extracts – the openings of Symphony No.8 (ii) and No.10 (i); their comparison not only explains methodologies used throughout this thesis, but it also demonstrates the flexibility of those methodologies in accounting for the different types of energy therein. Example 1.1 begins by transcribing the opening of Symphony No.10 (i).⁴

Example 1.1 Symphony No.10 (i) – Opening Material

Moderato ♩ = 96

The musical score for the opening of Symphony No. 10 (i) is presented in two systems. The first system shows the initial measures, with a piano (p) dynamic marking. The second system continues the transcription, also including a piano (p) dynamic marking. The score is written in a key signature of one sharp (F#) and a 2/4 time signature. The tempo is marked 'Moderato' with a metronome marking of ♩ = 96. The notation includes treble and bass staves with various musical symbols such as slurs, ties, and dynamic markings.

⁴ All transcriptions in this thesis are taken from the Collected Works, including the use of figure numbers. For Symphonies Nos.1-6 and No.9, the New Collected DSCH Edition is used, while the remainder come from the former Muzika Edition (for reasons of publication availability). All transcriptions are presented in short score and at pitch, unless otherwise indicated; scoring is only added where it is deemed essential for discussion.

A prominent generator of directional energy in this extract is its harmonic motion, from E minor to G major overall. This conventional modulation is given a typical Shostakovichian flavour through its near-complete chromatic collection (with only G[#] and C[#] absent), and its mixed modality, presenting both major and minor versions of G in the space of four bars. Yet despite this heightened chromaticism, the phrase is undoubtedly tonal, and tonality means hierarchy. As such, momentum here in part results from unstable-to-stable motion within the tonal hierarchy. So, the E^b of bar 12, for instance – a chromatically lowered (and hence relatively unstable) sixth degree – is linearly resolved onto its more stable and functional successor, D^h. But this understanding is of limited use, as this phrase clearly modulates, meaning its reduction to a single mode (and single set of hierarchies) would be false, as individual notes have different functions at different moments: the G of bar 14 is different from that of bar 1.

Tonal hierarchy only tells half the story of motion, as it does not account for *how* that modulation is effected. To understand this, we must also consider intervallic organisation.⁵ Adding to the instability of the bar-12 E^b is its harmonic support of A^h, which, taken in combination, creates a tritone. Here we are in familiar tonal territory – the instability of the tritone and its need for resolution is one of the principal forces behind tonal motion. We are predisposed to expect the resolution of the tritone onto some form of third in tonal music, and Shostakovich (a tonal composer) continually adheres to this precedent, here with the A–E^b resolving inwards onto B–D in bar 13. Thus, modulation is reinforced via tritone-to-third voice leading.

The inherent instability of the tritone within tonal music, and its unremitting need for resolution, is a fundamental aspect of the work of Russian theorist Boleslav

⁵ This issue will be considered in more detail in Chapter 6.

Yavorsky, as initially set out in his 1908 work, *The Structure of Musical Speech*.⁶ Yavorsky's various publications form what is known generally as 'The Theory of Modal Rhythm'; it was consolidated in particular by his pupil Sergei Protopopov (under Yavorsky's guidance) in the 1930-31 volume, *The Elements of Musical Speech* (Kyuregian, 2001:647ff),⁷ and derived mainly from Russian folk music and also the work of the Five (Balakirev, Borodin, Cui, Musorgsky and Rimsky-Korsakov). Its primary aim was to create a theory 'based on a single principle, the operation of the tritone' and to abandon 'acoustical derivations and, instead, [posit] the triad as a result of tonal motion and not as a given' (McQuere, 1983:109). The crux of Yavorsky's theory, then, is the relationship between instability and stability: the unstable tritone necessarily seeks stable resolution. However, in Yavorskian terms, the stable triad is the result of tonal motion rather than an *a priori* existence, which, by implication, 'separates consonance and dissonance from stability and instability' (McQuere, 1983:109). Yavorsky develops this notion into a fully-fledged theory of musical directionality that encompasses melody, harmony and form, all as a product of stability and instability. 'The Theory of Modal Rhythm', then, concerns the unfolding of modes in time (McQuere, 1983:123).

My aim here is not to provide a complete account of Yavorskian theory, nor to follow precisely its at times highly dogmatic and typological methodology in the analysis of Shostakovich; I will not digress further into its details.⁸ However, certain

⁶ This instability is, of course, an attribute long associated with its use, and is central to many theories of tonality. See, for instance, Cooke, 1959:84ff. Roseberry also considers the significance of the tritone with reference to Shostakovich: see Roseberry, 1995:238.

⁷ Interestingly, in a later, independent analysis of form in Shostakovich's music, Protopopov refers to the music in terms of its 'flow' (Protopopov, 1983:91); this link to energy is significant given his work with Yavorsky.

⁸ For a full discussion of Yavorsky and his work, see McQuere, 1983:109–159, or for English-language applications to specific composers, see Thibodeau, 1993:94ff, or, with respect to Shostakovich, Hibberd, 2005:97ff. Haas also posits Yavorsky's theories as a possible route into Shostakovich's harmonic language, but does not test that link with any specific analysis (Haas, 2008a:301ff).

of its core principles shed significant light upon Shostakovich's musical language. And there is another reason for this connection: Shostakovich and Yavorsky were friends. Moreover, Yavorsky acted as a mentor to the young composer, offering advice on his compositions and using his academic influence to bring about performances, competition entries and even the offer of a place at the Moscow conservatoire to study with him (Fay, 2000:27, 31, 35, 39 & 107). Although Shostakovich never took up this post, he enthused in a 1925 letter to his friend Lev Oborin,

What attracts me to Moscow is Yavorsky, and not the Moscow State Conservatoire with its distinguished composers [Alexander] Gedike and Myaskovsky. After all they're old and I'll not get anything new out of them...In fact since I met Yavorsky my whole musical perception has changed. (quoted in Wilson, 2006:44)

Indeed this admiration manifested itself in the music, with his 1927 work *Aphorisms* dedicated to his mentor. Later in the two men's lives, when their social status had reversed, Shostakovich helped support Yavorsky's research while the latter was exiled in Saratov (Fay, 2000:135), and after Yavorsky's death, Shostakovich edited, and contributed towards, a book on his former mentor. In his foreword to that work, he refers to Yavorsky's theories as 'An important contribution to Russian musical scholarship', observing further that 'his considerable analysis always stimulated great interest' (Shostakovich, 1964:3). That Shostakovich was aware of Yavorsky's ideas is therefore without doubt: the Yavorsky compendium that Shostakovich edited contains much detailed analysis of the theories. The extent to which these contributed directly towards Shostakovich's musical development is less clear: of the published

letters between the two men, none explore Modal Rhythm in any detail.⁹ However, it is inconceivable that they would not have discussed these issues, particularly given the enthusiasm Shostakovich had for his mentor's ideas. Their relevance is therefore undeniable, and, as will be seen, their applicability and the insights they engender here are profound.

Regarding the opening of Symphony No.10, Yavorsky's ideas have significant analytical potential as a means of rationalising non-diatonic pitch content in a tonally hierarchical phrase. Their relevance, though, lies not in the specific application of 'The Theory of Modal Rhythm', with all its specificity and attempted universality, but in the basic notion of tritone-led voice leading: motion as derived from tritone instability. Example 1.2 reduces Yavorskian theory back to this simple premise in order to observe directional voice leading in the Tenth. Notation derives mainly from Schenkerian analysis, but with the crucial modification of beamed notes highlighting unstable tritones.¹⁰ As shown, the tonal modulation I–III is articulated (and effected) at a local level by tritone instabilities, their prolongation and their resolution. As such, momentum is the inevitable by-product of unstable-to-stable voice leading; the near-complete chromatic line thus projects an unambiguous tonal foundation due to this hierarchical motion.

⁹ These letters are published in *Bobykina*, 2000:9–132. I am grateful to Anna Fortunova for her translations.

¹⁰ This is not Yavorsky's notation, but my own synthesis of both Yavorskian and Schenkerian concepts of voice leading. This notation, as explained by the key in Example 1.2, will be used throughout this thesis.

Example 1.2 Symphony No.10 (i) – Tritone-led Voice Leading

Moderato $\text{♩} = 96$

Key



Note-head types denote orders of structural importance, with open semibreve as most functional, and un-stemmed, closed note-head as least significant.

Beamed pitches denote unstable tritones

Notes in parentheses denote implied pitch content

Solid slurs denote voice leading

Dotted slurs denote prolongation

Example 1.2 also reveals the flexibility of individual tritones to cadence onto *different* thirds: A–E^b (or its enharmonic D[#]–A), for instance, is linked to E–G, B^b–D and Bⁿ–D at different moments in this phrase. This is where the Yavorskian conception of pitch space is so useful, for tritone instability is not tied to a particular diatonic collection, but can operate freely to cadence onto various stable thirds: the interim G minor in Example 1.2 is a product of this freedom. Tonal modulation, in Yavorskian terms, is therefore not reliant solely upon tonal pitch space, but also upon the flexible tritone. In fact, because of its symmetrical subdivision of the octave (and hence inversional invariance), an individual tritone can cadence onto six different thirds, as shown in Example 1.3.

Example 1.3 Potential Resolutions of a Tritone

The diagrams illustrate six potential resolutions of a tritone, each showing the tritone in a specific setting and its resolution to a target triad. The tritone is represented by a horizontal line above the notes.

- 1. Upper and Lower Semitones**
 - a. Major Triadic Setting: Tritone (A–E^b) resolves to Major triad (E–G–B).
 - b. Minor Triadic Setting: Tritone (D[#]–A) resolves to Minor triad (G–B–D).
- 2. Upper and Lower Semitones**
 - a. Major Triadic Setting: Tritone (B^b–F) resolves to Major triad (F–A–C).
 - b. Minor Triadic Setting: Tritone (F[#]–B) resolves to Minor triad (A–C–E).
- 3. Upper Tone, Lower Semitone**
 - a. Minor Triadic Setting: Tritone (A–E^b) resolves to Minor triad (G–B–D).
 - b. Major Triadic Setting: Tritone (D[#]–A) resolves to Major triad (E–G–B).
- 4. Upper Tone, Lower Semitone**
 - a. Minor Triadic Setting: Tritone (B^b–F) resolves to Minor triad (A–C–E).
 - b. Major Triadic Setting: Tritone (F[#]–B) resolves to Major triad (F–A–C).
- 5. Upper Semitone, Lower Tone**
 - a. Major Triadic Setting: Tritone (B^b–F) resolves to Major triad (E–G–B).
 - b. (Theoretical) Minor Triadic Setting: Tritone (F[#]–B) resolves to Minor triad (A–C–E).
- 6. Upper Semitone, Lower Tone**
 - a. Major Triadic Setting: Tritone (A–E^b) resolves to Major triad (F–A–C).
 - b. (Theoretical) Minor Triadic Setting: Tritone (D[#]–A) resolves to Minor triad (G–B–D).

Further, as the common triad comprises two thirds (major-plus-minor for major triads, minor-plus-major for minor triads), each of these six resolutions can be harmonised in two different ways. A single tritone can therefore resolve on to 12 out of the 24 possible tonal triads, effecting modulation to keys outside of traditional tonal pitch space.¹¹

This trait therefore explains both the heightened tonal ambiguity at the opening of the Tenth, and how the music moves so freely between regions: it is not tied to a specific diatonic collection, but uses the A–E^b tritone to redirect the music from E minor (resolution 4a in Example 1.3) into G minor (resolution 1b) and then into G major (resolution 5a), all based on the same tritone instability. Further, the F[#]–C tritone is used to link motion from G minor to G major in combination with 5a above, while an interim B–F (itself a tritone) creates a melodic surge around bar 9. By preserving the fundamental instability of the tritone and the equally fundamental stability of thirds, Shostakovich's surface modality is underpinned by a constant tonal hierarchy, but that hierarchy shifts between pitch-space regions as a result of the expanded possibilities of tritone motion. His harmonic language thus moves through phases of stasis and dynamism as that process unfolds.

An aspect of Yavorskian theory that deserves further exposition here is the symmetry of the tritone. Not only is it inversionally invariant, but the six resolutions of Example 1.3 can be divided into three symmetrical pairs: the first two employing two semitones; three and four using an upper tone and a lower semitone; five and six using an upper semitone and a lower tone. The connection between these pairs runs

¹¹ This is somewhat different from pure Yavorskian theory, which is concerned with particular types of resolution and its formation of complete modes. I have adapted it here, as analysis of Shostakovich's music reveals this broader conception to be of more relevance. 5b and 6b are theoretical resolutions implied by the symmetrical nature of the diagram: they have no specific place in standard tonal theory.

deeper, though, for their respective points of resolution are always a tritone apart (for instance, 1a resolves to B^b major, 2a to E major; B^b and E are themselves tritone opposites). This eccentricity of tritone voice leading is given particular significance by Yavorsky, who terms this connection the *duplex* function. Again, the complexities of this attribute are less relevant for Shostakovich, but the principle, as will be seen, is a crucial aspect of his tonal language. It is important to note that tritone-related key centres are a significant element of twentieth-century harmonic language in general; composers such as Debussy, Scriabin, Bartók and Stravinsky frequently used this relationship. In fact, a full survey of this technique would produce extensive results, particularly given the tritone possibilities inherent in octatonic collections, a mode of great significance both outside and (especially) inside Russia. Yavorskian theory offers a rationale for such compositional potential.

Shostakovich exploits duplex relationships extensively throughout his symphonic output, often at higher structural levels to establish contradictory tonal regions. In the Tenth, for instance, the main – or primary, as it will be termed – tonic is E (minor in the first movement, major in the Finale). The second movement, however, is set in the duplex tonic: B^b minor.¹² Further, the coda of the first movement extensively employs this relationship, moving successively between the primary tonic of E (minor and major) and its duplex B^b. This tritone relationship is significant in its creation of tension, for, despite the local stability of the duplex, it is nevertheless unstable at a higher structural level given the unambiguous significance of E throughout the work. The fundamental instability of the tritone is therefore

¹² In strict Yavorskian terms, 'duplex' refers to the combination of both parts of the tritone system. However, throughout this thesis, the term will be used simply to denote a tritone-related key. So if E is the primary (or main) tonic, then B^b is the duplex (tritone-related) tonic. Further, F would be the duplex dominant, as it is a tritone away from the primary dominant, B.

preserved in this primary–duplex dialectic; its resolution is central to the sense of background tonal resolution and consequent directional momentum.

The symmetrical nature of the tritone also highlights an important paradox: equality is, in theory, a passive relationship with respect to hierarchical tonality, yet we experience the tritone as active in tonal music. This feature is borne out of the asymmetry of the tonal system itself: hierarchy is the direct result of the asymmetrical subdivision of the octave into diatonic (or even modal) scales. The symmetrical tritone is therefore at odds with this system, as it negates the potential for asymmetrical hierarchy. A similar disparity in fact exists in several ‘symmetrical’ pitch systems: consider, for instance, the difficulty in establishing tonal stability within the whole-tone scale, or indeed the full chromatic scale. Equality does not spawn the type of hierarchy the tonal system leads listeners to hear as stable. This therefore demonstrates the extent to which nurture, as well as nature, is responsible for how we perceive stability and instability in tonal music. As such, ‘the way in which [the tritone] will seek its resolution depends on external stimuli – that is the notes that accompany it’ (Taruskin, 1997:329); this, in theory, can offset any independent passivity. For Yavorsky, and importantly for Shostakovich – both of whom were working within the tonal system – the tritone is regularly used as an *active* instability, driving motion and generating energy towards points of resolution.

Impulse and Distribution I: Foreground Proportional Relationships

By observing the operation of foreground tritones and of middleground/background duplex systems, it is possible to build up a picture of how harmonic directionality is constructed through unstable-to-stable voice leading. However, this process does not fully satisfy Yavorsky's 'Theory of Modal Rhythm', which globally concerns the unfolding of modes *in time* (McQuere, 1983:123). For whilst there is a diachronic implication to voice leading, it is neither specific nor prescriptive: a tritone requires resolution *at some point*, but when? The placement of events in time clearly defines the duration for which stabilities or instabilities are prolonged, so their distribution can have a significant effect upon the prevailing sense of energy.

And, of course, this issue is not tied exclusively to harmonic elements. Melody and form also rely on distribution patterns in the creation of an overall sense of order. The issue, then, becomes rhythmic, depending upon durational impulse. As individual note durations are grouped together, rhythmic patterns are born, and at a local level this process in itself can be enough to create a sense of energy if used in a certain way.¹³ However, the process of combining durations into successively larger units offers a significant sense of impulse at higher structural levels: two phrases of the same duration have an equal and stable impulse; two of different durations have an unequal and unstable impulse. Whilst this type of analysis is nothing new,¹⁴ there is a specific realisation of impulse in the music of Shostakovich that is essential to his control of energy.

¹³ This will be discussed in more detail in Chapter 4.

¹⁴ See, for instance, Cooper and Meyer, 1960:1-11, or Lerdahl and Jackendoff, 1983:12-35.

In order to outline issues of methodology used in this thesis, it is useful to turn now to Symphony No.8 (ii). As shown in Example 1.4, the opening of this movement consists of a rising chromatic line in the lower voice, from the initial D^b towards the upper A^b of bar 12.

Example 1.4 Symphony No.8 (ii) – Opening Phrase

46
Allegretto ♩ = 132

However, this ascent occurs in three stages – commencing respectively in bars 1, 5 and 8 – with each entry varying the pattern. Of these, it is the high A^b of bar-8 that marks a point of intermediate arrival, as it anticipates the ultimate A^b goal of bar 12. This leaves the central ascent – from bars 5 to 7 – to act as an interruption, reinitiating and repeating the opening D^b, but now on the less stable second beat of the bar.

This interruption has additional consequences: it undermines what could, in theory, constitute an 8-bar, symmetrical phrase. As shown in Example 1.5, the extremities of the phrase comprise 4-bar units, each further sub-divisible into two 2-bar units. In combination, these 8 bars could have offered a theoretically stable structure due to the temporal equality of the two parts, and with the lower G[♯] forming the pivotal link.

Example 1.5 Symphony No.8 (ii) – Theoretical, Symmetrical Version

46
Allegretto ♩ = 132

But the insertion of the extra three bars destabilises the phrase as a whole by undermining this potential for symmetry. This complete process is shown in the upper part of Example 1.6 overleaf. Moreover, there are two turning points within this balance of symmetrical and asymmetrical elements: the initiation of the second ascent, and the displaced G^{\sharp} of bar 7. As shown in the lower part of Example 1.6, these points fall respectively at the points of negative Golden Section (GS-) and positive Golden Section (GS+).¹⁵

¹⁵ Throughout this thesis 'GS' is used as an abbreviation for 'Golden Section' or 'Golden Sectional' (depending upon context), while the expression 'at GS' denotes the phrase 'at the point of Golden Section'. 'GS+' is used to refer to an arrangement in which the larger portion occurs first; 'GS-' to the opposite. Similarly, 'SY' abbreviates 'Symmetry' or 'Symmetrical' (depending upon context), while the expression 'at SY' is used in place of the phrase 'at the point of symmetry'. It should be noted that GS+ does not necessarily refer to the point of Golden Section within the work or movement as a whole: it is possible to calculate points of Golden Section (and, for that matter, symmetry) within any expanse of music (for example, there is a point of Golden Section within a 10-bar phrase, within a sonata-form exposition, or within a symphony as a whole). In subsequent (longer) diagrams, figure (f) and bar (b) numbers are shown. All diagrams are drawn to scale.

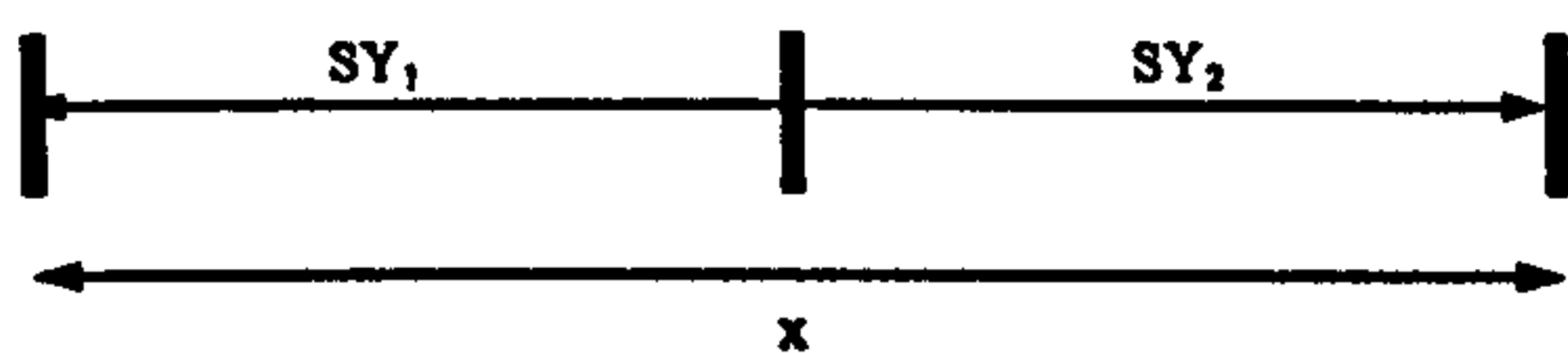
Example 1.6 Symphony No.8 (ii) – Opening Phrase Structure

The image displays a musical score for the opening phrase of Symphony No. 8 (ii). The score is annotated with structural markers and labels. The first system, measures 1-10, features two 'SY' annotations with arrows indicating spans. A bracket labeled '3 Extra Bars' spans measures 5-7. The second system, measures 11-13, features 'GS+' and 'GS-' annotations with arrows. A vertical dashed line at measure 11 is labeled 'Pattern Broken', and another at measure 12 is labeled 'Pattern Resumed'. The tempo marking 'Allegretto $\text{♩} = 132$ ' is present at the beginning of the score.

It is necessary at this stage to digress briefly, to consider the significance of these proportional relationships in a wider sense. Example 1.7 summarises both SY and GS ratios, showing the mathematical principles that are applied throughout this thesis.¹⁶

Example 1.7 SY and GS Section Ratios

Symmetry (SY)



Ratio Equivalence

$$SY_1 : x = SY_2 : x$$

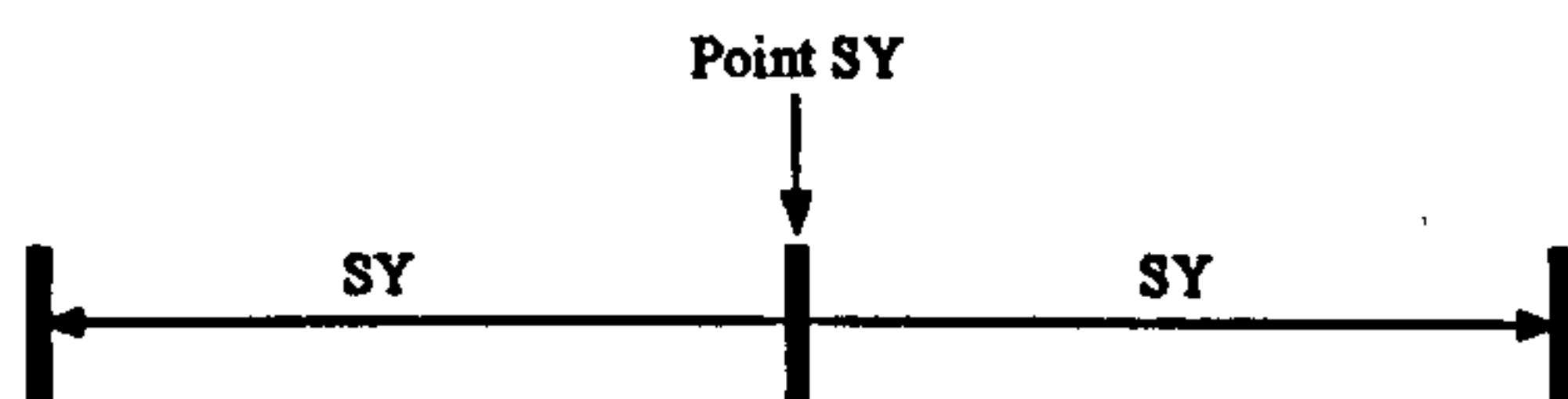
If $x = 1$,

$$SY_1 = 0.5 \text{ and } SY_2 = 0.5$$

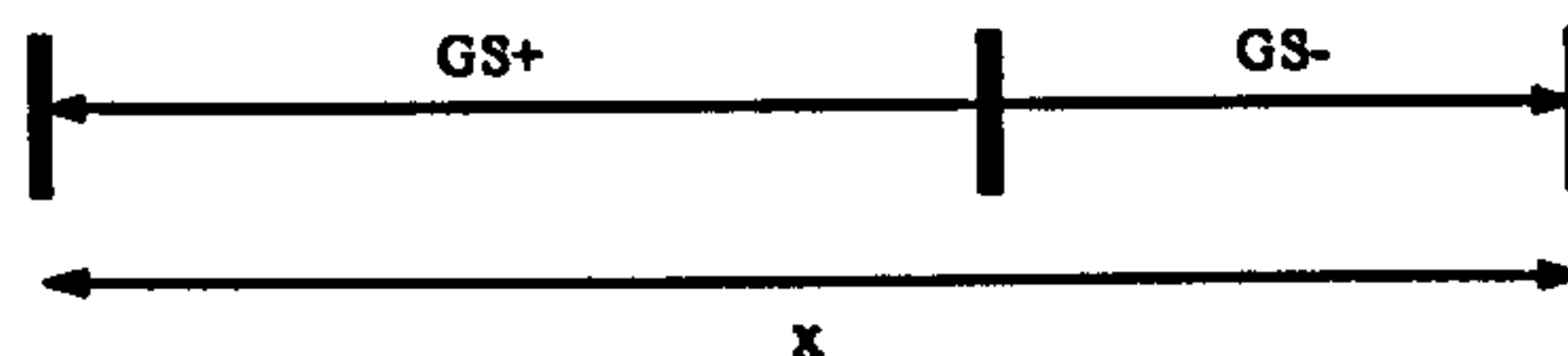
therefore,

$$SY_1 = 0.5x \text{ and } SY_2 = 0.5x$$

As SY_1 and SY_2 are equal, symmetry has only one perspective, and one point of division:



Golden Section (GS)



Ratio Equivalence

$$GS+ : GS- = x : GS+$$

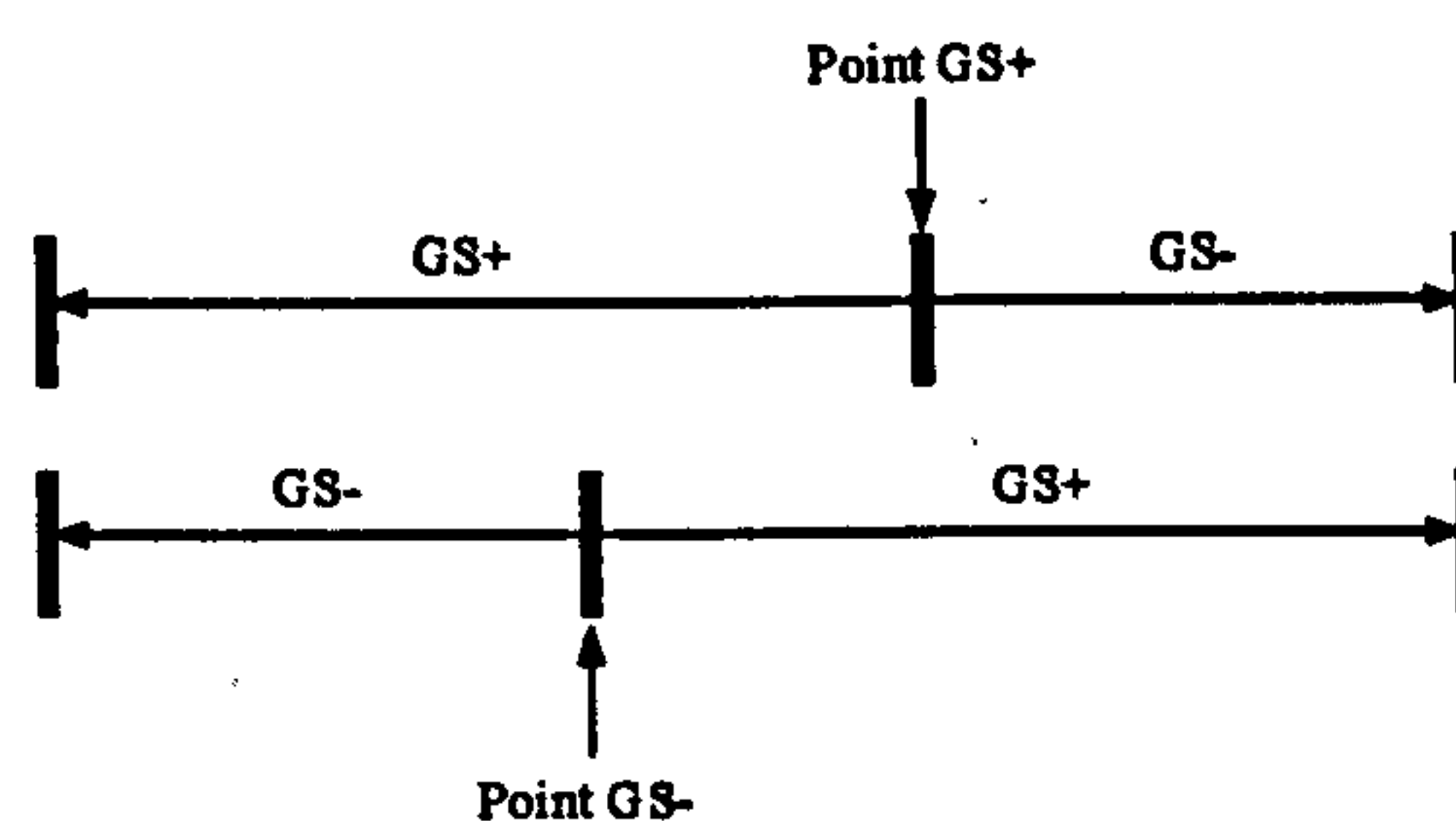
If $x = 1$,

$$GS+ = 0.618 \text{ and } GS- = 0.382$$

therefore,

$$GS+ = 0.618x \text{ and } GS- = 0.382x$$

As $GS+$ and $GS-$ are not equal, Golden Section has two perspectives, and two points of division:



Regarding symmetry, this system of balance is ubiquitous and obvious in both the natural and man-made worlds. We are surrounded by symmetry in so many aspects of our lives that we rely on its stabilising function continuously. Consider, for instance, the importance of symmetrical order in a chair, a pair of trousers, a game of football, a

¹⁶ There are several ways to derive GS. I use its reciprocal 0.618 (rather than 1.618) for ease of application, and I calculate it using the formula $GS+ \div x$ rather than $GS- \div GS+$. Both formulae (theoretically) offer the same result due to the ratio equivalence, but may vary in practice depending upon accuracy levels. I use the former as it reflects its musical application here: *when* the point of division occurs relative to the whole duration is the primary question. Consequent balance or imbalance is the by-product of this decision. The figures 0.618 and 0.382 have been rounded to three significant figures; they are, in fact, irrational.

wheel or an aeroplane: each relies on symmetry for its very functionality. And, most importantly, human beings are symmetrical (outwardly at least), as are many other living creatures. This is of additional significance, for it provides a model for many of the previously listed man-made items. We observe symmetry in the natural world, and then we use it creatively, not least in music, wherein both the frequency ratio of octaves (itself based partly on a natural phenomenon) and the regular subdivision of rhythmic units hinge upon symmetrical relationships. In particular, it is in the process of phrase structure that symmetry is used most apparently in Western art music, with its capacity to stabilise through balanced antecedent and consequent units.

The significance of Golden Section, by contrast, is somewhat more contentious, a factor no doubt related to its subtler and less understood role in the natural world. Nevertheless, it often functions with comparable importance as a distribution ratio, appearing most regularly in phyllotaxis (the structural packing of seeds or stems in plants), various marine and land animal shells (which comprise Golden Sectional spirals), and even proportional aspects of the human body.¹⁷ This prevalence is again transferred into the man-made world, and there have been many investigations charting its significance throughout the arts.¹⁸ In music, too, there have been studies either of Golden Section in general,¹⁹ or in the music of specific composers.²⁰ However, with respect to Shostakovich's music, aside from brief references, such as Fanning's discussion of the finale from String Quartet No.8 (Fanning, 2004:130), and one short (and somewhat unconvincing) attempt to apply

¹⁷ For a fuller account of Golden Section in the natural world, see Hambidge, 1967:3–14, Ghyka, 1977:87–110, or Livio, 2002:92–123.

¹⁸ See, for instance, Ghyka, 1977:111–174, Lawlor, 1982:6–89, or Elam, 2001:12–100.

¹⁹ See, for instance, Rogers, 1977, Dorfman, 1986, or Condat, 1988.

²⁰ Golden section has been found, for instance, in the music of Haydn, Mozart and Beethoven (Sidorowicz, 1981), Debussy (Howat, 1983), Sibelius (Condat, 1988), and Bartók (Lendvai, 2000). For a summary of additional examples, see Howat, 1983:186–193.

various mathematical systems to this music by Iain Strachan,²¹ I am unaware of any detailed consideration of proportional distribution.

Yet the directional energy of Example 1.6 is the direct result of a proportional phrase structure, with SY and GS used in tandem to control the unfolding of events. Importantly, the simultaneous presence of both retains elements of their individual normative functions elsewhere, both in nature and the arts. SY creates wholeness through stable equivalence, meaning consequent balance relies upon durational replication. As such, its centre is not so much a focal point – a place where something important is *sited* – as a functional point. What is significant about SY formations is the equivalence of their parts; that equivalence leads to stability, through the experience of completion.²² In the extract from Symphony No.8 (ii), stability is set up, broken, and then re-established, by manipulating the cellular construction and placement of material to form (and de-form) SY units. Thus the phrase as a whole goes through phases of stasis and dynamism as it unfolds.

By contrast, GS creates an unequal distribution, and one that often implies a more dynamic sense of momentum, up to and away from its point of division. This point is therefore focal as well as functional, its dynamism coming both from its unequal subdivision of space and time, and the fractal-like infinite repeatability of the GS ratio (GS+ : GS- = . x : GS+). Our perception of the difference between SY and GS will be discussed in greater detail in Chapter 10; at this stage it is necessary simply to note that they offer different ways of subdividing time, and have differing qualities and characters as drawn from their natural and constructive contexts. In

²¹ See Strachan's website, *Number Ciphers, the "Kontakion" Motif, and Other Codes*. I say unconvincing, as its mathematical approach at times seems divorced from how this music actually *sounds* – a problem, to be discussed shortly, that this thesis will make every attempt to avoid.

²² This will be discussed in greater depth in Chapter 10.

music, too, we can experience this distinction, as highlighted by the opening of Symphony No.8 (ii). As shown in Example 1.6, GS is not used to stabilise or destabilise metrical impulse, but instead provides a means of distributing particular turning points within the evolution of the phrase. The events at GS- and GS+ respectively offer the listener the first comprehensible point of departure from the SY structure, and the link that later reinitiates the SY pattern (as shown in Example 1.5). As such, essential moments are made focal using GS, pacing the phrase in a particular manner that allows dynamic motion towards and away from these points.

In order to highlight the flexibility of proportional analysis as a means of accounting for the evolution of energy, it is useful to return to the opening of the Tenth. As shown in the upper part of Example 1.8, a sense of regular, SY rhythmic subdivision is more difficult to discern here, due to the lack of an obvious tactus and metre. Instead, the listener is presented with a degree of emptiness rather than any clear grouping or metrical impulse, as was the case in the Eighth (Example 1.6). It is only retrospectively that the groupings of Example 1.8 become possible, and even then, there are various ways to group bars. Assuming a 1-in-a-bar tactus, it is possible for a listener, for instance, to hear bar 4 as an up-beat to bar 5 (suggesting a 4-bar grouping), or as a new down-beat, similar to bar 1 (suggesting a subdivision into 3-bar units). The presence of an ambiguous SY organisation contributes significantly to the sense of 'absence' regularly identified here.²³ Nevertheless, there is one moment when all three grouping systems converge: the onset of bar 13. And this is also a crucial point in the harmonic evolution – the first clear perfect cadence, and a stable modulation to G major. Stability is thus reinforced by its placement within the phrase, falling on a strong beat no matter which SY grouping system is experienced.

²³ For example, see Fanning, 1988:11.

Example 1.8 Symphony No.10 (i) – Proportional Pacing of Opening Phrase

The image displays a musical score for the opening phrase of Symphony No. 10 (i). The score is presented in three staves. The first staff is annotated with 'SY' (Symmetrical Units) and shows three units: a 4-bar unit, a 3-bar unit, and a 2-bar unit. The second staff is marked 'Moderato ♩ = 96' and 'p', with measures numbered 1, 5, 10, and 15. The third staff shows 'Point GS+' and 'GS+'/'GS-' annotations, indicating groupings of notes. The annotations 'GS+' and 'GS-' are placed above and below the notes, respectively, with arrows pointing to the notes. The 'Point GS+' annotation is placed above the first note of the first staff. The 'GS+' and 'GS-' annotations are placed above and below the notes in the second and third staves. The annotations 'SY' are placed above the notes in the first staff. The annotations '4-bar units', '3-bar units', and '2-bar units' are placed below the notes in the first staff. The annotations 'Moderato ♩ = 96' and 'p' are placed below the notes in the second staff. The annotations 'Point GS+' and 'GS+'/'GS-' are placed below the notes in the third staff.

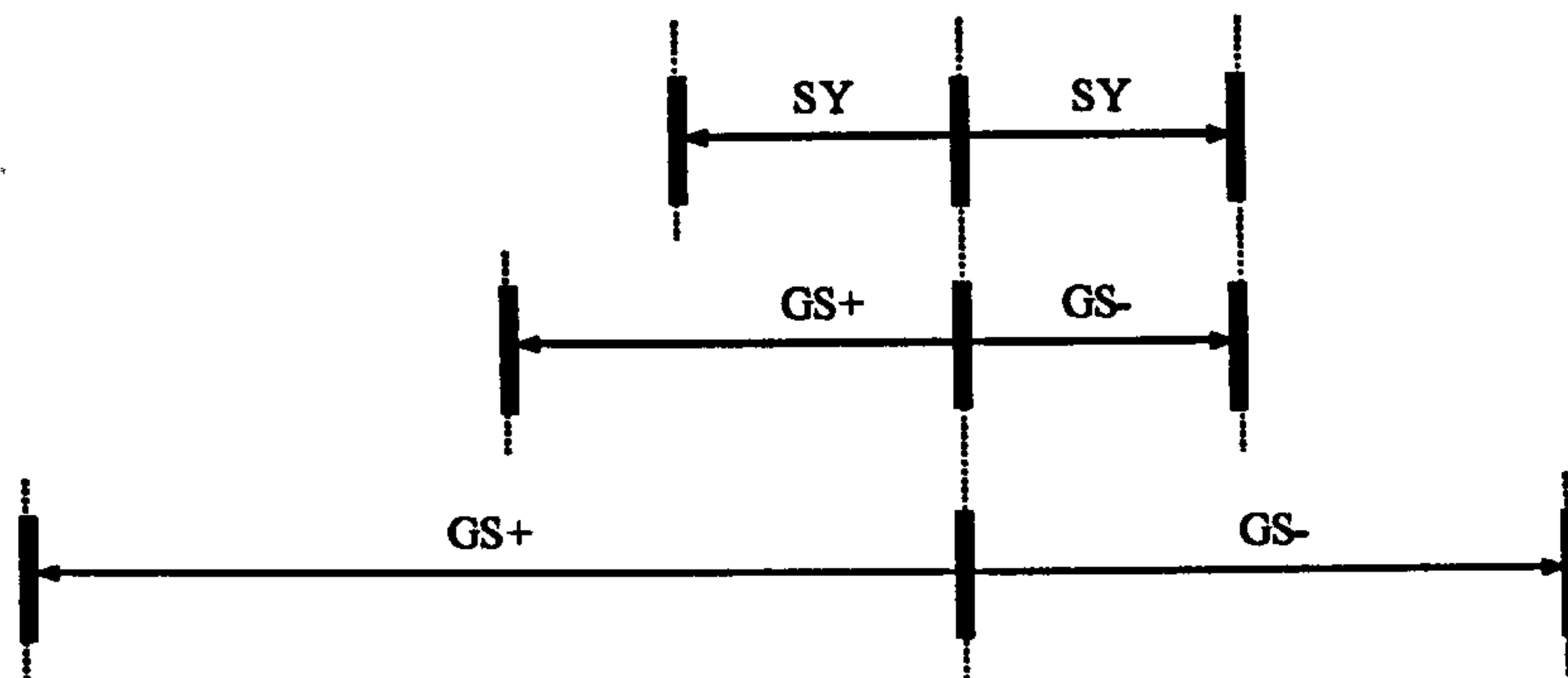
Despite the unclear phrase structure in this extract, it nonetheless has a sense of contour that goes beyond a single impulse towards the bar-13 cadence. Its shape is also directed by the melodic surge in the lower voice, towards and then away from the high F^{\sharp} of bar 9. As shown in the lower part of Example 1.8, this pitch (or, to be absolutely precise, point $GS+$ within that $F^{\sharp} - GS$ in an absolute sense) acts as an axis about which essential points of harmonic stability and instability are distributed, each according to the $GS+$ ratio. As such, it offers not just a focal point within the melody, but also acts as a turning point for the main tritone-led resolution; its directionality counterbalances the lack of clarity in the metrical organisation.

To summarise at this stage, a comparison of these two extracts (Examples 1.6 and 1.8) reveals the significance of proportional distribution in contributing towards a sense of directionality, and, consequently, energy. This comparison also demonstrates an important distinction between SY and GS, as related to their natural contexts: notionally SY (or its absence) can bring about stasis (or undermine it); GS is more dynamic, offering a means of citing focal points. But there is one further aspect of proportional analysis that is of vital importance in the present thesis; this concerns the grouping of multiple proportional links. In the extract from the Eighth, shorter SY segmentations nest within longer ones, creating balance through self-replication at multiple structural levels. Yet in the Tenth, that process is not possible due to the lack of clear metre: in the absence of a regular pattern, metrical 'emptiness' is experienced. Instead multiple proportional relationships focus upon the F^{\sharp} as an axis point. Each of these arrangements offers a particular grouping pattern; there are three such patterns that recur throughout Shostakovich's symphonies. These are shown in Example 1.9.

Example 1.9 Axial, Cumulative and Enclosed Proportions

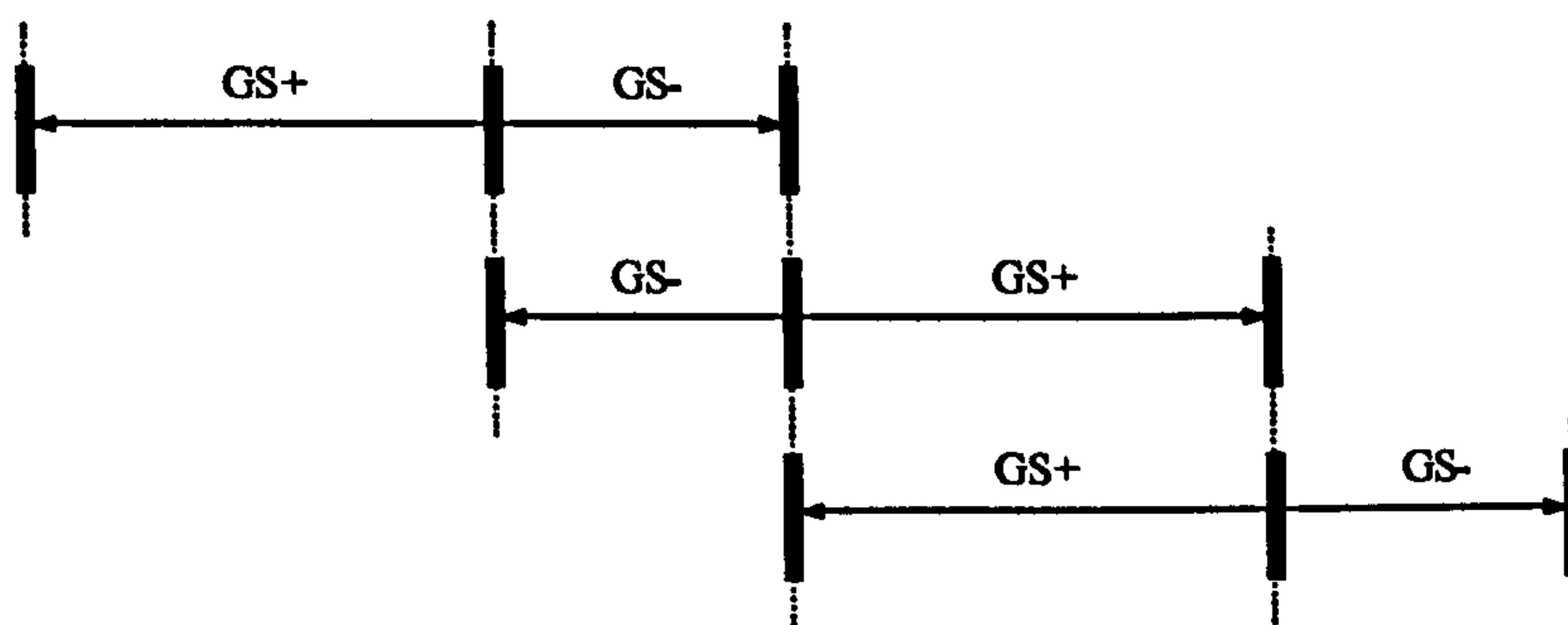
Axial Proportions

– Create a focal point; variants include end- and beginning-weighted versions



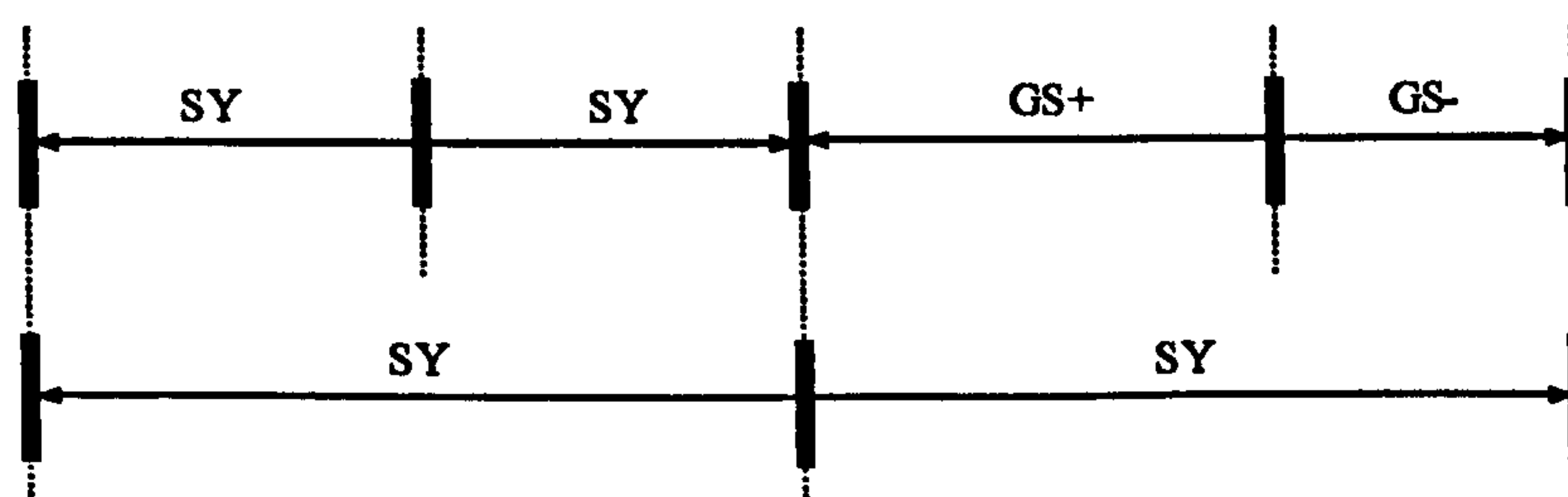
Cumulative Proportions

– Create dynamic evolution and momentum between divisions



Enclosed Proportions

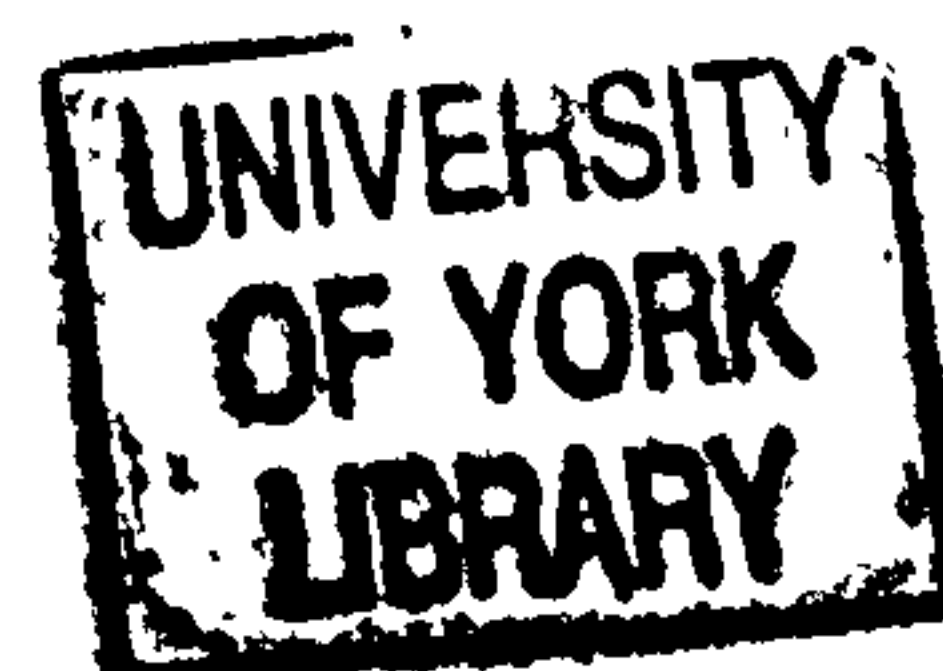
– Create stasis, stability and completion, and project hierarchical subdivision



Theoretically, a number of individual proportional links could interact in any number of ways, yet the three models in Example 1.9 each have a specific effect upon the prevailing sense of energy. In the first, a particular point becomes pivotal for all proportions: these will be termed *axial* proportions; they serve to reinforce focal

points in the music. The opening of the Tenth offers an example of an axial organisation. As shown in the second arrangement of Example 1.9, a succession of proportional links will be termed *cumulative* proportions: they create dynamism and momentum by continually linking successive points of division; they have no logical point of conclusion, as this overlapping process could continue indefinitely. In the final model, layers of proportional division are nested fully within one another: these are *enclosed* proportions, and create an overall balance and stability; the coincidence of multiple layers projects points of division to higher structural levels, thus creating hierarchical subdivision and balanced closure. The opening of Symphony No.8 (ii) offers an example of this process, and of the effect when that model is broken down.

This typology is of recurring significance in Shostakovich's music. Crucially, the particular SY or GS orientation of individual elements is of secondary importance to their overall shape in combination. As such, those incarnations in the diagram represent just three particular possibilities: enclosed systems could also be achieved, for example, by a GS subdivision at the highest structural level. But what remains constant is the *effect* each group of proportions generates: axial proportions highlight focal points; cumulative proportions create dynamism and momentum; enclosed proportions establish stasis and stability. It is often the case that these three options occur independently at different points in a work and, as will be seen, at these moments a clear sense of focus, dynamism or stasis is created. Also, aspects of each can occur in combination. In this case, the listener hears not just a dialectic between instability and ultimate stability (as exposed through GS and SY), but also the opposition created by simultaneous arrangements.



Impulse and Distribution II: Higher-Level Proportions

Example 1.9 represents different theoretical systems of architectonic nesting, while Examples 1.6 and 1.8 demonstrate their application over brief musical phrases. Yet it is easy to imagine how this principle can be applied to spans of longer duration: a work subdivided into two equal sections may feel balanced and complete; a work in which the main climax functioned as a GS+ axis point may reinforce a sense of motion towards and away from that moment. The same principles used to consider local proportional interactions might therefore be applied to consider any duration. Essentially, important points of structural division are identified and then cross-referenced in order to observe whether they form SY or GS relationships.

This leads to an oft-cited criticism of proportional analysis, expressed here by Mario Livio:

Any time you measure the dimensions of some relatively complicated structure...you will have at your disposal an entire collection of lengths to choose from. As long as you can conveniently ignore parts of the object under consideration, if you have the patience to juggle and manipulate the numbers in various ways, you are bound to come up with some interesting numbers. (Livio, 2002:47)

Certainly this is true, and Livio's dismissal of several so-called examples of GS is compelling. However, music comes with a predetermined set of hierarchies that exist without recourse to proportional placement. In sonata form, for instance, the onset of the development and recapitulation, or the distinction between first- and second-subject entries, creates an in-built network of relationships irrespective of any SY or GS distribution. However, SY and GS can, in theory, reflect and consolidate these

hierarchies. In preparing this thesis, I have considered and cross-referenced some 10,000 points of structural division within Shostakovich's symphonies; clearly some relationships are considered more important than others, and there is a level of subjectivity involved in choosing which relationships are deemed significant. But this selectivity has taken place in as musical a way as possible: my primary goal is to uncover proportional links that correspond to the way in which I hear this music. I am therefore not interested if, say, the transition between two variations of the second subject might fall at GS- within a sonata movement, as this is probably not a moment that is structurally memorable to the listener.²⁴ However, if the *development* were to fall at GS-, then its proportional placement would be more significant, as a pre-existent hierarchical relationship would be consolidated and reinforced proportionally. In other words, only events of equivalent structural significance are proportionally cross-referenced here. So whilst this approach does 'conveniently ignore' parts of the structure, as Livio condemns, it does so in a way that complements any realistic listening experience.

To continue using Symphony No.8 (ii) as an example, the movement as a whole has the form ABAB[A+B]. The onsets of each of these sections are the most significant points of division within the movement in terms of its form. As such, it would be interesting if their distribution formed SY or GS patterns, as this would shed light upon high-level organisation as a way of containing (and contributing to) lower-level motion. There are certain issues of methodology that require clarification in order to consider this. First, to estimate *how long* each of these sections lasts requires a decision to be made as to the units in which this will be measured. As there are

²⁴ Of course, if that transition were used in a particularly idiosyncratic manner within the movement, then any proportionality regarding its placement would begin to take on greater significance.

numerous changes in metre and tempo, bar counting becomes invalid, as the way the music is experienced *in time* will be conditioned by those changes. In this thesis, I therefore measure the length of sections temporally, dividing the number of beats of the pervading tactus by the tempo; here is the calculation for the first A section (figures 46–53) of Symphony No.8 (ii) as an example:

$$\frac{(56 \times 4) + (9 \times 3) + (1 \times 5)}{132}$$

$$= \underline{1.939 \text{ minutes' duration}}^{25}$$

Of course, listeners do not perceive absolute clock-time any more than they perceive bar numbers, as they do not have any fixed sense of minutes and seconds. Nevertheless, the above methodology takes account more fully than bar-counting the sense of *relative* duration; this phenomenon *is* perceptible, and contributes significantly to balance and imbalance, and, by implication, to stasis and dynamism.

However, this raises an important question: as temporal duration is determined in part by the source of the music, durations may vary between different performances/recordings. To offer a standardised approach, all calculations in this thesis follow the tempi indicated in the score.²⁶ Yet this remains a problem, for the extent to which energy might be *perceived* is not conditioned wholly by the score, but can also be shaped by individual performance interpretations and deviations. Indeed, Shostakovich himself often performed his music rather differently from his own

²⁵ All data in this thesis is calculated at base-10, and to 3 decimal places. This third decimal place is necessary given the minuteness of durations that are, at times, under consideration. In this example, 1.939 minutes thus equates roughly to 1 minute and 56 seconds. As shown, this method also allows the assimilation of metrical variations, as these can be accounted for within the numerator. The treatment of *ritardandi* and *accelerandi* will be considered shortly.

²⁶ There are a few discrepancies between editions; on the whole I follow the markings of the Collected Works. Where discrepancies become problematic concerning the calculation of proportions, those movements will not be addressed until Chapter 10, wherein a more detailed discussion of this issue will take place.

tempo indications. This issue will be considered in more detail in Chapter 10, in light of both documentary evidence, and the findings of the present thesis; for now, it remains a question of methodology. To this extent, I am working under the assumption that the score embodies the most authoritative representation available of Shostakovich's conception of the music: there is extensive evidence to suggest that he considered tempi carefully;²⁷ significantly, his scores are replete with specific metronome markings. Given that performance variation will always be rooted in the score, consideration of score-based durations remains valid: it is performance variation that is the issue, not the validity of the score itself.

In Symphony No.8 (ii) – according to the score – divisions within the formal structure occur at the following moments:

Start, A1 (f46)	0 mins
B1 (f53)	1.939 mins
A2 (f64)	3.995 mins
B2 (f67)	4.949 mins
[A+B] (f70)	5.574 mins
End	6.547 mins

Given this array, it is possible to cross-reference each point in order to verify if SY or GS relationships exist. Using this methodology, there are no *exact* matches, but there are several near-matches: the return of theme A at figure 64, for instance, falls remarkably close to GS+ within the entire movement. In fact, it falls short by 0.051 minutes, or 7.344 crotchet beats (roughly 2 bars), according to the score.²⁸ Such a discrepancy highlights an important issue for proportional analysis:

²⁷ Again, this will be discussed in detail in Chapter 10.

²⁸ This is calculated as $6.547 \times 0.618 = 4.046$, leading to a discrepancy of $4.046 - 3.995 = 0.051$. At the prevailing tempo of $\text{♩} = 144$, this equates to $0.051 \times 144 = 7.344$ beats.

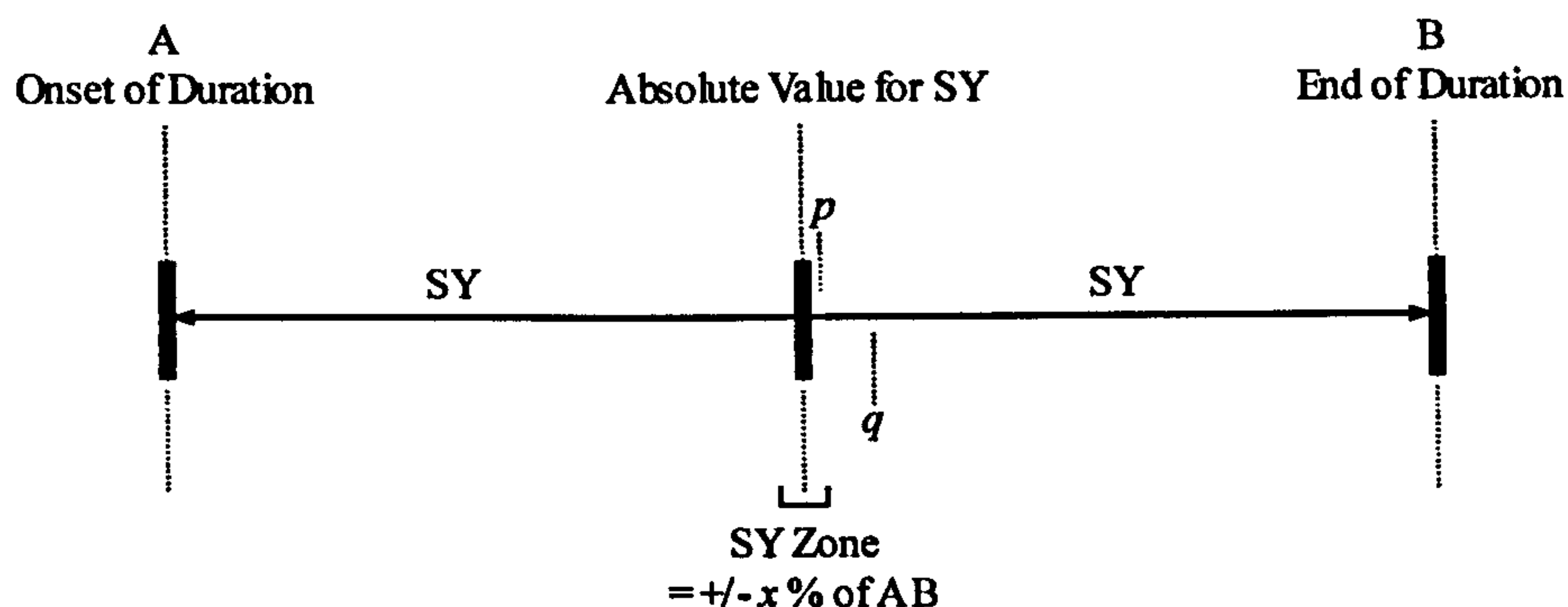
The precision with which proportions may be ascertained in a musical score is not reflective of an equal degree of precision with regard to the audible discernment of proportions during the actual musical experience. (Dorfman, 1986:74)

It is important, therefore, to analyse proportional data with this in mind, for while there is clearly a need for accuracy, to subscribe dogmatically to total precision would fail to reflect the rather less specific extent to which we are capable of perception. Further, it would suggest strongly the notion of design or intention, an issue for which there is conflicting evidence.²⁹

The accuracy with which precise proportions can be experienced must vary with respect to the total duration under consideration; to sense a one-second discrepancy in a ten-second extract might be easy, but in a ten-minute extract, it would be impossible. So, for points of structural division to be considered *proportionally distributed* as defined in this thesis, they must fall within a zone that surrounds the absolute theoretical values for GS-, SY or GS+, and the size of that zone must vary with respect to the total duration under consideration; this can be achieved by means of percentage. Example 1.10 demonstrates this 'zone principle': there is an SY zone that is $x\%$ of the value of AB.³⁰ In this example, point p falls within the zone of SY, so is considered to constitute a significant SY division of AB; point q does not fall within the zone, so is disregarded with respect to SY.

²⁹ This will also be discussed in more detail in Chapter 10.

³⁰ Similarly, there is a zone of GS- and a zone of GS+, each of which is $x\%$ of the total AB.

Example 1.10 Proportional Zone Principle

Importantly, this methodology allows the percentage value of x to remain constant while AB varies: AB could be a few bars or an entire movement. But how should we determine the fixed value of x ? Example 1.11 cross-references pairs of formal subdivisions (shown in the outer columns) from Symphony No.8 (ii) in order to ascertain whether other subdivisions come close to GS-, SY or GS+ therein. The central three columns reveal which subdivision comes closest to these three theoretical points, while values show the percentage deviation from those absolutes.³¹

Example 1.11 Symphony No.8 (ii) – Cross-Referenced Formal Divisions

Start Point	Closest Point to GS-	Closest Point to SY	Closest Point to GS+	End Point
Start, A1 (f46)	B1 (f53) +10.34%	B1 (f53) -1.46%	B1 (f53) -13.26%	A2 (f64)
Start, A1 (f46)	B1 (f53) +0.98%	B1 (f53) -10.82%	A2 (f64) +18.92%	B2 (f67)
Start, A1 (f46)	B1 (f53) -3.41%	B1 (f53) -15.21%	A2 (f64) +9.87%	A+B (f70)
Start, A1 (f46)	B1 (f53) -8.58%	A2 (f64) +11.02%	A2 (f64) -0.78%	End
B1 (f53)	A2 (f64) +30.11%	A2 (f64) +18.31%	A2 (f64) +6.51%	B2 (f67)
B1 (f53)	A2 (f64) +18.36%	A2 (f64) +6.56%	A2 (f64) -5.24%	A+B (f70)
B1 (f53)	A2 (f64) +6.42%	A2 (f64) -5.38%	B2 (f67) +3.52%	End
A2 (f64)	B2 (f67) +22.22%	B2 (f67) +10.42%	B2 (f67) -1.38%	A+B (f70)
A2 (f64)	B2 (f67) -0.82%	A+B (f70) +11.87%	A+B (f70) +0.07%	End
B2 (f67)	A+B (f70) +0.91%	A+B (f70) -10.89%	A+B (f70) -22.69%	End

³¹ So, for instance, the top row shows the duration from the opening A1 up to A2 at figure 64. The entry of B1 is the closest formal subdivision to all three points (given that it is the *only* formal subdivision between A1 and A2), yet it is significantly closer to SY than to either GS- or GS+. In fact, it is -1.46% of the total duration from A1 to A2 away from SY; this is calculated as:

$$\frac{1.939 - (3.995 \times 0.5)}{3.995} \times 100 = \underline{\underline{-1.46\%}}$$

This equates to B1 falling 0.058 minutes, or 7.656 crotchet beats, earlier than the value of absolute SY.

Close inspection of the percentage margins in Example 1.11 reveals a significant number falling within +/- 1.5%: these are shown shaded. There is then a substantial gap to the next figure of -3.41%. This is a recurring norm throughout the symphonies: a saturation of relationships within a +/-1.5% margin, and then a considerable gap to the next proximate interaction. As such, to satisfy the aforementioned concern regarding our inability to perceive temporal absolutes, and the need for a constant value, x , to determine a proportional zone, +/-1.5% will be used throughout this thesis as a standard accuracy margin; all proportional relationships presented from now fall within these limits. On rare occasions, however, the music has significant proportional relationships that are outside of these boundaries, up to (but never exceeding) a maximum of +/-2.5%. I have at times included these proportions if I believe them to be essential to a work; where this has taken place, they are marked clearly by the symbol * in diagrams. Importantly, this methodology has developed out of the durational data itself, rather than being imposed artificially.

One final methodological issue requires clarification: the treatment of *ritardandi* and *accelerandi*. The calculation of these tempo modifiers is complex, as there is significant potential for performance variation: gradual, exponential, or sudden, and any small variation therein. Yet that fact reflects an important principle: they are *modifiers*, used to articulate an underlying set of tempi; it is this set of tempi that is of primary importance. Further, in Shostakovich's work, the vast majority of these modifiers are used over small durations – often one bar – and are distributed regularly throughout a movement. Consequently, their effect is minimal upon the prevailing proportions of relative sections.

To test this theory, Symphony No.8 (ii) again provides a case study. Example 1.12 reproduces Example 1.11, now taking account of one possible interpretation of modifiers: *accelerandi* are taken at a constant rate of increase; *ritardandi* are calculated as a drop to 50% of their starting tempi, again at a constant rate of decrease; the *poco stringendo* into figure 67 is taken as the mid-point of the surrounding tempi.³²

Example 1.12 Symphony No.8 (ii) – Percentage Margins with Tempo Modifiers

Start Point	Closest Point to GS-	Closest Point to SY	Closest Point to GS+	End Point
Start, A1 (f46)	B1 (f53) +10.37%	B1 (f53) -1.43%	B1 (f53) -13.23%	A2 (f64)
Start, A1 (f46)	B1 (f53) +0.85%	B1 (f53) -10.95%	A2 (f64) +18.60%	B2 (f67)
Start, A1 (f46)	B1 (f53) -3.52%	B1 (f53) -15.32%	A2 (f64) +9.60%	A+B (f70)
Start, A1 (f46)	B1 (f53) -8.9%	A2 (f64) +10.34%	A2 (f64) -1.46%	End
B1 (f53)	A2 (f64) +29.65%	A2 (f64) +17.85%	A2 (f64) +6.05%	B2 (f67)
B1 (f53)	A2 (f64) +18.01%	A2 (f64) +6.21%	A2 (f64) -5.59%	A+B (f70)
B1 (f53)	A2 (f64) +5.69%	A2 (f64) -6.11%	B2 (f67) +2.9%	End
A2 (f64)	B2 (f67) +22.63%	B2 (f67) +10.84%	B2 (f67) -0.96%	A+B (f70)
A2 (f64)	B2 (f67) -1.12%	A+B (f70) +10.94%	A+B (f70) -0.86%	End
B2 (f67)	A+B (f70) -0.28%	A+B (f70) -12.08%	A+B (f70) -23.88%	End

As can be seen, whilst percentage deviations change, these changes are never substantial in comparison to Example 1.11. Crucially, shaded proportional links remain within the +/-1.5% margin.

There are, of course, a few occasions when modifiers are used over longer durations, but, in these instances, they are normally dictated by interim metronome markings: figures 17–27 in Symphony No.5 (i) offer an example of this process. In the third movement of the Tenth – which has an unspecific *accelerando* marking at figure 131 lasting for 12 bars – there are no interim markings, but even here, this modifier has little proportional impact, as it is offset by a 6-bar *ritenuto* within the

³² So, for instance, the duration of A1 to B1 (figures 46–53) is now calculated as:

$$\frac{(56 \times 4) + (5 \times 3) + (1 \times 5)}{132} + \frac{(4 \times 3)}{138} = \underline{1.935 \text{ mins}}$$

Using this formula, points of structural division fall at the following moments – A1: 0; B1: 1.935; A2: 3.984; B2: 4.955; A+B: 5.58; End: 6.603.

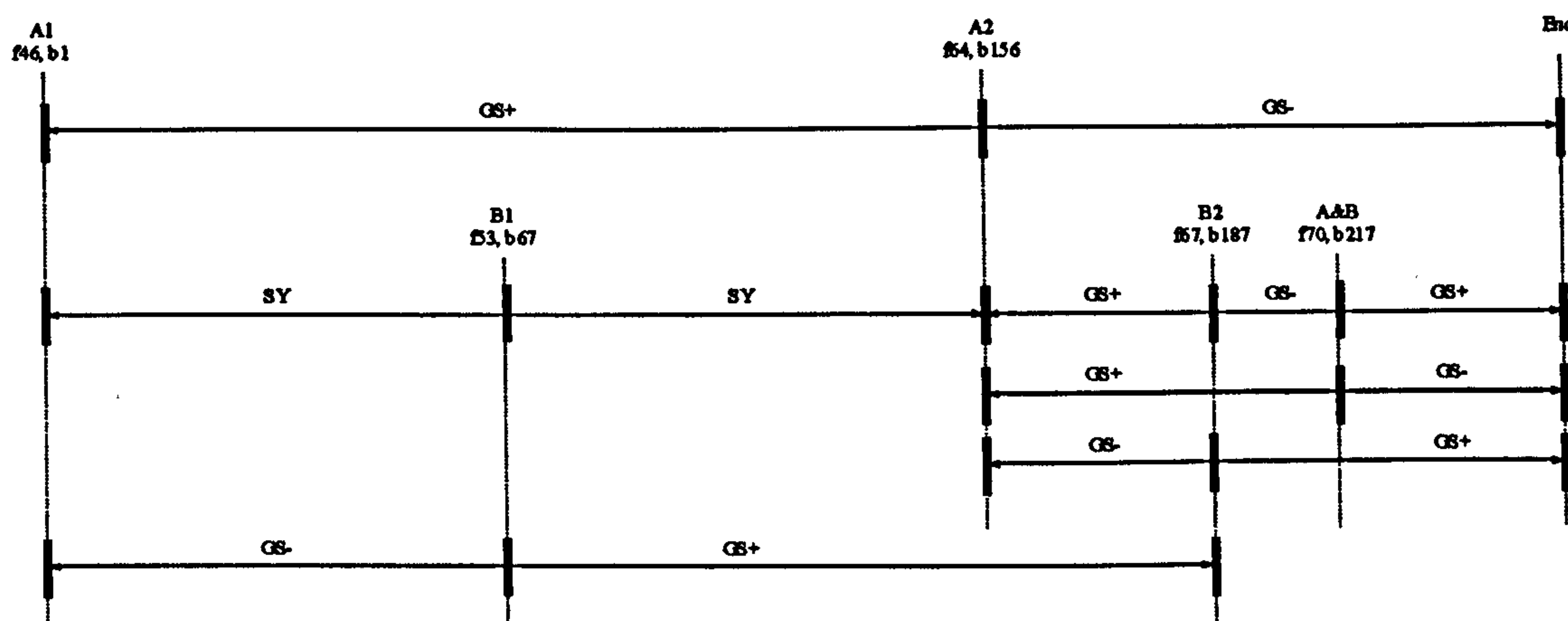
same section (prior to figure 139). So even in this example – one of the longest unspecified tempo modifiers in all the symphonies – its effect is minimal in comparison to the main tempi and consequent durations.³³

A methodology that takes into account tempo modifiers is therefore unnecessary, given (a) their brevity, or their ebb and flow across movements, (b) the fact that their impact remains assimilated by the +/-1.5% margin and (c) that they are impossible to define fully, due to their lack of specificity and their consequent variability between performances. All subsequent analysis in this thesis thus avoids any attempt to pin down a specific calculation of modifiers, and will instead concentrate upon their underlying tempi, and the consequent overall durations of sections.

The methodology used in this thesis therefore strikes a balance between fluidity of approach – allowing a meaningful, musically valid, and aurally perceptible set of results – and rigour of methodology – allowing an accurate, objective and repeatable set of results. For although there is a degree of subjectivity in deciding *which* points to cross-reference within a work, once this has been decided, the mathematics used to determine proportional relationships will derive the same data no matter who performs the calculations. But there is one final, subjective stage to the methodology: the interpretation of proportional data. In the case of Symphony No.8 (ii), this process is straightforward, for all those proportional relationships of Example 1.10 that fall within the +/-1.5% margin represent potentially meaningful links within the form of the movement. As shown in Example 1.13, it is possible to construct a chart of these relationships.³⁴

³³ There are a few longer, unspecified *meno mosso* and *più mosso* markings in the Second and Third Symphonies. Their calculation will be discussed in Chapter 10, where these works are considered.

³⁴ It is this type of chart that will be used for the remainder of the thesis to represent proportional links.

Example 1.13 Symphony No.8 (ii) – Proportional Distribution of Form

What is more, it is possible to describe the interaction of multiple relationships in this chart using the same terminology developed for low-level proportions in Example 1.9. In this way, the return of A at figure 64 acts as an axis within the movement, cited at GS+; all other formal divisions are distributed about this point. B1 sits at SY up to figure 64, offering some sense of balance between themes in the initial phase of the movement. From figure 64 onwards, a series of compressed and synthesised stages are distributed according to the more dynamic GS ratio; this compression is therefore reinforced by an increase in density of proportional relationships in the latter stages of the movement. That these proportional links are all enclosed within the background GS+ placement of A2 further emphasises the significance of that point. One final GS- relationship links the entries of theme B.

The overall proportional plan therefore reinforces musical process: figure 64 is an essential moment within the formal scheme and it is also the main climax of the movement; proportional distribution reflects and reinforces this significance. Crucially, it also offers balance and imbalance at the background level, contributing to the overall sense of energy through the same principles of balance, focalisation and completion that control the opening bars of the movement (see Example 1.6). Energy

can therefore be built into the actual distribution and consequent pacing of formal evolution.

Regarding the first movement of the Tenth, a greater degree of interpretation is necessary in order to construct a proportional chart, largely because there are more structural divisions in that movement. For instance, on a purely mathematical level, the development (figure 29) falls at GS- between the repeat of the first subject (figure 15) and the climactic peak of figure 51. But this is not a relationship that carries any aural significance even though it falls within the $\pm 1.5\%$ margin. However, the development also falls at GS- with respect to the start and end of the movement as a whole, forming a relationship that *is* relevant to the musical argument here. We have thus returned to Livio's earlier-noted concern, for a chart of Symphony No.10 (i) needs to filter the mathematical data in order to represent only those relationships that can realistically be experienced by the listener.

This thesis is not intended as a mathematical exercise; rather it uses mathematics to make possible certain music-analytic observations. The extent to which those observations are perceptible is therefore of the utmost importance, but this judgement necessarily involves a degree of interpretation that is incalculable in numerical terms. All analytical findings in this thesis demonstrate my own reading of the data, but, again, decisions are grounded in the hierarchies of the music itself. It is hoped, therefore, that these interpretations will always be perceptible by another listener. But, ultimately, in selecting 'significant' relationships, the methodology ends in a subjective reading – analysis, by definition, involves some degree of subjectivity as it is carried out by an individual analyst.

At this stage, I will not digress further into a discussion of form in Symphony No.10 (i) as this movement involves a degree of ambiguity that results from its climactic scheme: this issue will be taken up later in Chapter 5. However, it is necessary to note one additional element of its large-scale proportional design. We have seen in the Eighth that proportional distribution is a phenomenon that takes place simultaneously over different structural levels. In the Tenth, that simultaneity takes on a notable degree of specificity in its synthesis of tonal and proportional elements. As observed in Example 1.8, the opening phrase modulates from E minor to G major; these keys are used consistently throughout the movement, not least in their setting respectively of the first and second subjects in the exposition.

But, crucially, both harmonic and proportional means are used to highlight the F^{\sharp} of bar 9. Shostakovich is clearly focusing on this moment at an early stage in the work, and for good reason, for it takes on structural significance later. The lack of clarity over a single point of recapitulation in this movement is a commonly discussed issue, but the moment generally considered as structurally functional is figure 47 (Fanning 1988:28f). This view is supported by an essential connection between structural levels: just as the bar-9 F^{\sharp} sits at $GS+$ within the opening phrase, so too at figure 47 an F^{\sharp} -rooted recapitulation (Neapolitan to the tonic E) is sounded at $GS+$ within the movement as a whole. A local seed is therefore composed out over a much longer duration. This is nested structure, Russian Doll style.

Shostakovich and the Russian Doll: Dimensions of Energy in the Symphonies

As we have seen in these brief examples, proportional relationships occur both within metrical, phrase-level organisation and at the highest level of formal organisation. And if proportions are encoded into both small- and large-scale time spans, it follows that this process will also function at any intermediate level; this is indeed the case. The notion of an architectonic, Russian Doll-like structure begins to emerge, wherein the background form (or largest Doll) defines the limits of the movement, while successively lower-level proportions (or smaller dolls) are nested within this shape. Importantly, this nesting process frequently conforms to one of the three patterns shown in Example 1.9, ensuring that individual proportional relationships continually work together to reinforce, and contribute towards, the evolution of energy. Further, as the first movement of the Tenth exemplifies, multi-levelled proportions can at times be directly self-replicating, such that large-scale relationships are realised in a more immediate manner through local incarnations.

And there is one final aspect of the Russian Doll effect: the nesting together not just of structural levels but of *parametric dimensions*. For energy is not simply the result of proportional structure: it additionally results from harmony (as described by Yavorskian voice leading), rhythm and timbre, not to mention those extra-musical dimensions that are so readily identified in Shostakovich's work. But in each dimension thus far considered we find energy, and in each, the music moves through phases of stability and instability, and of stasis and dynamism, as that energy evolves. Even the opening of the Tenth – a phrase that is far from 'energetic' in the sense of that work's second movement – is nonetheless directionally focused in the evolution

of the energy it does contain, and we can analyse that evolution by means of Yavorskian voice leading and proportional impulse.

As a further link between these two aspects, it is interesting to consider one final part of Yavorsky's theory. In analysing the 'temporal relationship between stable and unstable units', Yavorsky offers several possible combination types, suggesting that when both elements occur, and when stability is the hierarchical goal of instability, their 'optimum relationship is that of golden section' (McQuere, 1983:126ff). Clearly Yavorsky was aware of the tonal power of SY (in the functionality of the tritone, and also in melodic construction), but also seems to have considered GS significant as a particular form of durational balance (or, rather, of imbalance). Yavorsky recognised a link between harmonic energy and durational energy; this link can be found in various guises throughout Shostakovich's symphonies.

The opening of Symphony No.8 (ii), for instance, uses impulse as the primary means of generating directionality, with harmonic colour in the upper voice used to outline centricity more than to create directional voice leading.³⁵ Yet the opening of the Tenth offers the reverse: here, harmonic motion is the driving force, with rhythmic placement too ambiguous to offer the same immediate control as in the Eighth; it nonetheless shapes the overall phrase direction. It is this mixed weighting of, and interaction between, different parameters that offers such variety in the control of energy.

³⁵ One significant tritone (or, rather, implied tritone) exists between the G[♯] in bar 7 and the upper D[♭]. Here, the G[♯] gives way to A[♭] in the next bar. This is an example of a Yavorskian *half cadence* (meaning the resolution of one voice), and will be discussed in more detail in Chapter 6.

Further, timbre and texture can be used to reinforce (or contradict) dimensions of harmony and impulse; an example of this has already been seen in Symphony No.8 (ii), wherein the main climax of the movement occurs concurrently with the return of theme A at GS+ (figure 64). This simultaneous change in parameters reinforces the significance of this point. Likewise in the opening of the Tenth, the two sets of *crescendo/diminuendo* marks combine with two structurally important moments: the move away from the high F[♯] (a turning point within the melodic contour), and the point of harmonic resolution in G major. Thus melodic and harmonic schemes are reinforced at a more local level by these climactic surges, further emphasising their importance within the phrase. Also significant here is the entry of the upper D at bar 7: important within the textural evolution of the phrase, this moment also marks an immediate intensification due to its major ninth clash with the bass C. As such, it helps to compel the listener towards resolution; its shift onto E^b in bar 12 is crucial within the final cadential motion, for it offers the first two-voice tritone at the end of that bar. Further, it enters at a point of rhythmic significance – the convergence of 2-bar and 3-bar grouping (see Example 1.8 above) – offering a degree of re-initiation of pulse following the preceding hemiola. Again, surface details of timbre and texture serve to reinforce an underlying pattern.

My primary thesis, therefore, is that energy emanates from multiple parametric dimensions within this music. But, like the Russian Doll, the product of a multi-layered structure is not a series of independent, concurrent processes, but a single entity that involves the nesting and combining of different parameters. The overall sense of energy therefore results from multi-dimensional relationships; at times

parameters combine, at other times they conflict. This evolution determines the way in which the music unfolds, as different phases of stasis and dynamism prevail within and between dimensions. And the product of this nesting – the overall evolution of energy – ultimately dictates large-scale direction, and delineates a single, self-contained structure. Each individual symphony may thus be regarded as a fully-nested Russian Doll; by unpacking those dolls using the methodologies developed in this chapter, it is possible to trace the forces responsible for the sense of energy that has become so defining of Shostakovich's symphonic language.

Chapter 2

A Soviet Artist and a Creative Answer (Part 1) – A Task of Symphonic Proportions

The symphony has come for many to symbolise the ‘highest and most exalted form’ of orchestral music (LaRue et al., 2001:812). To write a symphony is therefore to join a particularly significant ancestry within Western art music – a lineage that extends back some 300 years. And Shostakovich belongs rightfully to this ancestry: he is widely regarded as the natural successor to Mahler, and one of the greatest symphonists of the twentieth century. The attainment of this position would be a considerable achievement for any artist, but for a *Soviet* artist of his time, it would have been even more difficult, for not only did the hands of history and modernism provide aesthetic imperatives, but so too did the hand of Stalin.

The title of this chapter comes from the famous ‘Soviet artist’s creative answer to just criticism’ affair;¹ it is introduced here as a metaphor for the wider relationship between state and artist. To embark upon a full discussion of musical and political contexts is a task beyond the scope of this thesis, but a summary of certain circumstances proves useful as a backdrop for detailed consideration of the music. Shostakovich’s situation and his consequent approach to symphonism are inextricably linked; the enduring success of his creative answer is thus rendered all the more remarkable when extracted from its original contexts.

The symphonic tradition that Shostakovich inherited was by no means static, but rather had been (and still remains) in a constant state of evolution since its

¹ As a specific incident, this will be considered in more detail in Chapter 8 in connection with the Fourth and Fifth Symphonies.

inception. In particular since Beethoven, symphonists have grappled in their search for an individual voice; as Bonds states, 'Beethoven could be neither copied nor ignored' (Bonds, 2001:837). What emerged was not the end of the symphony, as Wagner predicted, but its development 'according to personal motivations and beliefs rather than through conformity to an evolving standard, though the great traditions of the Viennese Classical symphony were seldom out of [composers'] thoughts' (Ellman, 1993:124). Beethoven had expanded the possibilities of the genre to such an extent that to compose a symphony subsequently carried considerable expectations. The consequence of this was,

The growing aesthetic imperative of originality. Novelty and innovation had always played at least some role in the aesthetics of music, but toward the end of the Nineteenth Century, originality began to assume unprecedented importance. No longer a merely desirable quality in a work, it was now considered an essential criterion of value, particularly in as weighty a genre as the symphony. (Bonds, 1996:5)

This originality is manifest in a wide range of variables, from nationalistic associations to issues of narrative and scope.² Further, the influence of Wagner exerted an additional force, and whilst he was not in any way committed to the symphonic genre, his music could nonetheless be described as symphonic in outlook and process. As such, along with Wagner's obvious influence upon composers such as Liszt, who developed the genre into the 'symphonic poem', he would also impress purer symphonists: Bruckner readily absorbed the expanded dimensions of Wagnerian harmony and timbre, whilst Brahms reacted against it by developing an aesthetic concerned more with internal possibilities than external Wagnerian grandeur. In

² For a fuller discussion, see Bonds, 1996:1-27.

Russia, Glinka was to have an influence similar to that of Wagner: although Glinka was not a symphonist, works such as *Kamarinskaya* and the opera, *A Life for the Tsar*, had a profound impact upon subsequent generations of Russian composers. Tchaikovsky famously asserted this lineage, observing that the Russian symphonic school was 'all in *Kamarinskaya*, just as the whole oak is in the acorn' (quoted in Taruskin, 1997:115).³ Subsequent Russian symphonists such as Borodin, Balakirev and Tchaikovsky would integrate Beethovenian and Glinkerian strands into their symphonic work.

By the onset of the twentieth century, significant diversification had taken place. Differences in style and process were profound, exemplified famously by the 1907 conversation between Mahler and Sibelius, in which Sibelius described 'the essence of the genre of the symphony to be its severity and style and the profound logic that created an inner connection between all motifs', to which Mahler responded, 'No! The symphony must be like the world. It must embrace everything' (quoted in Hepokoski, 2001:331). This opposition is borne out in works completed by each composer in that same year: the 'modern classicism' (Hepokoski, 2001:331) of Sibelius' 30-minute Symphony No.3 contrasts significantly with Mahler's 80-minute 'Symphony of a Thousand' (the Eighth), presenting a similar polarity to that seen between Wagner and Brahms a generation earlier. Additionally, by 1907 Elgar's First, Glazunov's Eighth, Rachmaninov's Second, Stravinsky's Symphony in E^b and Schoenberg's First Chamber Symphony had all been completed, each offering a different perspective upon the genre. Such a list, when combined with proximate

³ For more on the significance of Glinka, see Frolova-Walker, 1997:22–45, Taruskin, 1997: 25–47 & 113–51, or Maes, 2002:11–29.

works by Nielsen, Scriabin, Vaughan Williams and Ives, reveals the diversification of the symphonic canon between Beethoven and Shostakovich.

Through the Classical symphony, Beethoven inherited a relatively stable model with structural and stylistic parameters; 100 years later, the only fixed characteristics were its extended scope (in terms of duration, process, content and forces), its customarily tonal propensity, and its exaltation as an orchestral and public genre of stature and value. For most composers, the twentieth century thus offered significant flexibility towards symphonism, ensuring the continued possibility for, and drive towards, originality. But Shostakovich experienced the additional pressure of working in the Soviet Union, wherein the constituents of an acceptable national style were in a constant state of evolution, yet were continually held up, in whatever form the current vogue dictated, as an aesthetic imperative.

In particular, two important strands within Soviet musical thought emerged during the first half of Shostakovich's life. The first resulted largely from the work of Boris Asafiev, who sought to replace what he considered the outdated, scheme-driven model inherited from earlier Russian masters such as Rimsky-Korsakov, with a new focus upon music as an evolving process.⁴ Asafiev believed that,

If one examines a composition in its concrete reality...one must inevitably pass from the stage of the study of form-schemes...to the observation of the stages of motion in music or the processes of its organization, and...to the study of the *forces* which serve as causes or stimuli of motion. This is the area of musical kinetics.

(quoted in McQuere, 1983:227)

⁴ Asafiev's theories have a notable analogue in the Western concept of 'content-based form'. See Agawu, 1999:133–155, for an example of its application, in this instance to the symphonies of Brahms.

Over the course of numerous publications, Asafiev showed how,

Well known musical phenomena can lead to the intuition of motion. Instead of merely identifying important thematic, harmonic, or rhythmic ideas and patterns as unifying devices, stylistic norms or curiosities, Asafiev saw in them the source stimuli for process. He insisted that the study of musical works lead not to the systematization of devices within a single parameter, but the harmonic, thematic and rhythmic phenomena all be related to a unitary, integrated developmental process. (Haas, 1998:68ff)

Asafiev, along with the like-minded Vladimir Shcherbachev, eventually integrated this new philosophy into the mainstream education system; Shcherbachev's proposed syllabus at the Leningrad Conservatory from the mid-1920s included modules entitled 'Music's Temporal Nature', 'The Dynamics and Energy of the Material of Music' and 'Symmetry as a Figure'.⁵ The relevance of Asafiev's work to the present thesis is clear: music as energy was an important aspect of the emerging music theory of early twentieth-century Russia; the manipulation of energy will be seen as a defining aspect of Shostakovich's work. Whilst Shostakovich attended the Conservatory prior to this sea-change – he received a more traditional training from Maximilian Steinberg – he would no doubt have been aware of the new trend.⁶

Asafiev applied his theories particularly to the symphonic genre. His central premise that 'not every symphony is symphonic' (quoted in Haas, 1992:413) led to a

⁵ For a complete course outline, see Haas, 1998:255–69.

⁶ In fact, Shostakovich was quick to condemn Asafiev for his later assimilation of Soviet ideologies, once stating that, 'I have met many good people and many bad people in my life, but never anybody more rotten than Asafiev' (quoted in Wilson, 2006:344). Nevertheless, Asafiev's significance as the 'founder of Russian musical science' (McQuere, 1983:249) is unquestionable.

conception of ‘symphonism’ that instead rested upon several core principles that make reference to process and motion:⁷

- (i) organic growth as a central characteristic;
- (ii) the importance of dramatic conflict and its path towards resolution;
- (iii) the coherence of a symphony into a single entity;
- (iv) form as a kinetic process and not an architectonic scheme;
- (v) symphonism as a stream of musical consciousness;
- (vi) capturing in sound something of the experience of being human.

At first, Asafiev’s theories offered artists a fresh perspective upon symphonic composition, and one that appeared distinctly modern in light of the prevailing norm at that time. Yet this was soon to be overshadowed by a new, all-controlling artistic imperative generated within the Party: Socialist Realism. This principle was defined in the *Soviet Encyclopaedic Music Dictionary* as, ‘a doctrine of artistic creation founded on the truthful, historically valid representation of reality in its revolutionary development’ (quoted in M. Brown, 1974:557), and was ‘formulated broadly from the start, in order to allow flexibility for interpreting its doctrinal implications in accordance with political exigency’ (M. Brown, 1974:557).

Socialist Realism soon grew into one of the guiding dogmas within the arts, following Stalin’s slogan that artists should pursue, ‘The development of cultures national in form and socialist in content’ (quoted in Frolova-Walker, 1998:334). In a 1937 speech regarding opera, for instance,

⁷ These developed over the course of his output, and have been extracted from Haas, 1992: 413, 415, 416, 418, 419, 429. For more discussion of Asafiev’s theories, see McQuere, 1983: 217–49, or Haas, 1998:53–80.

Stalin...emphasized three points: the subject matter was to be socialist, a realist musical language bearing the imprint of its national origins was to be adopted, and a new breed of hero was to be drawn from contemporary Soviet life. (Frolova-Walker, 1998:363)

But, as Maes has stated, ‘The application of socialist realism to music was a far from self-evident step’ (Maes, 1996:257). As he goes on to observe, possibilities included simple association or paraphrase of political issues, or the more sophisticated approach of Asafiev, who integrated Socialist Realist language into his principle of *intonatsiya* (Maes, 1996:257).⁸

Fundamentally, the issue remained one of function: the place of music within the broader context of Soviet life. Frolova-Walker has since observed the consequent quasi-religious overtones of the Socialist Realist ideology, noting that,

Socialist Realist artworks were thus offerings to the State made by humble, self-effacing craftsmen...Anyone styled as a “genius” ought to be toppled from his pedestal and shown his place as a mere cog in the machine...[This led to] the gradual erosion of striking individual style and its eventual submission to the collective style of Socialist Realist music. (Frolova-Walker, 2004:105, 106 & 117)

As such, as Innokentii Popov has observed, ‘the fundamental principle of Socialist Realism is manifest in the striving to express the thoughts and feelings of the masses and to speak to those masses in an understandable language’ (quoted in M. Brown, 1974:567). The nemesis to Socialist Realism, in the eyes of the Party at least, was formalism – the cardinal aesthetic sin of art for art’s sake.

⁸ As Maes states, ‘A musical *intonatsiya* appears when sound effects from the real world are used in a musical phrase: the music retains from the original effects precisely those qualities that convey a meaning or elicit an emotion’ (Maes, 1996:257).

As Frolova-Walker notes, 'since the creation of music was regarded as much the same as any industrial process, composers, as "cultural-workers," were expected to serve the state' (Frolova-Walker, 1998:336); under Soviet pressure, they were required in particular to produce the perceived zenith of musical heroism: symphonies. As in the West, the Soviets elevated the Beethovenian symphonic model as a paradigm of artistic achievement, but focused upon its perceived revolutionary ingredient, capable of reflecting the heroic spirit of the age (Fairclough, 2006:3ff). And under the influence of Paul Bekker's notion of the 'community-forming' power of the Beethovenian/Mahlerian symphony,⁹ there was an ever-growing significance placed upon the genre. Up-to-date readings of political ideologies were essential, ensuring that 'Soviet music was not stagnant...composers were always moving producing up-to-date music, reflecting the slightest shift in the Party's ideological policies and marking every heroic achievement' (Frolova-Walker, 2004:108–9). The 'imperative of originality' in the Soviet Union thus remained strong, but was subsumed by the drive towards political conformity. As Fanning has stated, therefore, to be a Soviet symphonist involved steering 'a careful course between the Scylla and Charybdis of "formalism" and "epigonism" (loosely speaking, over-intellectuality and lack of originality)' (Fanning, 1993:293).

Many symphonies from this period used programme to embrace the most up-to-date realisation of Soviet ideologies. Yet others, not least Shostakovich's Fifth, were equally accepted despite their lack of explicit meaning, while works such as Knipper's Fourth – on paper, at least, much more in line with Socialist ideals – were rejected (Fairclough, 2006:21).¹⁰ Clearly, therefore, the axioms of originality and

⁹ See Schwarz, 1983:172ff, or Fanning, 1993:303.

¹⁰ For more detail on the development of the Soviet symphony, see Fanning, 1993:292–326, or Fairclough, 2006:1–45.

Socialist Realism were not a prerequisite for success, for part of that originality involved the integration of a symphonic technique worthy of the name, and comparable to the work of masters from the genre, such as Beethoven. Thus Asafiev's theories of symphonism endured as an additional imperative. But taken in isolation – without the equally important drives towards originality and Socialist Realism – such intellectualism may have been considered a sign of formalism. In short, all three axioms were paramount – originality, Socialist Realism, symphonism – and the perceived absence of any could constitute a debased symphonic language.

And, of course, this approach to the symphony was not simply desirable: it was a requirement. State control over music fluctuated as responsibility was assigned to different groups and individuals, including the Russian Association of Proletarian Musicians (RAPM) and later the Union of Composers, but culminated in a series of cultural purges under Andrey Zhdanov in the late 1940s known now as 'Zhdanovshchina'.¹¹ As Maes states, at different stages 'composers were obliged to attend meetings at which their work was discussed and criticized while it was still in progress...and to take account of their views' (Maes, 2002:254). Digression from Party expectations could have serious consequences, including the branding of an artist as an 'enemy of the People', and the consequent possibility of exile, imprisonment or even execution. There can therefore be no doubt that Shostakovich's creative freedom was constrained by these external pressures. But his creative answer was far from uniform.

¹¹ See Maes 2002:236–317 for a full analysis of the growth of Soviet control over music.

A Creative Answer

The scope of Shostakovich's symphonic writing is particularly wide: a breadth that at times draws from Wagnerian/Mahlerian grandeur, and at others from Brahmsian/Sibelian restraint, and seems to be under the influence of both Germanic and Russian schools. To trace all of these influences would run to an extensive list: Shostakovich stated in 1955, 'I feel that the more music a composer knows, the more original is his own music' (quoted in Haas, 2000:125). He has cited many different composers at various points in his life as influential; Boris Tishchenko recalls Shostakovich's quip, 'I'm omnivorous. I love all music, from Bach to Offenbach' (quoted in Nikolskaya, 2004:174). Consequently, his approach was highly varied: under the same title of 'Symphony' are works ranging from around 15 minutes in the case of the Second to over an hour in the Seventh; works scored for full orchestra, including four trumpets, eight horns, three trombones and two tubas in the Fourth, but for only strings, percussion and two solo voices in the Fourteenth; and works that use from one movement up to eleven.

This diversity is further expressed through the possible subdivision of his fifteen symphonies into two roughly equal groups consisting respectively of programmatic (Nos.2, 3, 7, 11, 12, 13 and 14) and non-programmatic (Nos.1, 4, 5, 6, 8, 9, 10 and 15) works.¹² The fact that half of these works (and maybe even more, if those that could be construed as having some form of covert programme are included) fall into the first group also reveals Shostakovich's accentuation of the dramatic

¹² Several works from this second group (particularly Nos.5 and 10) are further interpreted by critics and listeners alike to reveal additional programmatic subtexts. However, these aspects require a higher degree of individual interpretation than that associated with the explicit subtitles or texts of the first group, hence their placement in the latter category. Further, within the first group there are 'degrees' of programme, with explicit textual content at one extreme and suggestive subtitles at the other.

aspect of the symphony. Of those that explicitly follow a programme, almost all relate to highly political issues involving contemporary Soviet history, with only the Fourteenth breaking this model through its focus upon the subject of death (written at a time when Shostakovich was particularly unwell). Mahler's view of the symphony as 'like the world' and the drive towards Socialist Realism are somehow fused in Shostakovich's symphonies: Soviet politics played a vast role in Shostakovich's world and featured regularly in his music.

However, unlike many of his contemporaries, Shostakovich did not turn to programmatic, Soviet themes at the height of Stalinist control. Rather, during this time – from the turn of the 1930s up to the latter part of the 50s – he composed only one overtly programmatic work (the Seventh) and even this is not an explicit glorification of Soviet ideals, but a response to the war that had engulfed Leningrad (although this had indirect implications in the exaltation of Russia). As Fanning has posited regarding Symphony No.10,

His intention apropos the Tenth Symphony was 'to convey human emotion and passions'. This apparently anodyne phrase carries extraordinary implication in the heyday of Stalinism. Obeying it to the letter meant, in effect, providing an outlet for mass emotional needs – to mourn and to commemorate – which were too dangerous to vent in words or through any other art form. (Fanning, 2001a:294ff)

If Shostakovich did intend to communicate a covert anti-Stalinist message, then pure music was surely the only way to offer the necessary ambiguities without recourse to overt political statement or parody. This may provide some rationale for the apparent move away from programmatic works during this period.

To pursue an understanding of order within this seemingly diverse approach, it is necessary briefly to consider works in tandem with particular incidents in Shostakovich's biography. This is not to say that the music communicates that link – discussion here does not concern any perceptual association between context and music – but rather that the act of composition was inherently tied to biographical events.¹³ As a Soviet artist, Shostakovich inevitably experienced the power of the authorities, and there is no doubt that his evolution as a composer and as an individual would have been very different were it not for such pressures and constraints. At various points in his career, he was required publicly to denounce his shortcomings and promise future capitulation. His works were at times black-listed and banned from performance; he was stripped of his professorships in Moscow and Leningrad; and he even had cause to fear for his life, particularly in 1939, when he was reportedly summoned for interrogation following the execution of his patron, Tukhachevsky (Fay, 2000:99, 160 & 162).

Example 2.1 plots the chronology of the symphonies against principal biographical incidents, and reveals three overlapping periods of composition.¹⁴ As Taruskin has noted, Shostakovich's initial destiny was, ironically, probably as an opera composer and not as a composer of symphonies or string quartets, even though his reputation is now largely based on these genres (Taruskin, 2000:15). His First Symphony was written as a Conservatory assignment, showing the influence of his tutor, Maximilian Steinberg, in its formal (almost Classical) sophistication.

¹³ See Nattiez, 1990:17. The lack of separation between these two processes often leads to the type of interpretative readings discussed in the Preface.

¹⁴ Various commentators have grouped Shostakovich's work into different periods. The present subdivision is related solely to the symphonies.

Example 2.1 Chronology of the Symphonies

<p>Non-programmatic Symphonies:</p>	<p>No 1 (1925) 4 movements Conservatory assignment; constructive role of form essential to dramaturgy</p> <p>No 2 (1927) 1 movement Emphasis on theatricality, with choral finale; significant contrast with the First</p> <p>No 3 (1929) 1 movement Like Second in theatrical style and choral finale; higher degree of thematic manipulation</p> <p>No 4 (1936) 3 movements Fusion of complex formal process and highly theatrical style; not performed until 1961</p> <p>No 5 (1937) 4 movements Less complex in form and content than the Fourth, more conventionally 'symphonic' than the Second and Third</p> <p>No 6 (1939) 3 movements Diversity of styles (irreconcilably so?); long first movement with lighter second and third</p> <p>No 7 (1941) 4 movements 'Dedicated to the City of Leningrad'</p> <p>No 8 (1943) 5 movements Similar to the Fifth in form and content; thematic link with No. 7</p> <p>No 9 (1945) 5 movements Most 'Classical' (neo-classical?) of all the symphonies in style and form</p> <p>No 10 (1953) 4 movements Most careful balance of symphonic and theatrical elements; widely regarded as his most successful symphony</p> <p>No 11 (1957) 4 continuous movements Return to theatricality, use of folk material throughout</p> <p>No 12 (1961) 4 continuous movements Similar to Eleventh in structure and style; themes recur throughout</p> <p>No 13 (1962) 5 movements Reintroduction of text; each movement sets a different poem by Yevtushenko</p> <p>No 14 (1969) 11 movements Essentially a song cycle with texts by four different poets; subject of death is a recurrent theme</p> <p>No 15 (1971) 4 movements Return to non-programmatic, four-movement structure; style in keeping with the First</p>
<p>Programmatic Symphonies:</p>	<p>1925 Shostakovich graduates from Conservatory; he moves to a less conventional symphonic format</p> <p>1936 'Muddle Instead of Music' crisis; Shostakovich branded a formalist; he returns to the symphony after condemnation of his stage works</p> <p>1941 Siege of Leningrad begins</p> <p>Late 1940s Height of <i>Zhiznoshchina</i> and onset of Shostakovich's music is condemned and banned; he leaves the symphonic genre for 8 years</p> <p>1953 Death of Stalin and onset of the Thaw; Shostakovich returns immediately to symphonic composition</p> <p>1975 Shostakovich dies</p>
<p>Significant Biographical Details:</p>	<p>1925 Shostakovich graduates from Conservatory; he moves to a less conventional symphonic format</p> <p>1936 'Muddle Instead of Music' crisis; Shostakovich branded a formalist; he returns to the symphony after condemnation of his stage works</p> <p>1941 Siege of Leningrad begins</p> <p>Late 1940s Height of <i>Zhiznoshchina</i> and onset of Shostakovich's music is condemned and banned; he leaves the symphonic genre for 8 years</p> <p>1953 Death of Stalin and onset of the Thaw; Shostakovich returns immediately to symphonic composition</p> <p>1975 Shostakovich dies</p>
<p>Periods:</p>	<p>1. Exploration</p> <p>2. Maturity</p> <p>3. Experimentation</p>

It was an immediate success, and won the support of audiences and critics alike, ensuring that the young composer was taken seriously. Yet in his Second and Third can be found a more theatrical approach to symphonism, lacking the formal control of their predecessor. It is quite possible that they were conceived in part as a response to what Shostakovich saw as the restrictive nature of his own education (Wilson, 2006:42ff); Steinberg even seemed to have sensed this rebellion in his comments upon the Second: ‘Can this be the “New Art”? Or is it only the daring of a naughty boy?’ (quoted in Wilson, 2006:71). Further, their non-traditional forms betray a move towards the Asafievan conception of symphonism as a process rather than a specific scheme. In both, texts appear to have been grafted on at a later stage in the compositional process (Fay, 2000:39 & 52), and neither was conceived originally as a symphony *per se*; in both cases this title was added later. In fact, at one point both the Second and Third were posited as parts of a larger cycle of works dedicated to the revolution, yet this project was never completed (Fay, 2000:52). Instead, following the Third – a work that seems to offer a snapshot of compositional techniques to be explored in later music – Shostakovich turned away from the symphonic genre, instead focusing on opera as his primary artistic outlet.¹⁵

However, with the publication of the condemnatory ‘Muddle instead of music’ article,¹⁶ Shostakovich returned his focus immediately to symphonic work. The transition into the second compositional period thus began as a direct result of this crisis. In the Fourth Symphony, there is a synthesis between the formal and theatrical strands of previous efforts, creating a more unified and distinctive approach:

¹⁵ Shostakovich’s son Maxim has since revealed that the early Second and Third Symphonies fell out of favour with his father later in the composer’s life (M. Shostakovich, 1990:401).

¹⁶ This article appeared in *Pravda* in 1936, and vociferously condemned Shostakovich’s recent opera, *Lady Macbeth of the Mtsensk District*. See Chapter 8.

Shostakovich seems to have reached maturity through this synthesis. These first four works therefore constitute a period of exploration – of finding his symphonic feet, so to speak – within the possibilities and constraints of Soviet symphonism. Yet while the Fourth initiated his symphonic maturity, this work was not given its public unveiling until 1961, well after the death of Stalin, as Shostakovich withdrew it prior to its première. Instead, it was the Fifth, in the public's eyes at least, that consolidated his compositional maturity. Its more subtle integration of formal and theatrical elements confirms projects a style that would continue for some 20 years.

Shostakovich's next symphonic venture was his proposed *Lenin Symphony*, but plans seem to have been abandoned in favour of the purely instrumental Sixth Symphony that now stands in its place (Fay, 2000:115). Following this, comes the so-called 'war triptych' of the Seventh, Eighth and Ninth,¹⁷ written at successive stages during the German invasion of Soviet Russia. Each not only presents a different character and style, but also received an increasingly negative reception, from fervent adoration of the Seventh to outright condemnation of the Ninth. Additionally, there is an important thematic connection between the Seventh and Eighth, the first movement of the latter work using the 'war theme' from the former as the basis of its own first subject.¹⁸ Symphony No.9 was widely attacked under Zhdanov's purges, in part due to its apparent anti-heroic stance and ironic simplicity; this was not the 'Ninth Symphony' of Beethovenian stature that was expected. As a result, Shostakovich was once again branded a formalist, enduring unprecedented suppression. Hakobian describes the Ninth as 'the most striking *faux pas* ever

¹⁷ This term is used regularly: see Ottaway, 1978:33ff or Blokker & Dearling 1979:96. In Weinstein's 1997 film, he additionally includes Nos.4–6 under this title, referring instead to the war against Stalin.

¹⁸ Compare Symphony No.7 (i), fl.9, with No.8 (i), fl. For further discussion, see Gow, 1964:193, or Fanning, 2001b:134.

committed by Shostakovich' given the political climate at the time (Hakobian, 1998:190), while Maes views it more as 'a plea for artistic freedom' (Maes, 2002:357). Either way, Shostakovich was clearly affected by its icy reception, and did not return to the genre for another eight years.

As Fanning has observed, 'it is a sobering thought that the hostility of the post-war ideological climate in Russia might have put paid to [Shostakovich's] career as a symphonist, just as the tribulations of 1936 had blighted his prospects as an opera composer' (Fanning, 2004:32). Yet in 1953, with the death of Stalin and the onset of the Thaw, Shostakovich apparently felt the freedom again to return to symphonism, and soon released his Tenth – a project that he had, in fact, been working on covertly for some time. This symphony, above all, reveals Shostakovich at the height of his maturity; it is widely regarded as his greatest achievement (Maes, 2002:358), and with good reason, as it represents his most sophisticated integration of a rigorous symphonic form with an engaging sense of theatricality since the Fifth.

From the Eleventh onwards, there ensues a disintegration of that technique into more clearly defined elements, reigniting his earlier exploration of symphonic form. Initial experiments in the Eleventh and Twelfth saw the reintroduction of an explicit political programme, the use of a continuous form through conjoined movements, and thematic recurrences across each work. Further, Shostakovich promoted a deeper connection between the two symphonies, stating that the Eleventh and Twelfth actually form a diptych that should be played in the same concert (quoted in Nikolskaya, 2004:174). Their shared 'Revolutionary' programme confirms this connection, as does the appearance of snippets of the Eleventh in the latter work.¹⁹

¹⁹ See, for instance, figure 26 from Symphony No.12 (i), and compare with figure 71 from No.11 (ii).

From here, Shostakovich returned to the use of texts in Symphonies No.13 and No.14; their more experimental forms represent the composer at his most progressive, expanding the definition of symphonism. Particularly in the Fourteenth, the introversive tone and song cycle-like form betrays the influence of Benjamin Britten, who Shostakovich first met in 1960, and to whom the work is dedicated.

Interestingly, in the Fifteenth, Shostakovich returned in part to the formal and stylistic simplicity of the First and Ninth, yet with a degree of sophistication befitting the journey that had culminated in this cyclic conclusion; its subtle use of quotation again seeks to make reference outside the symphonic genre. His last foray into symphonism was not in the Fifteenth, however, but in his *Suite on Texts of Michelangelo Buonarroti* Op.145: Shostakovich's son, Maxim, was later to reveal that his father considered this work his Sixteenth in all but name (Redepenning, 1995:218). Like the Fourteenth, it sets a series of texts, confirming again its experimental approach to the symphony.²⁰

There are, of course, clear precedents for many aspects of Shostakovich's symphonism, not least in Mahler. In particular, as Fanning has noted, 'The Soviet Union has been the chief breeding-ground of the double-barrelled symphony' (Fanning, 1993:316); this is equally true of Shostakovich's output. That several of his works – the Second, Third, Thirteenth and Fourteenth – began life not as a 'symphonies,' but as a symphonic dedication, a symphonic poem, a symphonic cantata or a symphonic song-cycle, reveals this interest in moving beyond any sense of schematic norm. Further, the Seventh and Thirteenth were originally conceived as single movements, and were only later extended into multi-movement works. Even

²⁰ As this work was not in the end entitled Symphony No.16, it will not be discussed in any further detail in the present thesis; neither will any of the aborted symphonies.

his most progressive ventures have notable precedents: there had been many single-movement symphonies, not least Myaskovsky's Tenth in 1927; at the other extreme, both Vainberg's Eighth of 1964 in ten movements and Shchedrin's 25-movement Second of 1965 predate Shostakovich's 11-movement Fourteenth.²¹ Nevertheless, the diversity of Shostakovich's work reveals a strong drive towards exploration and originality; while his output was influenced by political factors, it also discloses an Asafievan conception of symphonism as a process more than a specific schema.

Shostakovich's success as a Soviet symphonist is without doubt related to his broad adoption of the three imperatives of originality, Asafievan symphonism Socialist Realism. Of these, however, it was the message of the work – its Socialist Realist ideology – that was, for the Party, of primary significance over aesthetic effect (Maes, 2002:348). Shostakovich's reputation (and very existence) rested on the ability to communicate this ideology, and whilst certain works were condemned, others, such as the Fifth and Seventh, offered the Soviet authorities exactly the type of heroic classicism they sought,²² ensuring his continued productivity. Yet the reason this music endures today is quite the opposite: when removed from the Soviet context, it stands up without reliance upon those ideologies. If Shostakovich's music has a 'double meaning', then surely this is it.

By implication, if the Socialist Realist element is so easily dispensable, his symphonic approach is not reliant upon the three imperatives listed above in equal measure, but is significantly biased towards originality and Asafievan symphonism. And to this extent, stripped of Socialist Realist subtexts, this attitude is no different from any other Western symphonist, for even Asafiev's theory of symphonism is

²¹ These examples are taken from Fanning, 1993:296 & 313.

²² This is Taruskin's term (Taruskin, 1995:25).

clearly in line with many non-Soviet views of the genre.²³ It is partly for this reason that his symphonies have proven so able to travel, for they rely on principles tightly integrated within the wider symphonic tradition, rather than being confined to a particular historical and cultural period. Interestingly, those works that are not as well-received today – the Second, Third and Twelfth – are those that rely more explicitly upon Socialist undercurrents. This may be coincidental, for the musical content in those works is regularly cited as less sophisticated than Shostakovich's norm,²⁴ but the overlap is nonetheless intriguing. To understand in more detail Shostakovich's approach to the symphony therefore requires its extraction from Socialist Realist contexts, and an examination of the musical grounds that allow the music's survival within the broader symphonic tradition. To this extent, three crucial processes can be seen at the highest level of structural organisation – opposition, unity and direction – each fundamental not only to the Asafievan conception of symphonism, but also to the wider genre.

Opposition, Unity and Direction

Despite significant diversities between the symphonies, Shostakovich consistently employs a range of differing movement types within a single work – a feature that allows considerable internal stylistic opposition. It is beyond the scope of this thesis to consider in detail the development of formal and stylistic 'standards' in symphonic composition, or extents of deviation from that paradigm. Instead, Shostakovich's approach to large-scale symphonic organisation can be considered relative to certain Russian theoretical work in this area. In particular, Mark Aranovsky offers 'a general

²³ For instance, in the work of Adorno; see, for example, Paddison, 1993:231–4.

²⁴ See, for example, Ottaway, 1978:14, 18 & 55.

abstract idea of genre, structure and semantics to form an overall invariant genre' (Aranovsky, 1979:17), which comprises four movements with certain normative parameters.²⁵ He links movement types to various 'states of Man' (Aranovsky, 1979:24): see Example 2.2.

Example 2.2 Aranovsky's Symphonic Paradigm²⁶

I <i>Homo Agens</i> (Action)	II <i>Homo Sapiens</i> (Meditation)	III <i>Homo Ludens</i> (Play)	IV <i>Homo Communius</i> (Communal)
Fast Tempo	Slow Tempo	Fast Tempo	Fast Tempo
Sonata	Binary form or sonata, sonata without development, ternary form, variations, occasionally rondo	Ternary form	Rondo, rondo-sonata
Predominance of a developed, yet subdivided and discrete, structure	Predominance of exposition throughout	Predominance of exposition throughout	Predominance of exposition throughout
A leading role given to tonality and harmony, use of development and discrete thematic structures	A leading role given to melodic structure	A leading role given to rhythm	Relative balance of means

Whilst Aranovsky qualifies that, in reality, an individual symphony is likely to diverge from this paradigm (Aranovsky, 1979:17), he maintains the validity of the invariant model as a point of comparison against the actual experience. Using this paradigm, Example 2.3 places the various movements (or subsections if appropriate) of Shostakovich's fifteen symphonies into these four groups, revealing a noticeably even distribution. In fact, almost all of the symphonies have a representative movement or section in each category, both in programmatic and non-programmatic works. Even those that lack, for example, a dedicated 'meditation', slow movement

²⁵ I am grateful to David Fanning for drawing my attention to the work of Aranovsky.

²⁶ Taken from Aranovsky, 1979:27. Aranovsky's work builds on that of Paul Bekker (Aranovsky, 1979:14), whose significance with regard to Soviet symphonism was noted earlier.

(such as the Fourth, Seventh or Tenth) compensate by casting the opening of another movement in a slower tempo, while the Sixth fuses its sonata-form first and slower second movements into one large and slow opening ($\text{♩} = 36$).²⁷ Further, the episodic nature of the single-movement Second and Third Symphonies allows their subdivision into similar categories; while they do not employ sonata form *per se*, processes of thematic opposition and development at times borrow from this principle (hence their placement in square brackets in the diagram).

Example 2.3 Categorisation of Movements using Aranovsky

Symphony	I. Action	II. Meditation	III. Play	IV. Communal
No.1	(i)	(iii)	(ii)	(iv)
No.2	[f13]	Opening & f56	[f30]	f69
No.3	[Opening]	f44 & f88	[f52]	f98
No.4	(i)	(iii): f152 & f238	(ii) & (iii): f191	(iii): f167
No.5	(i)	(iii)	(ii)	(iv)
No.6	[(i).....]		(ii)	(iii)
No.7	(i)	(iii): f72 & f134	(ii) & (iii): f121	(iv)
No.8	(i)	(iv)	(ii) & (iii)	(v)
No.9	(i)	(ii) & (iv)	(iii)	(v)
No.10	(i)	(iv): f144	(ii) & (iii)	(iv): f153
No.11		(i) & (iii)		(ii) & (iv)
No.12	(i)	(ii)		(iii) & (iv)
No.13	(i)	(iii) & (iv)	(ii)	(v)
No.14	(i) & (x)	(iv), (vi), (ix), & (xi)	(ii), (v) & (viii)	(iii) & (vii)
No.15	(i)	(ii)	(iii)	(iv)

The other 'gaps' in Example 2.3 concern the Eleventh and Twelfth, wherein their deviation could be explained by programmatic direction: perhaps, for instance, a dance was considered inappropriate in the Eleventh – a work concerned with 'The Year 1905'.²⁸ The categorisation of the Fourteenth is more problematic given its

²⁷ This movement will be discussed in more detail in Chapter 7.

²⁸ This was a year in Russian history that contained reverberations from the Russo-Japanese War, Bloody Sunday and the first Russian Revolution.

numerous and brief movements. In particular, the relative function of movements (i), (iii), (vii) and (x) could be divided variously between the first and last categories.²⁹

So, while there are deviations, the diversity offered by Aranovsky's paradigm is generally preserved – a diversity that is at times extreme (as in the Sixth) or at others ambiguous (as in the single-movement Second and Third). And there are several other norms that emerge. First, the categorisation of Example 2.3 regularly departs from Aranovsky's theoretical ordering of movements; Shostakovich's apparent preference was for a dance-like second movement, and a slower third. Only the Ninth, Twelfth and Fifteenth offer Aranovsky's ordering. In part, this arrangement is related to another preference: a slow first movement. Despite the fact that 'no major composer between Haydn and Mahler (in his Ninth Symphony) began a work with a complete slow movement' (Jones, 1993:33), this practice had become increasingly common after Mahler, not least in the Soviet Union. Of Shostakovich's fifteen symphonies, over half have first movements marked below $\text{♩} = 100$, including $\text{♩} = 46$ in the Second, $\text{♩} = 38$ in the Fifth, $\text{♩} = 36$ in the Sixth and $\text{♩} = 40$ in the Eighth, and only four – Nos.1, 9, 12 and 15 – could be described as a *sonata-allegro*. Consequently, greater contrast could be possible if a faster movement (such as the dance) were placed second. Temporal segregation and contrast, typical of symphonism, remains a guiding principle here in the formation of a symphonic whole, for despite the apparent freedom that Shostakovich exerts in the choice and placing of movements, there is a logic that holds true to traditional principles of balance: a feature that will be seen throughout this thesis.

²⁹ A different subdivision is proposed by Roseberry: see Roseberry, 1995:243. My grouping is focused upon the thematic link between (i) and (x) as the primary symphonic argument, and will be explored in Chapter 9.

While movement types offer some degree of internal diversity, a significant additional factor is the way this opposition is synthesised into an organic whole: music as process, rather than as scheme, as Asafiev asserts. It is through the relationship of one movement to another that this important criterion partly finds expression, creating symphonies that are inherently interlinked, rather than irreconcilably diverse. To test this claim, consider the feasibility of swapping the finales of, say, the Seventh and Eighth. Both are ultimately in C major, so overall tonal resolution would be retained; they each use similar orchestral forces, so climactic range would be unaffected. But clearly this suggestion is ridiculous: in no way are these movements comparable in their content, process or style, and their endings are worlds apart, each having a profound effect upon the overall emotional journey that takes place. Further, at a more obvious level, each briefly quotes material from its respective opening movement at its point of climax (after figure 207 in the Seventh, and at figure 160 in the Eighth), offering a vital cyclic element in the background structural shape. This process is common: most of the symphonies employ some degree of thematic recurrence or resonance across multiple movements, particularly in the Eleventh and Twelfth. In each case, a fundamental connection is created that offers unity in the face of stylistic diversity.

The use of segue links between movements offers another important unifying technique to which Shostakovich frequently turns. However, this is often effected not simply through *attacca* markings, but is actually written into the material: Example 2.4 transcribes the transitions into the finales of the Seventh and Eighth.

Example 2.4 Symphonies No.7 & 8 – Transition to Finale

Symphony No.7

IV

[147]

Allegro non troppo ♩ = 132

Symphony No.8

V

[124]

Allegretto ♩ = 138

As shown, in Symphony No.8, this link comprises a large-scale perfect cadence and a consequent resolution of prior chromatic tensions, allowing the finale to begin in a newly stabilised tonal region. In the Seventh, the opposite occurs, whereby the tied G pedal transfers the *instability* of the previous movement into the finale, but with an upper line that continues within this unstable mode. Clearly the large-scale sense of stability and instability is inherently bound into the way in which multiple movements function together. When combined with the issues discussed above, it is little wonder that the ‘swapping’ of these finales would be so unfeasible.

In fact, this type of movement-linking is common for Shostakovich. Example 2.5 charts its use, both in terms of subsections within a single movement, and through *attacca* markings between multiple movements. As can be seen, only two symphonies (the Fifth and Sixth) avoid some form of this technique.

Example 2.5 Use of Movement-Linking

Symphony	Movements (Shading shows link)
No.1	i, ii, iii-iv
No.2	(Parts 1-5)
No.3	(Parts 1-5)
No.4	i, ii, iii (Parts 1-4)
No.5	i, ii, iii, iv
No.6	i, ii, iii
No.7	i, ii, iii-iv
No.8	i, ii, iii-iv-v
No.9	i, ii, iii-iv-v
No.10	i, ii, iii, iv (Parts 1-2)
No.11	i-ii-iii-iv
No.12	i-ii-iii-iv
No.13	i, ii, iii-iv-v
No.14	i, ii-iii-iv, v-vi-vii, viii-ix, x-xi
No.15	i, ii-iii, iv

In addition, it seems that Shostakovich's preference was to connect later movements in a work, leaving the first, and often second, to stand independently in all but the fully continuous symphonies (Nos.2, 3, 11 and 12). In practice, this means that although, for example, Beethoven elides the last two fast movements in his Fifth, the movement order in Shostakovich's symphonies results in a norm of combining successive slow and fast sections.³⁰

Whilst thematic and structural links create a degree of integration, these effects never fully override the independence of individual movements. Even in the continuous Eleventh and Twelfth, it is straightforward to discern the onset of a new section. Example 2.6, for instance, demonstrates the transition between the third and fourth movements of the Twelfth. While the content of the former spills over into the finale, figure 92 unambiguously marks the onset of something new, thematically, tonally and stylistically. This is true of all the links noted in Example 2.5, so despite a unified conception of each symphony, internal opposition nonetheless persists.

³⁰ This, of course, has a significant precedent, particularly in nineteenth- and twentieth-century symphonies, such as those of Sibelius.

Example 2.6 Symphony No.12 (iii & iv) – Unity and Independence

IV The Dawn of Humanity

180

attacca

91 L'istesso tempo ♩ = 192

ff

ff

92

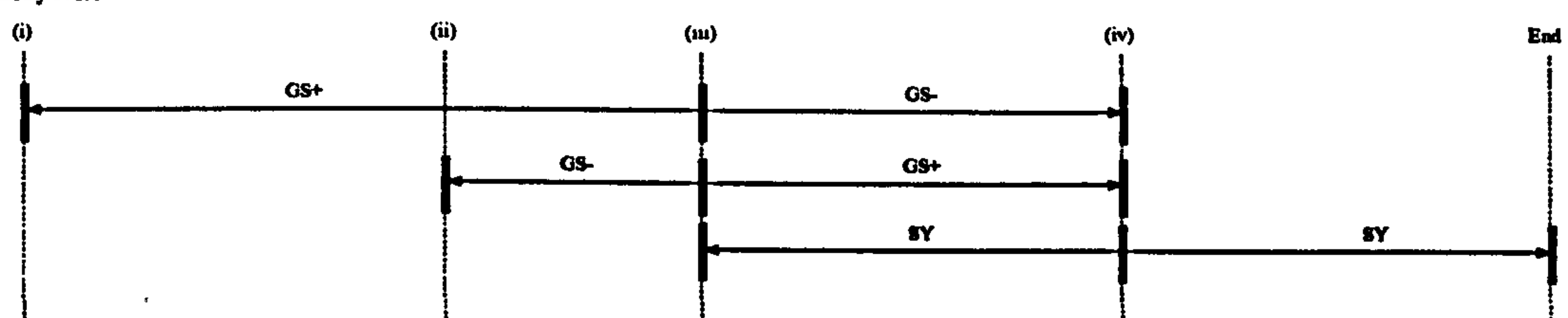
ff espress

The unity of each individual symphony is further reinforced by the durational relationship between its movements, a principle crucial to the thesis of proportional energy. In fact, the significance of this relationship is elucidated by the immediate effect of certain anomalies: consider, for instance, the brevity of the second and third movements in the Sixth relative to its initial movement, or the lengthy opening movements of the Eighth and Tenth. In each case, imbalance is clearly a desired effect and is largely dependent upon temporal ratios. Similarly, the brevity of Symphony No.9 (iv) renders it more transitional than structural, while Symphony No.4 (ii) is dwarfed by its neighbouring movements, offering a degree of respite relative to the more convoluted form and content elsewhere. Of course, this feature is important within the symphonic tradition as a whole, with disproportionately long finales in Beethoven's Ninth and Mahler's Second, or extended first movements in Tchaikovsky's Fourth and Fifth or Scriabin's Third. In each case, individuality results from that decision. But for Shostakovich, this process is remarkably precise.

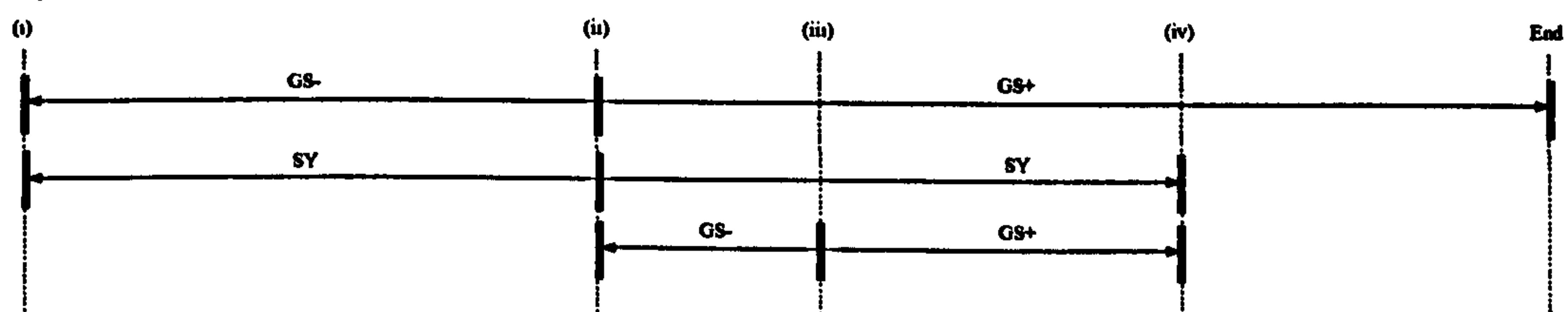
Example 2.7 offers a snapshot of this precision, by comparing the relative durations of movements from several of Shostakovich's four-movement symphonies. Examples have been selected from across his output, and offer a mixture of programmatic and non-programmatic works; they consistently reveal proportional distribution as a means of reinforcing high-level order.

Example 2.7 Movement Distribution Schemes

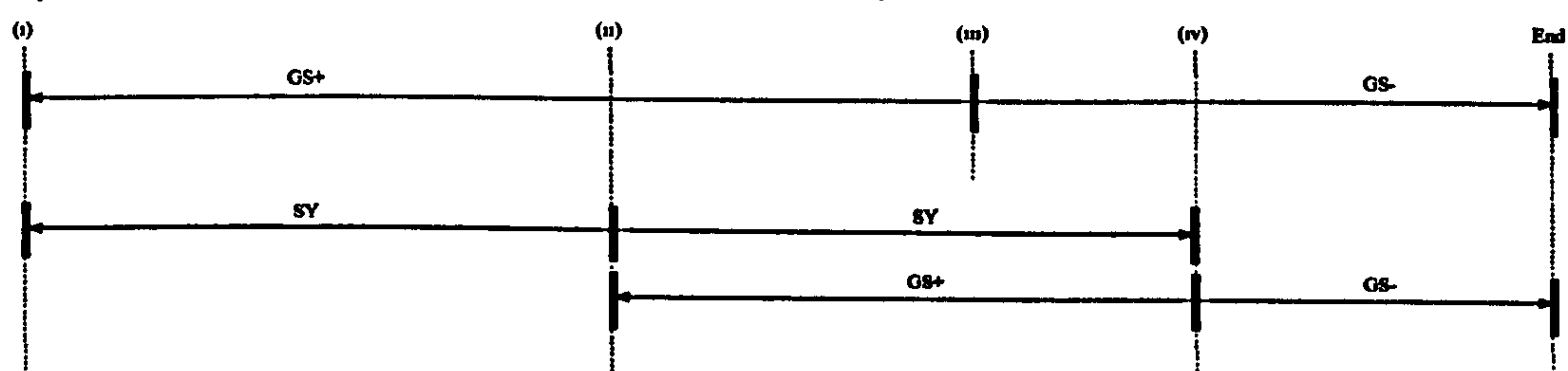
Symphony No.1



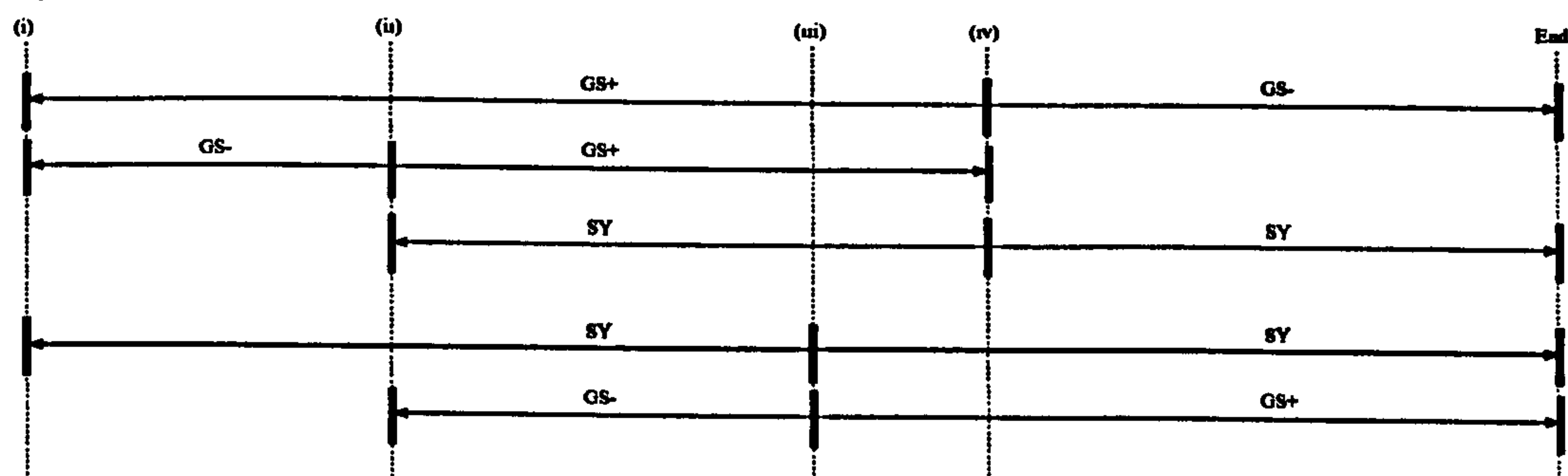
Symphony No.7



Symphony No.12



Symphony No.15



In calculating these proportions, additional time has not been added between movements: these breaks are, after all, *interruptions* to the musical evolution and not actual parts of it. As such, the accuracy of these relationships is quite staggering given the lengthy durations under consideration; all proportions charted fall within the standard percentage margins outlined in Chapter 1. Taking the Seventh as an example, according to the score, the onset of the second movement falls within just 9 seconds of GS- within the entire 64½-minute work.³¹ The notion of each symphony as an integrated whole is paramount to this process, giving further credence to the impossibility of ‘movement swapping’ discussed earlier: each movement has its own duration; relative proportions rely upon this exclusivity. Also clear from this comparison is the diversity of schemes, for despite each work offering four discrete movements, their relative durations and consequent proportional relationships are unique.

Nevertheless, certain trends can be noted. First, dance movements are consistently shorter than their surrounding counterparts.³² Further, first movements tend to be the longest, with slow movements or finales coming close to those durations, but rarely matching them. This is a norm not only for the four symphonies of Example 2.7, but for all 15 works, and while there are exceptions (such as the finale of the Fifteenth), these are rare relative to these two standard principles. And, of course, they are standard with reference to the wider symphonic genre, wherein

³¹ It should be remembered that because of the lengthy durations under consideration here – in some cases over an hour – the way in which the music is performed has a greater potential to alter the perception of these background relationships than is the case at lower structural levels, where fewer tempo changes occur. However, also due to these long durations, it is more difficult to perceive absolute accuracy. This will be discussed in more detail in Chapter 10. It should be remembered at this stage that this data is taken from calculations based on the score rather than on any individual performance.

³² With the exception of the Twelfth in Example 2.7 which has no dedicated dance movement due to its programmatic direction.

first movements are regularly the longest and most intricate, while later sections, particularly the dance, often offer comparatively less complex material and forms: see Aranovsky's paradigm in Example 2.2. Once again, therefore, we can see Shostakovich's by-now familiar application of traditional symphonism: a broad absorption of its principles but an idiosyncratic interpretation.

Also apparent is the existence of these proportional systems irrespective of movement linking; accuracy is just as precise for non-continuous juxtaposition. This raises an important issue: *attacca* marks are once again confirmed as the surface articulation of an underlying structural connectivity, rather than the sole means of integration. As such, when movements are not conjoined, they remain nonetheless connected by SY and GS ratios. The function of *attaccas* is therefore called into question, with Shostakovich's decision when they should or should not be used seeming to vary between works. However, their presence does have a structural function, for they clearly articulate the transference of energy. In the Eighth and Ninth, for instance, the three-movement segue group offers a large-scale dissipation of energy. As such, *attacca* movements work together to offer this background directionality. By contrast, the differing styles in the Sixth sit awkwardly together; to fuse these into larger units would detract from this important juxtaposition.

Crucially, the proportional distributions of Example 2.7 create a background logic in the organisation of movements, and one that offers an overall conception of wholeness and unification. Further, the specificity of each scheme is in sympathy with the material it contains. In the Seventh, the proportions seem to offset the opening movement with the remainder of the work through its background GS-subdivision, and the consequent axial function of its completion in the proportional

design. This is precisely in keeping with programmatic direction, and the way in which it was written: the first movement leaves its 'war theme' unresolved through its return in the coda (figure 70), offering not closure but uncertainty and possibility.³³ The work charts its course as a response to this issue, programmatically, musically and proportionally. By contrast, in the First, a dynamic succession of proportions offers more equal momentum between movements, reflecting the diachronic evolution in its stylistic journey. The individuality of relative movement durations, and of their consequent proportional relationships, is therefore in direct reflection of their internal material; unified coherence is a fundamental concept here. When combined with similar proportional techniques within multi-part movements – in Symphony No.10 (iv), for instance, the *Allegro* of figure 153 begins exactly at GS- within the movement³⁴ – a clear picture emerges of works that rely strongly upon the integration of their respective elements within multiple dimensions of the music.

If diversity is in part achieved through stylistically differing movement types, with a degree of unity reinforced through their proportional interconnectivity, then directional energy at this background level is additionally achieved through global key schemes. This is not to suggest that there is a single rationale behind Shostakovich's tonal plans: they are as diverse as the material they contain. Aside from a surprising similarity between the Fifth and Twelfth – D minor, A minor, F# minor, D major in the Fifth; D minor, F# minor, A minor, D major in the Twelfth – each symphony presents a unique system, often linked to more local level issues.³⁵ However, there is frequently a logical pattern in the evolution of these keys that offers a degree of directional impetus. With the exception of the two single-movement symphonies and

³³ The return of this theme at the opening of the Eighth confirms this 'openness'.

³⁴ Symphony No.2 will also be discussed in terms of multi-part proportional distribution in Chapter 10.

³⁵ This will be discussed in Chapter 4 relative to Symphony No.8.

the Fourteenth, all return to their opening key in the finale, and excepting the Fourth (which, after an initial major mode coda, returns to minor in its second part), all end in the major mode. Large-scale tonal resolution is clearly related to this choice of key scheme; in particular, a minor-to-major evolution offers significant emotional and structural release in over half the symphonies. In several of these so-called catharses, however, Shostakovich integrates some degree of modality into the conclusion, undermining the potential for complete resolution. As shown in Example 2.8, the result is a distinctly uncomfortable soundworld that may have as much to do with programmatic content as with tonal evolution.

Example 2.8 Modally Disruptive Endings

Symphony No.7 (iv)

The musical score for Symphony No. 7 (iv) consists of two systems of staves. The first system shows a piano introduction with a *mf* dynamic. The upper staff features a melodic line with a trill-like figure and a triplet of eighth notes. The lower staff provides a bass line with a similar rhythmic pattern. The second system continues the piece, with the upper staff showing a more complex melodic structure and the lower staff providing a steady bass accompaniment. The score is marked with measure numbers 617 and 618.

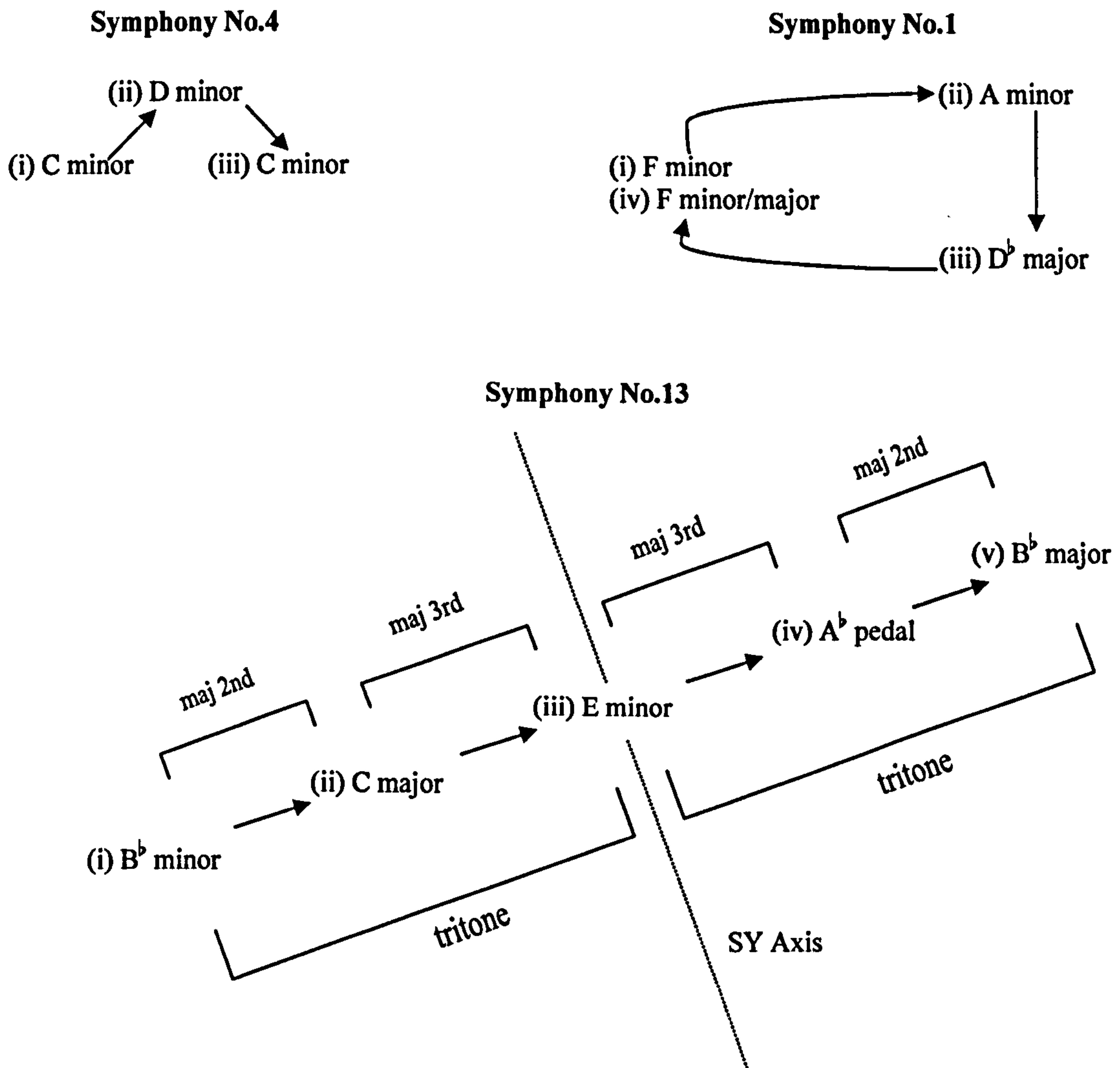
Symphony No.13 (v)

The musical score for Symphony No. 13 (v) is a single system of staves. The upper staff begins with a *pp* dynamic and features a melodic line with a trill-like figure. The lower staff provides a bass line with a similar rhythmic pattern. The score is marked with measure number 494 and includes a *morendo* marking at the end.

There is an additional level of order amongst key schemes, involving interim points of stability. Largely this consists of different forms of motion away from, and then motion back towards, these overall tonics. As shown in Example 2.9, this can be

a simple process, as in the Fourth, or it can involve a cyclic organisation, as in the First.³⁶ Further, in several cases, Shostakovich integrates some degree of duplex arrangement into his key schemes, offering a sense of tritone-based opposition and eventual resolution. In the Thirteenth, for instance, a fully symmetrical system of tonal centres is used for successive movements, with the duplex acting as a point of maximum difference, and functioning as the central pivot.³⁷

Example 2.9 Large-Scale Key Schemes



³⁶ Other step-wise key schemes can be seen in the Seventh and Fifteenth, while cyclic organisation is used in the Sixth and Ninth.

³⁷ A duplex scheme also exists in the Tenth.

Importantly, this tonal symmetry is reflected in the proportional placement of the third movement: its centre is sited at SY within the entire symphony.³⁸ The significance of this centre point to the third movement itself (figure 82) will be discussed in Chapter 4, but a brief glance forward to Example 4.18 (page 138) will confirm its axial function down to the lowest structural level. Symmetry is therefore a temporal as well as a pitch-space phenomenon here. Further, the fourth movement – its text forming the emotional heart of the symphony – begins at GS+ within the work as a whole, initiating the move back to the overall tonic B^b.

At this basic level of structural design, we can already see a composer who is interested in the principles of opposition, unity and direction: the opposition of differing movement types, their unification into inter-reliant proportional systems, and directionality through their tonal evolution. Of course, these concepts are nothing new to symphonism, but the precision of their application here by means of SY and GS distribution is idiosyncratic to Shostakovich. To this extent, balance is a guiding principle: balance between diverse movement types and balance between the concepts of opposition and unity themselves.

In this elegant solution to symphonic organisation, Shostakovich not only found an individual voice, but one that is clearly rooted in the wider symphonic tradition. Balance is a fundamental notion in music, but it takes on a notable specificity here, such that temporality, tonality and style each play a role in that equilibrium. From this synthesis comes a goal-oriented process of evolution, as departure and imbalance plot an insatiable course towards return and stability. And these concepts of opposition, unity and directionality have an additional resonance

³⁸ Again, this is remarkably precise given the durations under consideration: according to the score, the accuracy of this SY division falls within 0.8% of the total duration of the symphony. Musically, this equates to a discrepancy of just 5 bars, which is well within the margins explained in Chapter 1.

with Asafievan symphonism, offering significant alignment with Soviet compositional ideals at a time when conformity was necessary for existence. But it is the transferability of these principles out of Soviet contexts that fosters its wider longevity.

Crucial for this thesis is the sense of high-level (dis)order that background proportions offer, for they can have a significant impact upon the overall sense of balance or imbalance: consider, again, the seemingly disproportionate movements of the Fourth and Sixth, or the more equal status of movements in the First. However, it is important to note that this type of observation relies on vastly separated events, calling into question our ability to perceive such long-range relationships. But, crucially, they do not exist in isolation. Rather, the function of this highest level of structure is to provide a framework for the containment of lower-level events. The communication of these systems therefore results primarily from their articulation in other more complex and localised formations. As will be seen, it is within these limits that the dimensions of energy unfold.

Chapter 3

Stasis, Dynamism and Archetype – Form as External Model

That Shostakovich wrote ‘symphonies’ demonstrates his adoption of an external model. However, as seen in Chapter 2, the symphony is far from an inflexible archetype, and Shostakovich’s fifteen works are testament to that flexibility in their lack of consistent correlation with any potential scheme. As such, an important dialectic emerges between form as external model – a pre-defined architecture – and form as internal process – reliant upon, and growing out of, specific content. A similar situation emerges in the analysis of forms used within discrete movements: on the one hand distinct (and distinctive) archetypes clearly recur; on the other there is significant diversity in their application. This chapter concerns the first part of this schism by tracing the use of recognisable formal models.

Shostakovich received extensive education in ‘form’ as part of his Conservatory training (Fay, 2000:24). By all accounts, teaching methods at the time were highly prescriptive, wherein textbook forms were learnt rigidly under the supervision of Maximilian Steinberg (Wilson, 2006:37), the son-in-law of Rimsky-Korsakov. Steinberg’s pedagogic approach was often influenced by this family connection (Fay, 2000:19), which, in turn, was reflective of Rimsky-Korsakov’s own sensitivities, in particular to Beethoven, Schumann and Glinka, in the establishment of formal models (Frolova-Walker, 2001:409).¹ In fact, Shostakovich openly objected to the prescriptive nature of his education. In a survey undertaken in his early twenties,

¹ For Shostakovich’s own acknowledgement of this influence, particularly upon his early work, see Gruber, 2004:34. He also notes many additional figures, from Bach to Berg, who offered early inspiration (Gruber, 2004:32).

the composer offered significant insight into his creative process (or, at least, into the way in which he wanted this to be portrayed). Regarding form, he wrote,

At the conservatory, they taught me ‘scheme’ not ‘form’. In the class on sonata form, I was told the following: ‘Sonata form consists of (a) an exposition, (b) a development, and (c) a recapitulation. The exposition consists of (a) a principal theme, (b) a subordinate theme, and (c) a closing theme,’ etc. etc. ‘For the next class come up with some sort of principal theme and write it down. If it doesn’t work out, write another one. This way once you’ve composed several principal and subordinate themes, we’ll pick the best principal theme and make a transition to the best subordinate theme; and this way, we’ll have an exposition.’ To my question ‘What is a development?’ came the answer, ‘Well, in the development, the principal and subordinate themes are “developed” and “interwoven.”’ Not a word was uttered about the expressive character of the musical line, about relaxation, tension, and dialectical development. (quoted in Gruber, 2004:30)

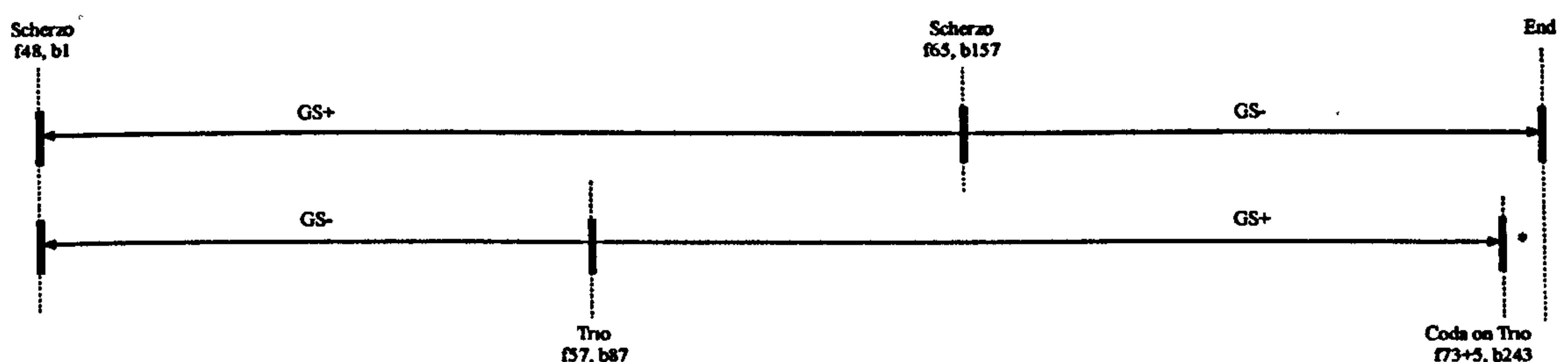
Clearly, Shostakovich was interested not just in the architectonic delineations of formal schemes, but also their aural characteristics, and it is significant that the notion of expressive character is unpacked according to terms remarkably similar to those used in the present thesis to analyse energy. To understand the significance of formal archetypes therefore requires more than the simple observation of their presence. Rather, it is by examining the link between form and effect that we can begin to uncover just how elements of energy feed into this aspect of the music. In particular, it will be seen that levels of energy – of static and dynamic extremes – are

fully synthesised with the type of archetypes that are used.² To highlight this connection, four models will be considered – scherzo, passacaglia, sonata and sonata-rondo – each revealing not only a different architectonic scheme, but also a different *type* of proportional organisation.³

Model 1: Scherzo Form

Of the external archetypes Shostakovich employs most frequently, the scherzo-trio model often constitutes his simplest formal structures, and so offers a useful point from which to begin. In Symphony No.5 (ii), for instance, we find the standard ternary scherzo–trio–scherzo design, but with the important addition of a final return of the trio theme as a brief coda – a feature to which Shostakovich regularly turns in his dance movements.⁴ As shown in Example 3.1, these formal divisions are distributed according to GS throughout the movement, offering a particular type of balance at the background level.⁵

Example 3.1 Symphony No.5 (ii) – Background Distribution



² This is also an important part of Asafiev's theories: see McQuere, 1983:247.

³ Notable by its absence from this list is basic rondo form. This has been excluded as it never appears in isolation in the symphonies, but only in combination with other elements. Even the finale of the Thirteenth, which presents the closest realisation of a rondo, contains a more developmental fugue, used to diversify and dramatise the main vocal line.

⁴ The same process occurs in the scherzi of the Sixth, Thirteenth and Fifteenth Symphonies.

⁵ Other examples of proportional distribution at the highest structural level within scherzi can be seen in Symphony No.6 (ii), No.9 (iii) and No.13 (ii).

Tonality is similarly straightforward, with scherzo sections quickly settling into the tonic A minor, while the trio is cast initially in its relative, C major. However, when the trio theme returns as the coda, it appears in A minor, offering some degree of tonal resolution and closure. Basic opposition is a guiding principle here, between the thematic and tonal content of formal sections, with resolution being achieved through the large-scale restatement of the scherzo and small-scale restatement of the trio. The scherzo is therefore structurally superior, conforming to Classical convention, with the additional trio acting as an appropriately wry conclusion.

Within these sections there are four discrete themes, as transcribed in Example 3.2; A, B and C are unique to the scherzo, while D is the sole occupant of the trio.

Example 3.2 Symphony No.5 (ii) – Thematic Material

Scherzo, Theme A (melodic component)

Scherzo, Theme B

Scherzo, Theme C

Trio, Theme D

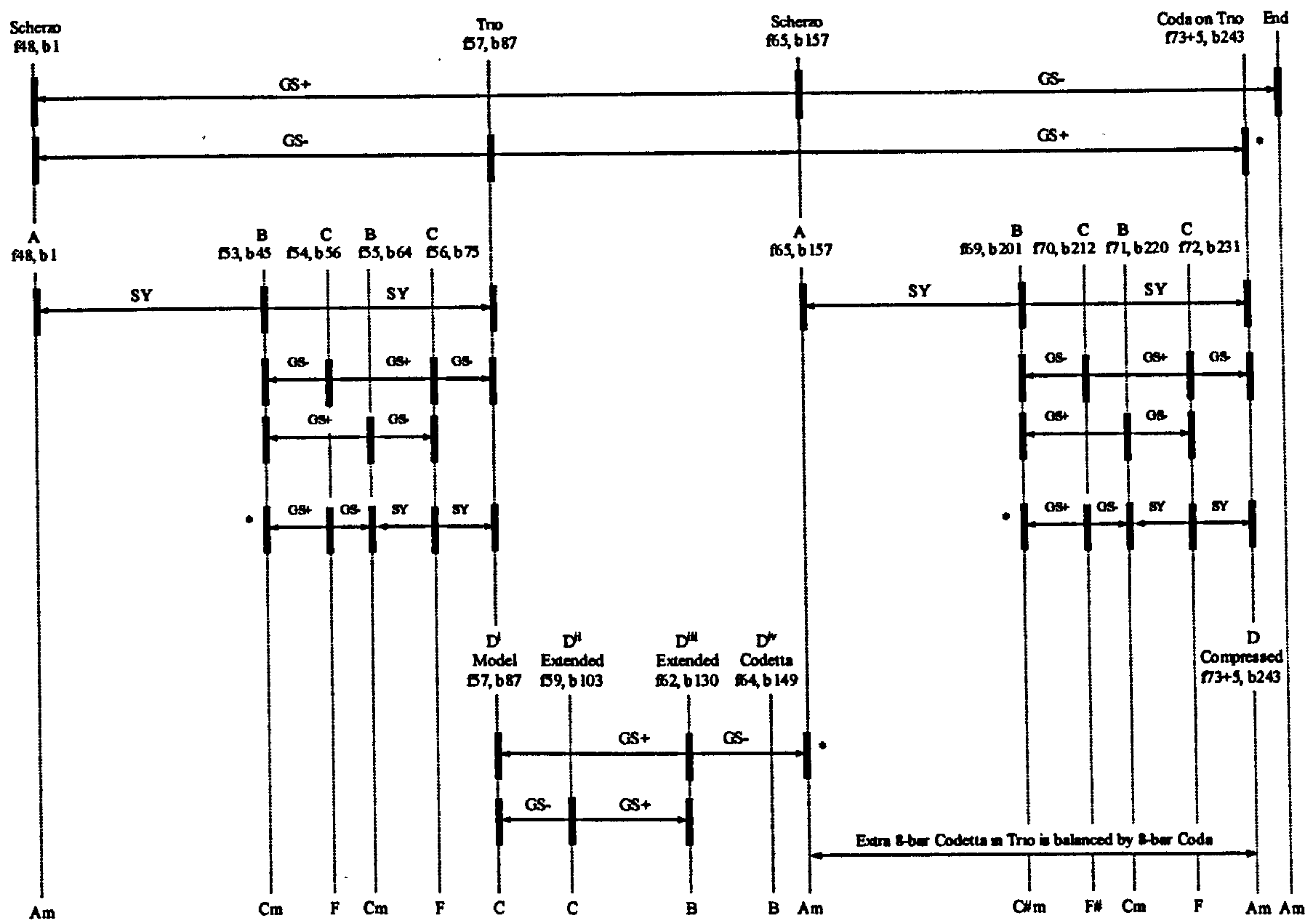
Of particular relevance is that foreground development is not a feature here, as simple thematic repetition and variation are the sole means by which continuation is achieved. The return of the scherzo at figure 65, for example, presents a bar-by-bar copy of its first presentation in terms of pitch and rhythmic content. Nevertheless, there are certain timbral changes, and when themes B and C return from figure 69, they are transposed up one semitone, before returning in the original key at figure 71. This is demonstrative of an important norm in Shostakovich's musical language: the rarity of direct repetition.⁶ Whilst instances occur at times, they tend to be reserved for movements that specifically explore different types of repetition, such as the finale of the Thirteenth.⁷ In these cases, direct repetition is not used specifically to outline form, but rather to emphasise a static aspect of the thematic process, acting as a point of reference against which more complex instances of development or variation can be measured. In the Fifth, the listener is presented with a varied return of material, but the timbral changes and semitone transposition of themes A, B and C carry little structural significance, leaving these modifications to function solely at a surface level in order to create variety, not organic resolution. That whole sections of material can be thus restated, albeit in a superficially varied guise, is a clear indication of the block-like approach to form in operation here.

In reflection of this, the distribution of thematic material is dependent upon the sectionalised structure of Example 3.1. As shown in Example 3.3, themes are not only confined to scherzo or trio sections, but their proportional distribution is contained fully within the sections of that background form.

⁶ A norm that aligns Shostakovich with the wider symphonic tradition, and particularly with Mozart.

⁷ Other examples include the ritornellos in Symphony No.7 (iii), No.14 (x) and No.15 (ii), yet even in these cases there are varied presentations to counterbalance other direct repetitions.

Example 3.3 Symphony No.5 (ii) – Thematic Distribution



The result is a formal scheme that is the logical extension of localised process. It is, of course, the nature of a symphonic scherzo to function in a more block-like manner than other movements, and in adhering to this expectation Shostakovich is aligning himself with that tradition; this traditionalism is mirrored by the initial use of just three instruments in the trio – a trio in the purest sense of the term. Nevertheless, the proportional accuracy with which this is implemented is distinctive of Shostakovich, and allows a unique insight into how such reflection is effected. Crucially, higher-level proportions successively enclose lower-level proportions, creating a sense of balance and stasis within the overall form. Dynamic elements do exist, particularly in the trio, whose key scheme includes the step-wise descent – C major, through B major (itself V/V), on to A minor. Yet formally this movement is largely static, due to its uncomplicated thematic repetition and varied repetition. Consequently, its proportional scheme is carefully balanced to reflect the overall formal stasis.

Of course, not all of Shostakovich's scherzi function in the same way. In Symphony No.1 (ii), a similar opposition between scherzo and trio material is set up, but here it is resolved differently. As shown in Example 3.4, two independent themes come together at figure 21 in a newly dramatised version, offering a degree of synthesis to the preceding dialectic.

Example 3.4 Symphony No.1 (ii) – Thematic Content

Scherzo (A)

Musical score for Scherzo (A), measures 3 to 36. The score is in 3/4 time and features a treble and bass clef. The melody in the treble clef starts with a first ending bracket [1] and includes a *cresc* marking. The bass clef part consists of a rhythmic accompaniment of eighth notes.

Trio (B)

Musical score for Trio (B), measures 37 to 60. The score is in 3/4 time and features a treble and bass clef. The melody in the treble clef starts with a first ending bracket [6] and includes a *p* marking. The bass clef part consists of a rhythmic accompaniment of eighth notes.

Synthesis (A+B)

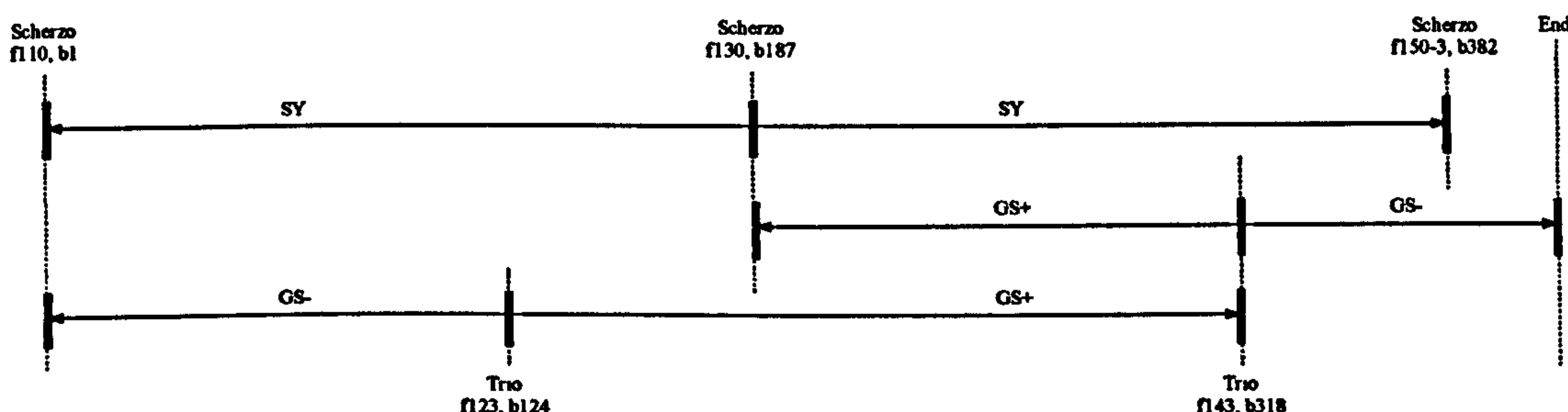
Musical score for Synthesis (A+B), measures 113 to 146. The score is in 3/4 time and features a treble and bass clef. The melody in the treble clef starts with a first ending bracket [21] and includes a *ff* marking. The bass clef part consists of a rhythmic accompaniment of eighth notes.

Up to this point, neither has been developed in any cellular sense, with each simply being stated within its own isolated block. As such, an ABA[A+B] framework emerges, resolving initial opposition first by means of return (of the scherzo) and then through the ultimate synthesis of materials. In this way, conclusion is achieved not through one theme achieving structural superiority over another, but by materials sharing equal status.⁸

⁸ This process of synthesis also occurs regularly in Shostakovich's late-period finales, for instance in the Eleventh, Twelfth and Fifteenth.

So not all scherzi are as formally static as that of the Fifth. Symphony No.4 (ii) presents an interesting case, for despite functioning as a scherzo in the context of the work as a whole, its surface is significantly more organic than much of the material in the finale.⁹ Cells are isolated and developed, including an extensive fugal reworking of the primary motif from figure 130, and a newly tonicised accompaniment for the return of the trio at figure 143. As shown in Example 3.5, both themes are proportioned with reference to the opening, but act independently in the distribution of their material.

Example 3.5 Symphony No.4 (ii) – Proportional Scheme



Further, the proportional architecture here involves a higher density of relationships towards the end of the movement.¹⁰ This can be described as a structural *accelerando*: in place of an overall sense of balance (as in the Fifth), the listener is instead presented with an increase in momentum in the final stages of the movement that results from a rise in proportional activity. Yet it still retains discrete systems for both scherzo and trio entries, ensuring a degree of sectionalisation in the background subdivision of form. Further, its ABABA design conforms to a Beethovenian model, demonstrating the flexibility with which Shostakovich applies the concept of ‘scherzo form’, and the consequent variety in his organisational schemes.

⁹ Other examples of cellular organicism within scherzi can be found in Symphony No.9 (iii), and No.10 (ii), if, indeed, it can even be described as a scherzo, due to its highly unstable and dramatic surface.

¹⁰ See Example 1.13 on page 35 for another example of this process in a scherzo movement.

Model 2: Passacaglia Form

Although instances of passacaglia form are rarer than other archetypes,¹¹ these moments are revealing in the difference between – and reconciliation of – static and dynamic elements. The fourth movement of Symphony No.8, for instance, employs 12 entries of its passacaglia ground bass. In theory, this formal scheme implies a highly sectionalised structure, whose symmetrical consistency could provide a static framework for the presentation of material. However, Shostakovich subverts this potential stasis immediately, by extending the initial presentation of the ground bass – events are disrupted before they even have the chance to become fully realised. But the way melodic material is employed creates the highest degree of dynamism in this movement, as each melody is of a different length to the rhythmically asymmetrical 9-bar passacaglia. Consequently, these melodic lines continually phase across the ground bass, an instance of which (taken from the transition between the sixth and seventh entries of the passacaglia) is shown in Example 3.6.

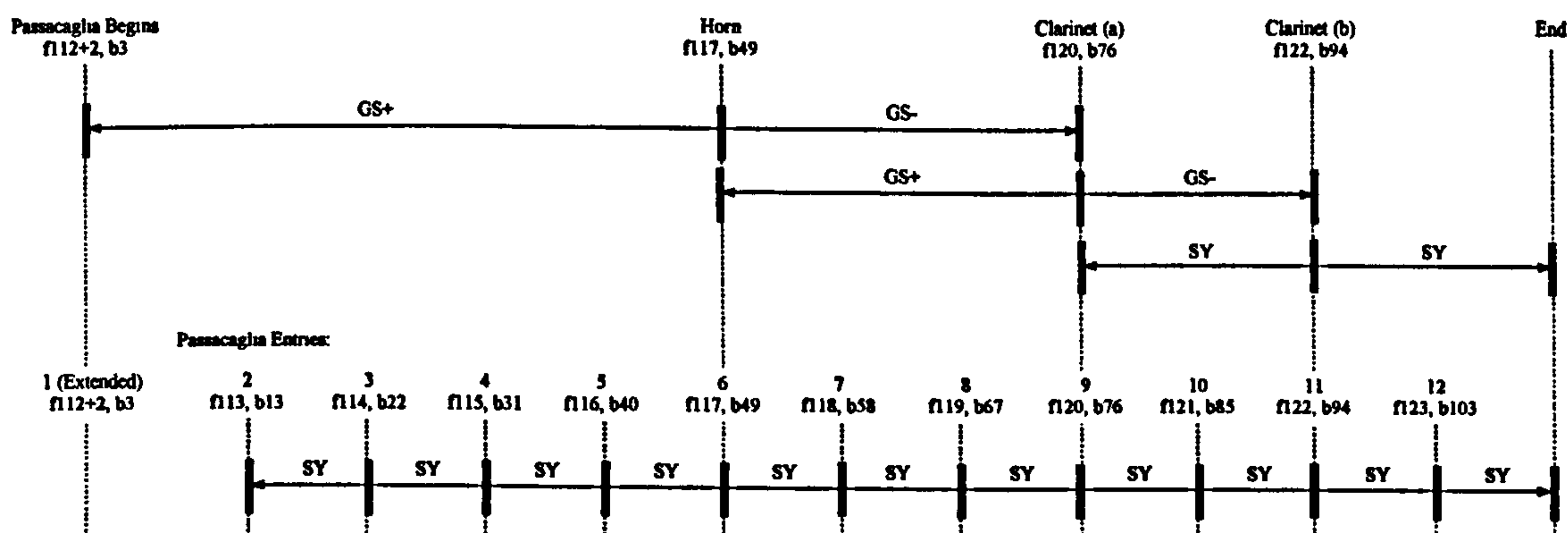
Example 3.6 Symphony No.8 (iv) – Phased Melodic Material

This process creates a dynamic surface that, in part, conceals the underlying regularity: stasis and dynamism are integrated. Further, melodies are distinctly un-

¹¹ As Roseberry notes, the passacaglia is largely reserved for moments of high seriousness (Roseberry, 1995:241).

melodic (and, hence, unmemorable) in their lack of clear contour and direction; instead they offer a more improvised and unfocused experience. When combined with the phase-like process of Example 3.6, energy is neither fully realised nor absolutely dissipated, as any sense of evolution is deliberately concealed. Rather, the movement hovers almost in a state of limbo prior to its ultimate resolution into the finale. Significant here is that this coexistence of static and dynamic elements is reflected in the proportional distribution of material. In particular, there are moments when Shostakovich allows melodic material to coincide with the ground bass, and these become crucial in the middleground organisation through their provision of unambiguous points of arrival.¹² Example 3.7 charts the distribution of these coincidences, revealing an additional succession of systems that offers another degree of directional dynamism to counterbalance the passacaglia's SY foundation.

Example 3.7 Symphony No.8 (iv) – Static and Dynamic Schemes



That these coincidences are also reinforced by modifications in instrumentation further strengthens the sense of change they bring about, elevating their resultant structural function. This passacaglia, then, is anything but repetitive.

¹² A similar process of melodic phase is used in the passacaglia of Symphony No.15 (iv), and again there are certain moments when both parts converge, such as at f130 and f134.

Model 3: Sonata Form

If the use of scherzo form produces some of Shostakovich's most static structures, while the passacaglia offers a greater degree of dynamism, then sonata form, by contrast, often produces the most dynamic and dramatic movements of the symphonies. In order to consider Shostakovich's handling of sonata form, it is useful to offer a theoretical touchstone against which his approach can be measured. Sonata form as a principle has its origins in the eighteenth century, in particular through the work of theorists such as Heinrich Koch, who observed the regular occurrence of the bipartite, tonal model:

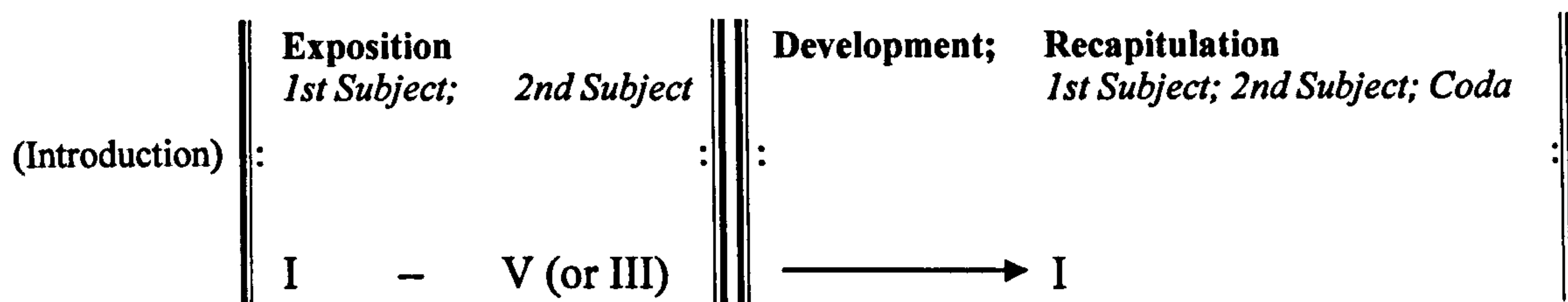
$$\parallel: I - V \text{ (or III)}:\parallel \parallel: \longrightarrow I:\parallel$$

This principle underlined the theory, with thematic construction viewed largely as an optional surface articulation. In this way, the sonata basis for Haydn's monothematic applications can easily be understood. It was only later in the nineteenth century, through theorists such as A.B. Marx and Carl Czerny, that sonata form as a tripartite model of exposition–development–recapitulation was fully encapsulated as a concept. Their modified view was designed primarily as a tool for education, but also responded to the growing body of music that employed clearly-defined (and opposed) primary and secondary themes as an integral part of the sonata process; Beethoven was a particularly important exponent of this approach.¹³ A modern conception of sonata form – and the one taken in the present thesis – must therefore take account of both strands and focus upon their mutual underlying principle: opposition *versus* resolution. Ratner, for instance, suggests that 'the harmonic plan establishes a two-

¹³ For a fuller account of this development, see Ratner, 1980:217ff or Webster, 2001:696ff.

phase *basis* into which the *three-phase thematic superstructure* is interlocked' (Ratner, 1980:221);¹⁴ this may be summarised as shown in Example 3.8.

Example 3.8 Sonata Form Schema



Of course, this model is a simplification, and as Hepokoski and Darcy note, 'Sonata form is neither a set of 'textbook' rules nor a fixed scheme. Rather, it is a constellation of normative and optional procedures that are flexible in their realization' (Hepokoski & Darcy, 2006:15). But today, the schema of Example 3.8 has become so ingrained within a twentieth-century musical consciousness that, if nothing else, it represents a model against which idiosyncratic events can be measured. In these terms, 'the expressive or narrative point lies in the tension between the limits of generic expectations and what is made to occur – or not occur – in actual sound at that moment' (Hepokoski & Darcy, 2006:614). Hepokoski and Darcy define this principle as 'deformation': 'the stretching of a normative procedure to its maximum expected limits or even beyond them – or the overriding of that norm altogether in order to produce a calculated expressive effect' (Hepokoski & Darcy, 2006:614).¹⁵

Given the prescriptive nature of Shostakovich's education, he would no doubt have been aware of the sonata schema of Example 3.8. But he would have been

¹⁴ Other twentieth-century critics approach sonata form differently; for a fuller summary, see Hepokoski & Darcy, 2006:3–6.

¹⁵ Interestingly, the concept of deformation has its origins in part in Russian formalist theory: an important link given its consideration here. See Hepokoski & Darcy, 2006:619ff.

equally sensitive to the variations that in reality define the plurality of sonata forms;¹⁶ he once stated to fellow composer Edison Denisov,

A composer is not just someone who can easily find a melody and accompaniment, who can orchestrate it easily and so on. Any musically educated person can do that. But a composer is something much more. You have to make a proper study of the rich musical heritage left by the greatest masters in order to know what a composer is. (Ardov, 2004:149)

It is not surprising, therefore, to find an approach to sonata form in Shostakovich's symphonies as diverse as that heritage. Nevertheless, Example 3.8 remains a useful starting point from which to evaluate this diversity, for not only does it provide a possible model in the process of listening, but its deformation also underpins many of the actual structures that will be observed.

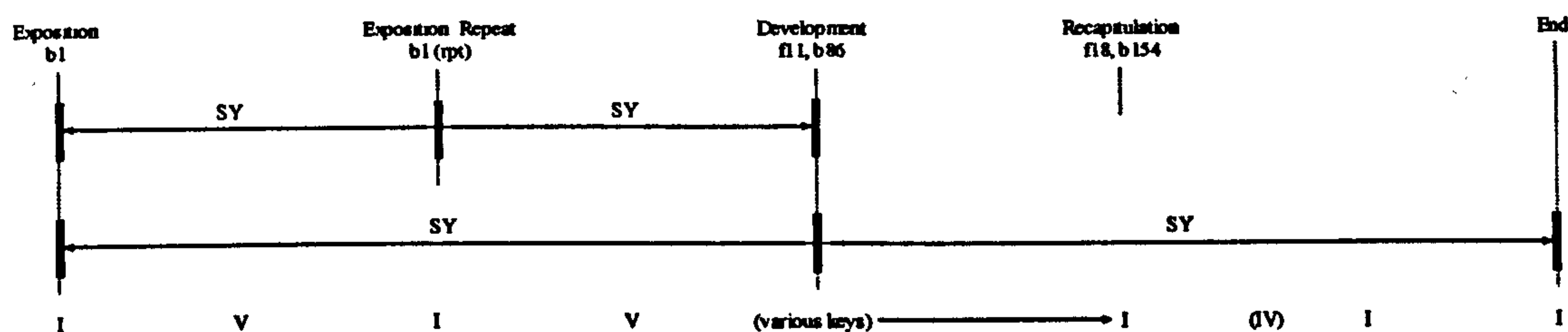
Shostakovich's most faithful application of the Example 3.8 schema occurs in the first movement of Symphony No.9, a work regularly described as his closest attempt at Classical symphonism (Ottaway, 1978:43). Here, both exposition and recapitulation open with the first subject in the tonic; the second subject is set initially in the dominant although it returns later in the subdominant;¹⁷ the development dramatically breaks down and explores the cellular content of these themes. There is even an exposition repeat – the only such example from any movement of any Shostakovich symphony, highlighting again the rarity of direct repetition in his

¹⁶ Rimsky-Korsakov, Schumann and Beethoven offer significant examples given the nature of Shostakovich's own education outlined earlier, as do many of the symphonists listed in the Gruber survey under Shostakovich's primary musical influences: see Gruber, 2004:32.

¹⁷ This is an important modification of the schema; tonic resolution is instead reinforced by a second return of the first subject at figure 24, and a second dramatised version of the second subject in the tonic at figure 26.

structural systems.¹⁸ Nevertheless, this large-scale repeat in the Ninth not only aligns the work with aspects of Classical proportion, but also provides a precise level of symmetrical stability up to the point of development. Of particular interest is that this symmetry is composed out on a larger scale: the development exactly bisects the movement as a whole, as shown in Example 3.9.

Example 3.9 Symphony No.9 (i) – Background Structure



Whilst this process is by no means unique to Shostakovich, the accuracy here suggests a particular handling that reinforces a sense of structural stability: closure exists both at the end of the exposition and of the completed movement not only through foreground events but also through the large-scale composing out of localised proportional systems. In this way, the stability generated by the exposition repeat is echoed at a higher level by creating a sonata form that itself consists of two balanced sections. In so doing, Shostakovich is also reflecting the initial motivation of the sonata principle by emphasising the bipartite construction of the schema, and, in particular, its bipartite tonal organisation.

This example may seem rather balanced and static – in fact, its SY organisation may seem even *more* static than the scherzi discussed above. However, significant by its absence from the proportions of Example 3.9 is any point of recapitulation, and such a moment is crucial to sonata form, as resolution is not

¹⁸ Although the schema of Example 3.8 shows repeat marks, this convention became less important as the form developed (particularly the repeat of the second part). Rather, the norm became one of varied repetition.

achieved in a single impulse from the development to the end, but also involves the recapitulation as a turning point within that evolution. But, as shown in Example 3.10, although figure 18 marks the return of the tonic, thematic material is stated with limited grandeur: there is no functional dominant, no climax and no change in thematic direction; a melodic line simply grows out of developmental elements.

Example 3.10 Symphony No.9 (i) – Recapitulation of First and Second Subjects

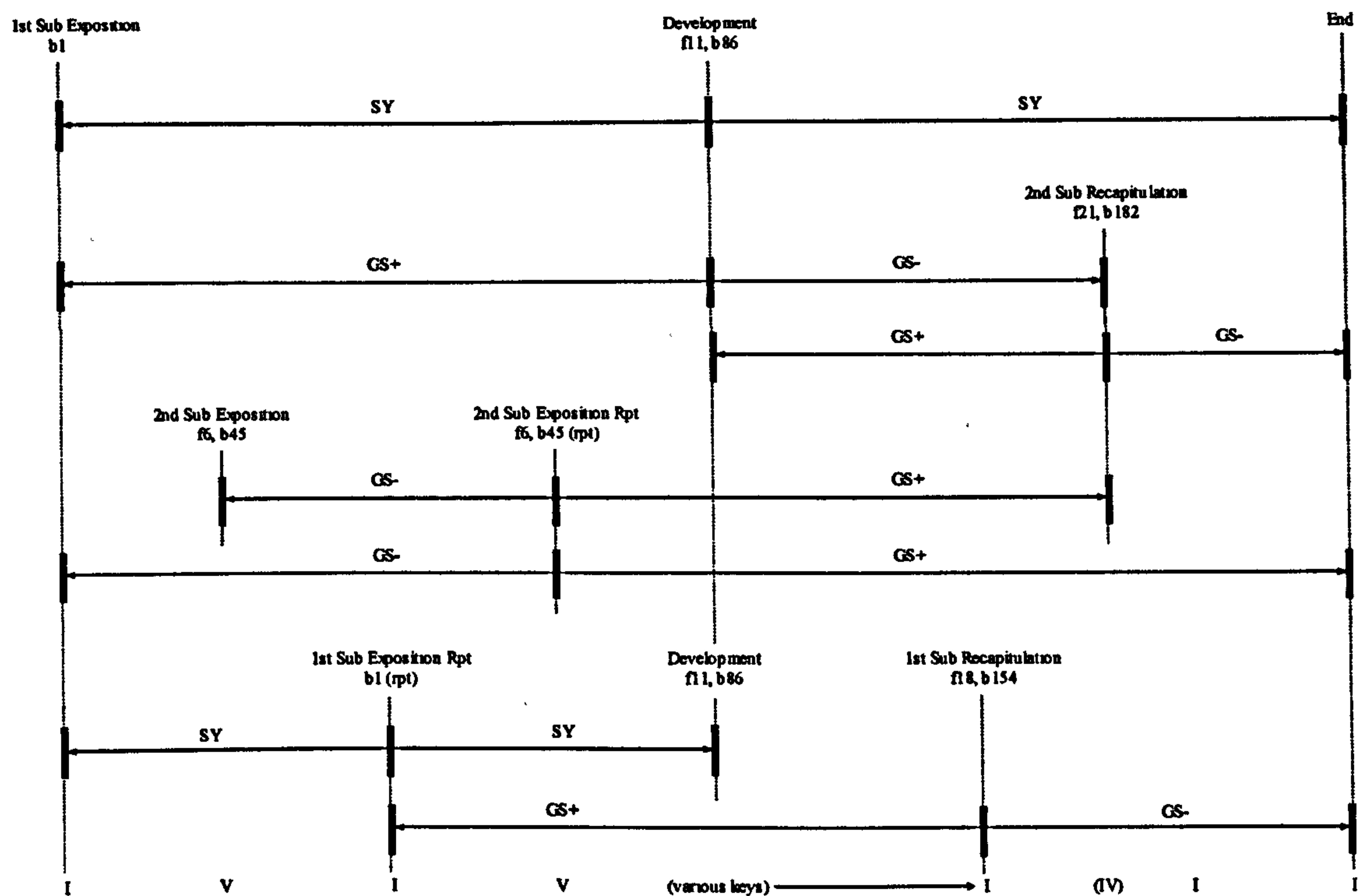
The musical score for Example 3.10, Symphony No. 9 (i) – Recapitulation of First and Second Subjects, is presented in eight systems. Each system consists of a treble and bass staff. The first system begins at measure 147. The second system is marked with a box containing the number 18. The third system is marked with a box containing the number 19. The fourth system is marked with a box containing the number 20. The fifth system is marked with a box containing the number 21. The sixth system is marked with a box containing the number 21. The seventh system is marked with a box containing the number 21. The eighth system is marked with a box containing the number 21. The score includes various musical notations such as notes, rests, accidentals, and dynamics like *ff* and *p*.

On a thematic level, Shostakovich again reflects the binary elements of Example 3.8 by diminishing the impact of this first subject restatement: development and recapitulation are somewhat fused at this stage relative to the structurally distinct exposition. However, this principle of integration is not followed for the return of the second subject, as the main entry at figure 21 is preceded by five rather comical trombone 4ths (E^b-A^b) taken from this theme. In this way, there are five ‘false starts’ of this material, which serve to reinforce the listener’s desire to experience closure to this process.¹⁹ So when this theme is given a stable restatement at figure 21, it has a particularly pronounced impact, given its surprising, subdominant setting, and its teasing delay. When combined with the diminished impact of the first subject, the result is an end-weighted recapitulation and an elevated significance of the second theme: a technique employed regularly by Shostakovich.²⁰

If these points of structural return are charted, they reveal a system paralleled by this foreground prioritisation of themes. As Example 3.11 shows, the second subject recapitulation interacts proportionally with the most important background structural points, leaving the first subject to network with just one other point: the exposition repeat. Notably these proportions constitute GS+ interactions rather than the SY of Example 3.9. Therefore, whilst the central placement of the development provides large-scale balance across the movement, the recapitulation acts more dynamically. The structural importance of the second subject is further reflected by its distribution within the exposition, with its repeat not only standing at GS-, but also acting as an axis about which its first and final entries occur.

¹⁹ Again, a procedure borrowed from Classical convention, particularly in the work of Haydn and Mozart.

²⁰ The (tonal) resolution of the second subject is regarded by many as crucial within the sonata-form tradition: see, for instance, Rosen 1997:51. This principle is therefore followed broadly by Shostakovich, yet it is also undermined in the Ninth by the subdominant key.

Example 3.11 Symphony No.9 (i) – Proportional Significance of Second Subject

Repetition has a structural function here, and in particular the repetition of second subject material in the exposition controls that process. Paradoxically, this effect is due in part to the predominance of the first subject: material is mostly a derivative either of the first subject or its early extensions (from figure 2, for example). As such, second-subject entries penetrate this surface, standing out as memorable moments due to their dissimilarity. Form and content are inherently linked: an issue to be explored in more detail in Chapter 4. Crucially here, the proportional distribution of themes in this sonata form is significantly less enclosed within the background proportions of Example 3.9 than would be the case in a scherzo: compare Example 3.11 with Example 3.3 above. Consequently, the more dynamic nature of sonata form over scherzo form is reflected in their differing proportional arrangements.

Tonally, too, this difference can be observed. Alongside the relatively traditional tonal scheme of this movement, Shostakovich integrates some degree of

tritone-led middleground, a feature used less often in his scherzi. Within the E^b major tonic of the exposition, for example, the first point of harmonic departure is not to the dominant but to the duplex A minor at figure 3, for an episode that moves through various keys until the return of the tonic (and first subject) at figure 5. The duplex tonic is used here at a fairly low structural level: A minor proves to be only temporary within the overall E^b major of the exposition. However, when A (major) returns twice in the development (after figure 13, and from figure 16)²¹, it proves a more disruptive force, bringing about the main climax of the movement before an eventual move back to the primary tonic, E^b, for the recapitulation. In part, then, the tonic–dominant conflict of the sonata schema has been expanded by a primary–duplex tension. This is further borne out by the opening key of the development, G^b major: a tonal centre that symmetrically divides the E^b–A tritone, thus acting as an intermediary stage in the process. This key scheme therefore complements aspects of structural distribution seen earlier: symmetry is manifest both in the formal and tonal process. Nevertheless, the sonata-form schema of Example 3.8 still acts as a background shape, with duplex tonal regions largely operating at a middleground level.

While the first movement of the Ninth is Shostakovich's most conventional example of the Example 3.8 schema, it clearly betrays several important idiosyncrasies; these can be found regularly elsewhere, often in a more complex fashion. For instance, the proportional placement of the development occurs frequently in the symphonies: its onset is at SY in Symphony No.4 (i) and No.5 (i), and at GS- in No.10 (i). Further, Symphony No.13 (i), which loosely borrows elements of sonata form, places two subsequent entries of the opening material – entries that could refer to points of development and recapitulation – respectively at

²¹ Here it initially functions as a dominant pedal, although it is tonicised from figure 17.

GS- (figure 9) and at GS+ (figure 21). For Shostakovich, this background distribution of crucial points of structural division is as important an aspect of sonata form as it is of scherzo form.

However, the structural dynamism of the Ninth is by far its most significant proportional aspect, in particular through its more gradual evolution from development into recapitulation. This technique will be termed *structural phase*.²² In fact, the Ninth presents a simple version of this process when compared to more complex movements such as Symphony No.8 (i). Here, an unmistakable adoption of the sonata principle occurs with clearly defined thematic opposition, and large-scale tonal resolution through the tonic-major recapitulation of the second subject.²³ However, as shown in Example 3.12, rather than one clear theme, the first subject is actually cast in two parts: a dramatic introduction (1a) followed immediately by a solo melody (1b).

Example 3.12 Symphony No.8 (i) – Opening Material

Theme 1(a)
Adagio ♩ = 80

1

1 Theme 1(b)
sul tasto

pp

mp p pp sul tasto

²² See Mishra 2008:366–71 for more discussion of this issue, including its implication of an arch-like shape in Shostakovich's sonata forms.

²³ It is different from the Ninth, though, in its lack of exposition repeat, replaced instead by a thematic process that presents themes several times in succession, each in different guises.

The memorable opening has the immediate effect of sounding ‘thematic’, but upon the entry of the melodic 1b, 1a is retrospectively heard more in terms of introductory material. Further, both elements undergo independent repetition and development throughout the movement. 1a, for example, both initiates and features heavily within the development section, elevating it almost to the status of a third theme. Similarly, it returns independently in an *allegro* version at figure 25, and is recast as the main climax of the movement at figure 34. However, this material is linked: an initial mordent figure opens both elements (inverted for the melody), and both are composed out immediately through a C to G leap. Thus, despite their apparent dissimilarity in function, to define one element as structurally superior to the other would contradict the musical processes involved. Rather, they both function as part of a larger thematic complex that constitutes the first-subject group. This type of ambiguity is an essential aspect of Shostakovich’s sonata forms; ambiguity is itself a dynamic process.

This is, of course, nothing unusual in the history of sonata form – Haydn may well have provided the model – but the independence allotted to each element as Symphony No.8 (i) unfolds creates an increasingly unclear expectation of how (or when) they will return relative to the controlling sonata design. This apparent thematic split has consequences in the recapitulation: according to some commentators on the sonata tradition, ‘The central structural event [of sonata form] is the simultaneous return of the main theme and the tonic key in the middle of the second part’ (Webster, 2001:688). Splitting that main theme therefore adds a degree of ambiguity, allowing Shostakovich to conjoin the development and recapitulation through seven stages of change:

- (i) f17 Development begins, 1a as *adagio* in D minor;
- (ii) f25 1a returns as *allegro*, non-rooted harmony; 1b joins from f26;
- (iii) f29 *ff* dramatic version of 1b as *allegro*, unstable E–B^b pedal;
- (iv) f34 *fff* climax: brutalised version of 1a, chromatically altered tonic;
- (v) f35 transitional lament;
- (vi) f38 tonal recapitulation, return of second subject in tonic major;
- (vii) f43 thematic recapitulation, 1a and 1b appear in tonic as at opening.

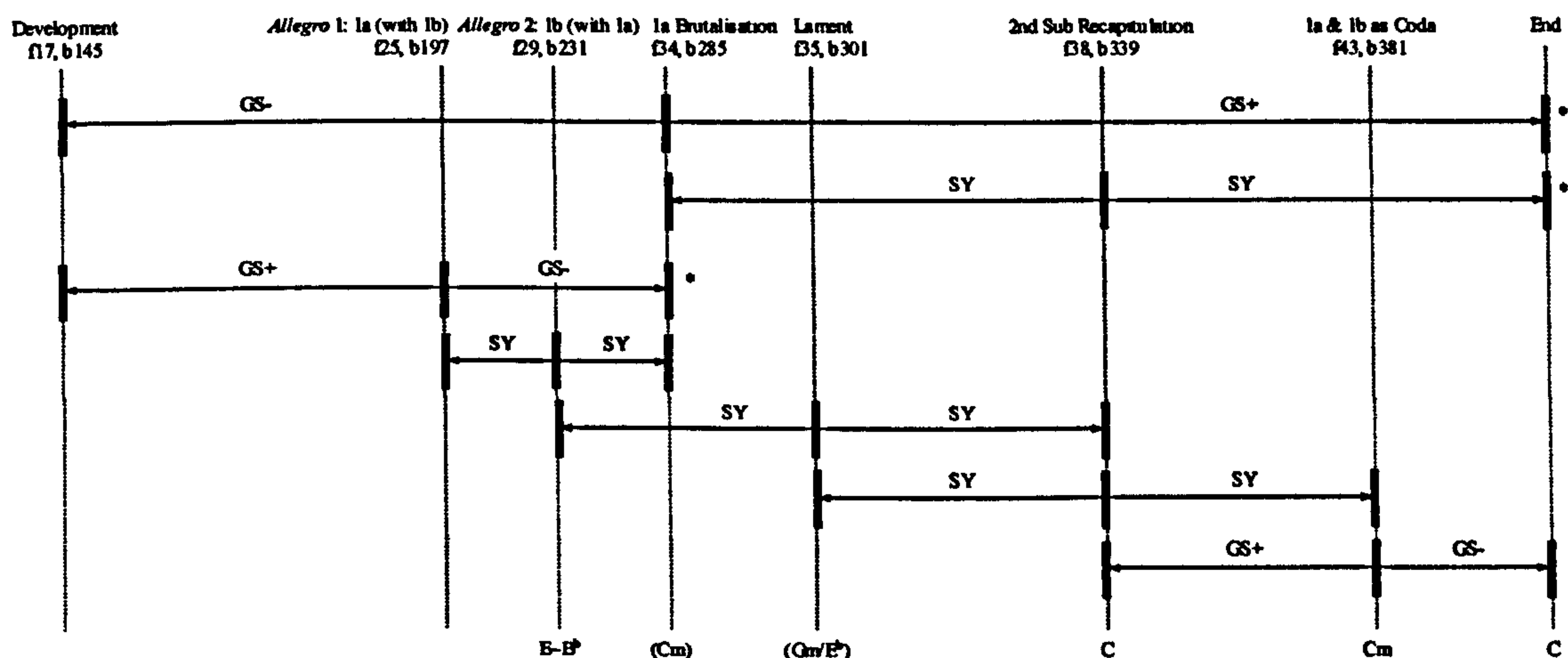
Crucially, there is no unambiguous coincidence of parameters at a single moment in the way Webster suggests. While figure 34 is the closest approximation to a point of recapitulation, it is a highly dramatic moment – the climax of the movement by means of so-called thematic brutalisation²⁴ – and still contains unstable chromatic elements in its harmonic support. If this is a moment of return, then it comes with little emotional (or structural) relief or release. In fact, the stable restatement of a combined first subject and tonic key (*pace* Webster) is delayed until figure 43. But this presentation is rather brief and too late in the structure to be considered a turning point in its evolution: by now the second subject has already returned in the tonic – an event that traditionally defines sonata-form resolution. As such, figure 43 functions more as a coda than a recapitulation.²⁵ The significance of the seven-stage process of return therefore lies in the fact that resolution from tension to relaxation is out of phase with other parameters: stability comes not from the first subject material of figure 34, but instead begins with the second-subject restatement of figure 38.

²⁴ For instance, see Ottaway, 1978:26, or Fanning, 1988:31. An important precedent for this procedure can be found in the opening movement of Tchaikovsky's Fourth, a work Shostakovich would surely have known given his acknowledgement of Tchaikovsky's influence in the Gruber questionnaire (Gruber, 2004:32).

²⁵ Precedents for this process are again numerous in the literature, not least in Schumann, whose possible influence was discussed earlier.

Structural phase is thus a highly dynamic process, as the tension built up in the development is carried over into the recapitulation. And as shown in Example 3.13, each stage in that process is connected to the next by means of cumulative proportional links, echoing both foreground momentum and the organic process of structural phase itself. But as shown, this dynamism is proportionally contained by the two primary turning points in the process of recapitulation: the brutalisation of 1a at figure 34 and the return of the second subject in a stable tonic at figure 38. These points provide some degree of balance across this stage of the movement.

Example 3.13 Symphony No.8 (i) – Proportions for Phased Recapitulation



Although structural phase and the consequent prioritisation of the second subject in the recapitulation are by no means unique to Shostakovich,²⁶ these are regular characteristics of Shostakovich's sonata forms. Further, as in the Eighth, these effects are often linked with the decision to split the first subject into two components. To consider the first movements from all the symphonies, for instance: in Nos.1, 4, 5, 6, 8, 10, 11 and 12, the first subject is split into introductory and melodic sub-components, while in Nos.7, 13, 14 and 15, additional themes are

²⁶ The conjoining of development and recapitulation was a regular technique in Soviet symphonism: see Fairclough, 2006:34.

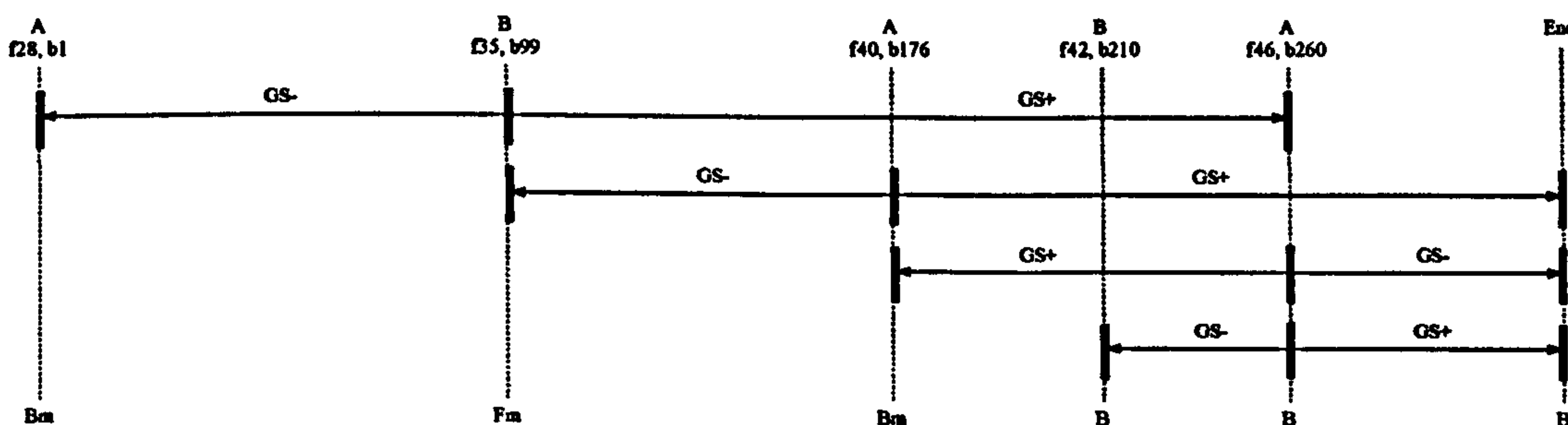
introduced to provide other elements of structural ambiguity. However, the effect remains different within each work, as this ambiguity is composed out alongside other variables. Often there is an elevation in structural and proportional significance of the second subject (as in Nos.1, 5, 6, 8, 9, 10 and 12), but in other examples Shostakovich is content to leave local ambiguities unresolved due to other factors – in the Fourth, Seventh and Fifteenth, for example, the second subject is similarly split into sub-components, reducing its potential to shoulder formal responsibility. Structural reprioritisation, or at least hierarchical ambiguity, appears to be a Shostakovichian custom resulting from the process of thematic subdivision. Its effect, structural phase, through regular application, becomes a defining feature in many of his sonata forms. This process is highly dynamic, as structural evolution supersedes block-like sectionalisation, creating the increased sense of energy and momentum associated with sonata form.

Model 4: Hybrid Form (Sonata-Rondo)

Scherzo form often lends itself to somewhat static proportional and tonal structures, and sonata form to more dynamic processes. It follows, therefore, that formal hybrids such as sonata-rondo, that specifically seek to fuse static and dynamic elements, will find some degree of compromise between, and integration of, these two extremes. The second movement from the Ninth offers a simple example of this process. Here, two themes alternate in the form ABABA, which, in combination with their light and dance-like style, points clearly to a rondo design. However, despite no dedicated development section, there is some degree of dynamism here, as themes are explored

both cellularly and dramatically as the movement unfolds. But the most crucial element of sonata-form thinking – the eventual capitulation of the secondary key area to the tonic – is revealed by the transposition of theme B: its first presentation is in the duplex tonic, while its restatement returns to the primary tonic (major). Elements of rondo and sonata have been synthesised, allowing a degree of tonal dynamism to permeate the block-like thematic form: a typical sonata-rondo. As shown in Example 3.14, stages therefore unfold in a cumulative proportional scheme, with a second wave of entries from figure 40 that consists of compressed thematic versions in order to create an increased sense of pace. When this end-weighted scheme is taken into consideration alongside the duplex tonal elements, it is clear that dynamism is effected overall, yet it functions in a significantly different manner here than in full sonata forms due to its block-like simplification.

Example 3.14 Symphony No.9 (ii) – Formal Distribution



The recasting of sonata form into this segmented shape is a significant difference between first-movement and latter-movement applications: following Classical convention, absent or highly truncated sections characterise the slow movement from the Fifth, and the finales of the First, Fifth and Sixth.²⁷ In all of these

²⁷ The first movement of the Sixth also lacks a dedicated development section. See Chapter 7 for more detail on this work.

cases, sonata form is used, but its dynamism is offset against a more concerted process of rondo-like sectionalisation and varied repetition.

A more complex example of this integration, and its transference into a proportional design, can be seen in the finale from Symphony No.8. Here, three principal themes (alongside additional melodic material) recur in the form ABACACBA, wherein the continually returning A material, usually in the tonic C major, implies a rondo-like composition, in which structural dominance results from the simple process of varied repetition. This inclination towards rondo form is given further credence via a tonal scheme that consistently sets themes B and C in the same keys (A and E respectively). However, these tonalities are open to modal alteration, and have exchanged modes upon their return (minor to major for theme B and major to minor for theme C). This process of variation reinforces foreground timbral and textural changes, and contrasts with the relative fixity of C major for theme A. Variation and repetition are significant structural forces here, and resonate in contained and balanced aspects of the distributional scheme shown in the upper part of Example 3.15. In this way, entries of theme C provide background stabilisation, within which the block-like segmentation of other thematic entries is enclosed.

Example 3.15 Symphony No.8 (v) – Thematic and Tonal Architecture

The diagram illustrates the thematic and tonal architecture of the fifth movement of Symphony No. 8. It is divided into two main sections: 'Static Thematic Distribution' and 'Dynamic Tonal Distribution'.

Static Thematic Distribution: This section shows the sequence of motifs and their tonal states. The motifs are labeled A, B, C, A, C, B, A, and End. The tonal states are indicated by GS- (G minor) and GS+ (G major). The motifs are separated by SY (Secondary Y) markers. The time signatures and measures are: A (124, 61), B (129, 692), A (132, 6143), C (136, 6186), A (141, 6228), C (145, 6270), C (151, 6332), B (154, 6362), Climax (159, 6416), C (162, 6439), B (166, 6473), A (168, 6506), and End.

Dynamic Tonal Distribution: This section shows the sequence of motifs and their tonal states. The motifs are labeled GS+, GS-, SY, SY, SY, SY, GS-, GS+, GS+, GS-, SY, SY, GS+, GS-. The tonal states are indicated by GS+ (G major) and GS- (G minor). The motifs are separated by SY (Secondary Y) markers.

The central musical staff shows the notation for the motifs, with a key signature change from G major to G minor and back to G major. The motifs are labeled A, B, C, A, C, B, A, and End. The key signature changes are indicated by # and b symbols.

Nevertheless, it is possible to observe three distinct phases within this movement, such that an initial presentation of motifs anticipates a more concerted development of A, initially in the flattened supertonic (from figure 141), before a final reversed presentation of all material (from figure 162): ABAC–A–CBA. A three-fold, arch-like sonata process emerges, which includes aspects of statement, development and (reversed) restatement, but with the important modification of a delay of the tonic return until the final presentation of A at figure 168. So this scheme is clearly a hybrid: there is no functional transposition of secondary thematic material, and the return of the tonic is withheld until figure 168. Long-range tonal departure and return therefore function alongside the block-like interjections of A and E (major and minor) for themes B and C.

Yet within the limits of a sonata perspective, the development equivalent from figure 141 clearly presents the most dynamic music of this movement. Here, the

initial entry of theme A breaks from its recurring C-major setting to appear instead in D^b major: the duplex dominant. This modulation brings about a more organic series of tonal centres that moves initially to the F[#] of figure 151, and then ultimately to a chromatic climax at 159, rooted on C[#], but with a melodic focus of G^b (duplex tonic) in the upper voice.²⁸ However, the foreground volatility of this duplex, and its lack of stable supporting harmony cannot provide the same stability as C major, and so the music soon moves away, firstly (and abruptly) to the un-transposed keys of themes B and C, and then ultimately back to the primary tonic for the restatement of theme A at figure 168. This evolution makes use of its own proportional scheme, as shown in the lower half of Example 3.15.

The dynamic motion towards the unstable climax, and its ultimate resolution back to the primary tonic, is related solely to theme A material, and defines a level of organicism that points distinctly to Shostakovichian sonata process. Proportionally this is reflected both in an axial system that pivots about the climax and also a cumulative system that moves up to that point. However, these dynamic elements are fused with the additional rondo characteristics of themes B and C, whose block-like statements counterbalance the dynamic potential of the movement, and offer thematic-led resolution via varied repetition to offset the more organic tonal scheme and developmental procedures associated with theme A. Two potentially contradictory processes are functioning here, and each finds its own independent completion. Of particular significance, is the extent to which they complement each other: both schemes (the static upper part of Example 3.15 and the dynamic lower part) coincide not only at the extremes of the movement but also at figure 168, which marks an

²⁸ Enharmonics here seem related to context. For instance, the F[#] of figure 151 initially functions as a second inversion of D⁷, before eventual tonicisation, whilst the G^b in the upper voice is approached via E^b minor (and major).

essential point of resolution for both sonata and rondo aspects, due to the simultaneous presence of both theme A and C major. This link, along with other proportional interactions, serves to synthesise both processes into one hybrid form that achieves closure to that structural opposition. The level of proportional and tonal interconnection here demonstrates a distinctive approach to formal hybrids.

The frequency with which structural fusion occurs in the latter movements is particularly high. In the finale of the Ninth, a similar situation sees sonata and rondo processes conflict and ultimately find resolution, while in the finale of the Fifteenth, the large-scale arch form includes at its peak a self-contained passacaglia, but simultaneously exhibits a secondary theme that functions in a more sonata-like fashion, transposing across the duplex system upon its return (in E minor at figure 120, and in B^b minor from 139). In each case, the result is an initial ambiguity as the listener attempts to rationalise formal organisation. However, such ambiguity is not the central factor here: rather it is in the balance of potentially opposing approaches that structural comprehension can be sought, for not only do Shostakovich's hybrid forms seek to fuse structural archetypes, they also seek reconciliation between the very principles of stasis and dynamism.

Archetype, Deformation and Energy

It is clear that formal organisation is an essential aspect of the symphonies, and its significance in part lies in the recognition of particular external models. Indeed, this thorough understanding and mature handling of form has long been heralded as a particular strength of the composer; for instance, Shebalin – Shostakovich's friend and colleague – spoke of a 'wonderful ability to construct large forms' (quoted in

Wilson, 2006:342). A degree of alignment with symphonic tradition is therefore preserved, such that the categorisation of movements in Example 2.3 (see page 62) is further reflected in their internal construction: first movements often employ sonata forms, dance movements largely offer scherzo-trio form, and finales regularly present a sonata-rondo, hybrid architecture.

But this should not necessarily be taken as a Neoclassical ethos (although formal and stylistic elements in the Eighth and Ninth might imply a sensitivity towards that approach). Rather, it represents a more direct continuation of the symphonic tradition, both inside and outside of Russia, for rarely does Shostakovich apply these archetypes in a fixed fashion,²⁹ confirming his earlier-quoted dismissal of his own prescriptive education regarding form. Instead, he betrays sensitivity to the variety that exists in the literature, by using archetypes instead as a basis for structural organisation, then freely deforming them, often reducing models to their fundamental constituents, and then rebuilding them in an individual manner.³⁰ His phased development–recapitulations are an obvious example, although one nonetheless grounded in both the Classical and Russian traditions.

Significant here is that the style of particular archetypes as defined by extents of energy – static scherzos, dynamic sonatas – is regularly reinforced by complementary proportional schemes. To work as a sonata form, for instance, the development does not *necessarily* have to be placed at SY; it would function as a development wherever it occurred. But by positioning it at SY, Shostakovich is demonstrating a particular sensitivity towards the concept of balance, and its

²⁹ Indeed, as Fairclough notes, this was a particular trend in Soviet symphonism (Fairclough, 2006:233). Further, this variety directly reflects that of the Classical tradition as a whole.

³⁰ This is not to suggest that deformation itself is the governing principle: deformation is more often the result of particular processes of content manipulation. This is discussed in more detail in Chapter 4.

consequent effect upon formal evolution. Further, by phasing additional proportions across this point, a dynamic progression of events unfolds, in keeping with the dynamism associated with this model. So not only is sonata form itself dynamic, but the proportional distribution of events is directly reflective of that degree of energy, reinforcing, and contributing to, the overall dynamism. Conversely, the relative stasis of block-like structures such as scherzo form is cast using more contained proportional schemes, thus reinforcing a sense of structural stability. And if proportional schemes reflect the varying effects of the forms they present, then this link is also reciprocated: forms articulate degrees of energy. As such, the evolution of energy across an entire work might constitute the fundamental background process here, with formal archetypes used as a lower-level manifestation. In this way, when Shostakovich required a more dynamic moment in a symphony he turned to sonata form; when he wanted something more stable, he used some type of block form. Either way, the close correlation between formal archetype and proportional organisation is fundamental to the notion of energy.

That energy operates at a higher level than individual formal archetypes can be validated further by observing the variations that exist not just between models, but also within them. Considering the first movements, for instance, Example 3.16 charts the use of sonata form with respect to the Example 3.8 schema. If taken in isolation, none of the variations outlined here are particularly innovative: each has a precedent, not least in the symphonies of Haydn or Mozart. But taken as a whole, the degree of flexibility with which Shostakovich handles sonata form is distinctly at odds with his own prescriptive education. Rather, there is a variety here that instead reflects more accurately the diversity of the wider sonata tradition.

Example 3.16 First-Movement Sonata Form Deformation

	A. Closest to Sonata Schema of Example 3.8	B. More Extensive Modifications	C. Significant Structural Additions or Changes	D. Only Basic Principles Retained	E. Little (if anything) Retained
<p>Absolute Music:</p>	<p>9. Two clear subjects; exposition repeat; only real modification is second-subject recapitulation in the subdominant.</p>	<p>5, 8 & 10. Each has split first subject group (or, rather, additional introduction material); each has conjoined development-recapitulation; first subject brutalisation for climax; each uses second subject for tonal recapitulation; each uses coda for first-subject restatement.</p>	<p>1. Independent introduction returns twice throughout. 4. Stylised variations of main theme for development; reversed recapitulation. 6. No dedicated development but developmental style throughout; second theme returns in the tonic as a coda. 15. Additional <i>William Tell</i> theme used to disrupt basic sonata scheme.</p>		
<p>Programmatic:</p>		<p>12. Closest to sonata-<i>allegro</i> with slow introduction but with similar characteristics to 5, 8 & 10: conjoined development-recapitulation; tonal recapitulation with second subject; first subject returns as coda.</p>	<p>7. <i>Bohéro</i>-like variations on a new theme in place of development; first subject brutalisation in tonic minor; second subject returns in the duplex tonic.</p>	<p>11. ABA form, in which B is significantly more developmental. 13. ABABCA, in which ABAB is possibly comparable to exposition and its repeat, C to development and final A to recapitulation.</p>	<p>2 & 3. Single-movement design; no specific forms; largely developmental style prevails, often of unconnected themes. 14. 11-movement organization, none refer specifically to sonata form (although thematic opposition is often played upon).</p>

And there is no single line of advancement within this variety. It is not a chronological process (in either direction); the most conventional incarnation of sonata form is in the first movement of the Ninth, while two of the least conformist works are the Second and Fourteenth. Further, it is not possible to understand this array as related entirely to the presence of a programme: the opening movement of the Sixth is significantly more removed from the schema than that of the Twelfth, despite the latter's programmatic orientation. However, the extremes of Example 3.16 certainly do fit into this model, with the least archetypal applications used largely in programmatic symphonies, and the most uncomplicated in absolute-music works. Programme clearly has some capacity to control form.

The only substantial rationale for *when* the sonata schema is most closely adhered to concerns a link with the work as a whole: if Example 3.16 is compared with Example 2.1 (page 54), then some degree of order prevails relative to biographical details. In this way, works from the central period of maturity, from the Fourth to the Twelfth (along with the extremes of the First and Fifteenth), all contain the most conventional forms, whilst Shostakovich's more experimental early and late periods offer more individual incarnations of the sonata principle. It is significant that the most conventional symphonies also have the most conventional formal schemes within movements. But this is hardly surprising, and does not account for *how* sonata-form is modified at these times.

Most notable in Example 3.16 is the concentration of movements within categories B and C. For this is Shostakovich's norm: the balance of archetype and deformation. Although his music (and, specifically, his notion of form) is clearly rooted in particular models, his flexible handling of archetypes displays an approach

that consistently re-imagines the extent to which these can contribute to an original musical gesture. His concept of 'sonata form' therefore seems as open to variety as his notion of the symphony itself, with convergence or divergence from any schema applied as appropriate to each individual context. To understand fully the concept of 'form' – of how and why deviations from, and deformations of, the norm occur – therefore requires more careful consideration of these contexts: this issue will be taken up in Chapter 4.

However, what this comparison demonstrates for the present purpose is the flexibility of energy, and the reciprocal flexibility (for Shostakovich at least) of external formal models. For in sympathy with the variations exhibited in Example 3.16 is a unique proportional design within each movement. Developments and recapitulations may occur at different points, thematic groups may be variously subdivided, and tonal schemes may differ immensely, yet in each work a complementary proportional scheme exists that reflects the particular musical arguments in progress. And a similar situation arises for each of the archetypes discussed in this chapter. Therefore there remains an essential consistency amongst this diversity: energy is an inherent part of Shostakovich's forms, and the organisation and evolution of individual archetypes is fundamental to the overall course that each symphony charts.

Chapter 4

Content Connections – Form as Internal Process

How should we assess the form of Symphony No.10 (iii)? Possibilities have included: ‘a compromise between song and dance form’ (Kay, 1971:50); ‘a kind of intermezzo, almost nocturnal in character’ (Ottaway, 1978:48); basically ‘a rondo, but with progressive accumulation of tension grafted on’ (Fanning, 1988:48); a fusion of basic and ‘alien elements, which...suggest the operation of a hidden programme’ (Longman, 1989:133); or even ‘a combination of sonata...and rondo’ (Hurwitz, 2006:129). As shown in Chapter 3, to comprehend form in Shostakovich’s symphonies is, in part, to examine the application of particular external models. However, it is clear from these varied interpretations that, in some instances, it is difficult to identify with any certainty a single archetypal form. The range of interpretations of Symphony No.10 (iii) clearly demonstrates this ambiguity – an uncertainty made all the more confusing if one were expecting a standard sonata-form slow movement, or even a less aggressive scherzo than that of the second movement.

To assign terms such as ‘compromise between’ or ‘a kind of’ is not only indicative of the processes of fusion or ambiguity that occur in the music, but also of the limiting nature of such compartmentalised analysis. As Arnold Whittall observes, ‘composers oblige writers on music to confront the infinite flexibility of the relation between “form” as a generic category (such as ternary, canon, sonata) and the musical work as the unique result of the deployment of particular materials and processes’ (Whittall, 2001:92). And this highlights a second aspect to this problem: regularly in Chapter 3 diversity *within* models was seen, so even when archetypal designation is

possible, Shostakovich's conception seems more akin to a range of options, rather than to a specific architecture. To examine formal organisation fully in this music is therefore not simply a matter of identifying *what* models are used, but rather an awareness of *how* these are used, and, in particular, the way form responds to the specific needs of the content it contains – form as internal process, rather than as external model.

Form and Diversified Unity

The driving forces behind a process-based conception of form are rooted at a local level. Example 4.1 transcribes the famous DSCH theme from Symphony No.10 (iii).¹ After its repeated presentation, this cell evolves into a full melodic line, but in doing so retains its intervallic structure. Continuation is therefore achieved by means of diversification; continuity is preserved through an inner cellular unity. Further, the opening theme of the movement is, retrospectively, a reordered presentation of the DSCH motif,² offering a further level of internal diversified unity that will, combined, stand in opposition to the cellularly distinct Elmira theme of figure 114.³ The formal (and programmatic) direction of this movement involves offsetting different stylistic variations of DSCH (introspective, playful, aggressive) against the independent Elmira material, with their ultimate synthesis (or at least proximity) coming in the figure-139 coda. Crucially, this is made possible by careful and selective thematic transformation, unifying certain elements, whilst rendering others distinct.

¹ This is Shostakovich's monogram: Dmitrij SChostakowitsch (in German), translating as D–E^b–C–B[♯].

² As, indeed is the opening theme of the first movement, albeit transposed.

³ This too has been revealed as a monogram of Shostakovich's pupil, and object of his affection, Elmira Nazirova (E–la–mi–re–A). See Kravetz, 2000:159–74.

Example 4.1 Symphony No.10 (iii) – Diversified DSCH; Distinct Elmira

Melodic Development of DSCH Cell

46 *ff*

(transposed)

(re-ordered)

Altered DSCH in Opening Theme

100
Allegretto ♩ = 136

p dolce

Distinct Elmira Theme

114

154 *f espress*

The 'form' of this movement therefore grows out of this fundamental cellular opposition, with themes confined to certain formal sections – DED[D+E]⁴ – and with different variations of DSCH appearing within the larger-scale D segments. A formal link to a specific external archetype is of less significance, as it is the internal process of cellular opposition and the projection of this into the formal domain that controls structural and programmatic evolution here. In fact, this type of opposition and resolution is one of the few consistencies in the symphonies: all 62 movements have some form of thematic dialectic, and each charts its own course towards resolution, within or outside the limits of an external archetypal model. Importantly, as in the

⁴ D refers to DSCH material; E to Elmira material.

Tenth, this dialectic is often grounded in remarkably small amounts of underlying material.

Processes of thematic transformation have been surveyed extensively for Shostakovich,⁵ so additional examples are not necessary here. It is important to note, though, that this type of manipulation aligns Shostakovich's style closely with symphonic tradition. As Adorno notes, it is the 'dynamic relation of unity and diversity which constitutes the law of Viennese Classicism' (quoted in Paddison, 1993:231ff), and a state in which 'integration and disintegration are entwined' (quoted in Paddison, 1993:158) is central to the very notion of symphonism. For Shostakovich, 'this kind of thematic transformation is the powerhouse for most of [his] Symphonies' (Fanning, 1993:299), diversifying a minimum amount of content to achieve its maximum expressive potential. It is partly through this process, then, that Shostakovich achieves such a rigorously symphonic aesthetic, and one that clearly follows eighteenth- and nineteenth-century models.

The formal consequences of this approach are of primary significance, and in Symphony No.8, we can see this principle at its most sophisticated extent. Here, multi-movement connectivity is achieved through the manipulation of a single basic cell – a mordent figure (and, at times, an inverted mordent figure) that is then composed out over a perfect fifth – such that the principal thematic material of each movement is derived from this idea. As shown in Example 4.2, the work as a whole consistently employs variations of this cell, creating melodic (and hence stylistic) diversity that is nonetheless rooted in a single intervallic unity.⁶

⁵ See, for instance, Roseberry, 1982:86–224, and Longman, 1989:75–120.

⁶ A similar process can be seen in the First Symphony, wherein a surprisingly high number of elements are based on the same melodic contour of the first subject from the opening movement.

Example 4.2 Symphony No.8 – Cellular Basis of Themes

Movement I

Musical notation for Movement I, measures 1-69. It shows three staves with melodic lines. Brackets indicate 'Perfect 5th' intervals. Mordent ornaments are placed over specific notes. Dynamics include *ff*, *pp*, and *p*.

Movement II

Musical notation for Movement II, measures 1-12. It shows a single staff with a melodic line. A large bracket indicates a 'Perfect 5th' interval. Mordent ornaments are placed over notes. Dynamics include *ff*.

Movement III

Musical notation for Movement III, measures 34-77. It shows two staves. Brackets indicate 'Perfect 5ths' intervals. Mordent ornaments are placed over notes. Dynamics include *ff*.

Movement IV

Musical notation for Movement IV, measures 18-113. It shows a single staff with a melodic line. Brackets indicate 'Perfect 5th' intervals. Mordent ornaments are placed over notes. Dynamics include *p*.

Movement V

Musical notation for Movement V, measures 8-95. It shows a single staff with a melodic line. Brackets indicate 'Perfect 5th' intervals. Mordent ornaments are placed over notes. Dynamics include *p* and *p semplice*.

Thematic diversification is once again crucial to the evolution of this work, as the onset of different transformations mark important structural moments, both within movements and across the symphony as a whole. Formal division therefore results partly from the onset of new 'variations'.

Additionally, the tonal plan of the Eighth can be conceived of as the large-scale projection of its local content. As shown in Example 4.3, the opening melodic material from figure 1 uses D^b as an initial point of departure from the tonic C minor, before moving first to E minor and then to A^b minor.

Example 4.3 Symphony No.8 (i) – Opening Material

Adagio ♩ = 80

The musical score is presented in four systems, each with a double bar line and repeat sign at the beginning. The first system is marked *ff*. The second system begins with *dim* and includes dynamic markings *mp*, *p*, and *pp*, along with a first ending bracket labeled '1'. The third system includes a second ending bracket labeled '2'. The fourth system features *cresc* and *f cresc* markings.

This succession of tonal centres (C–D^b–Em–A^bm) is composed out at the highest tonal level of the symphony:

Movement i – C minor,

Movement ii – D^b major,

Movement iii – E minor,

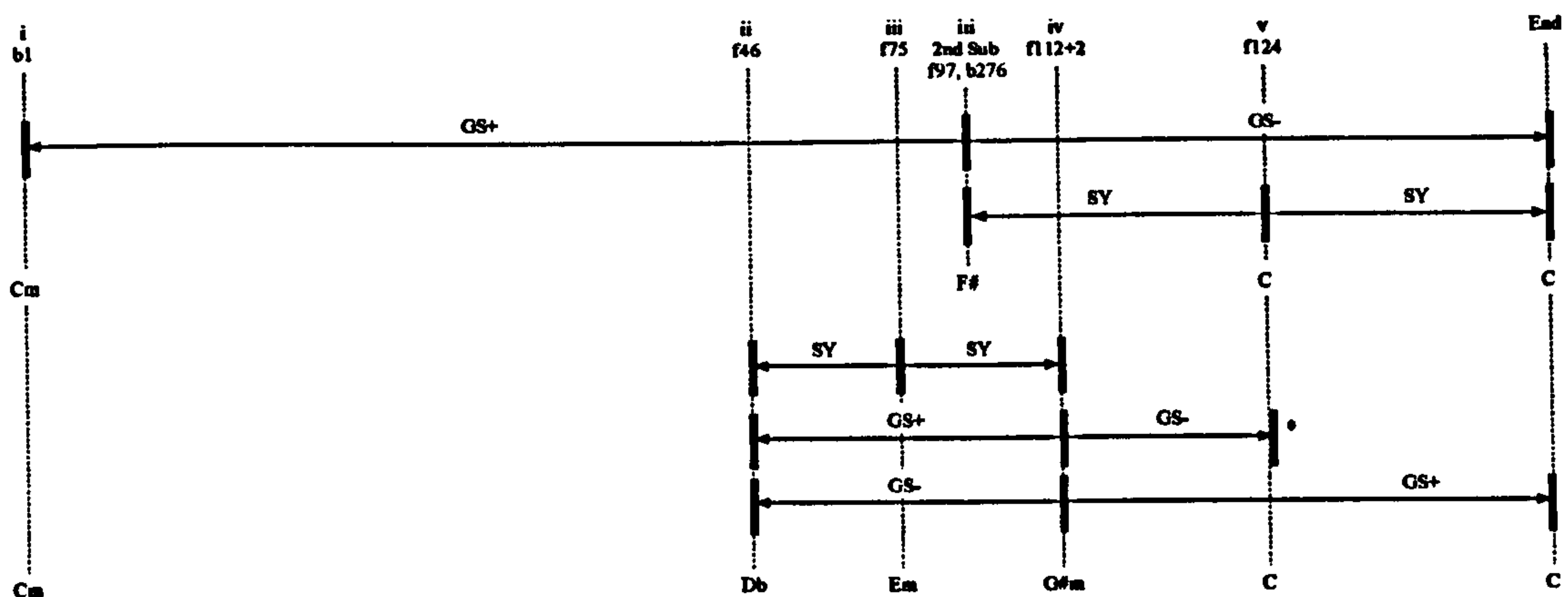
Movement iv – G[#] minor (enharmonic to A^b),

Movement v – C major.

Further, there is one additional interruption hinted at in the introduction: the G^b of bar 5 (see Example 4.3), appearing briefly as duplex at GS+ relative to the return of the

tonic in bar 8. This feature is composed out on the background level, with F[#] major used at GS+ within the symphony as a whole to set a moment of total stylistic disruption: the second subject of the third movement (figure 97). A localised feature is given formal stature through this enharmonically altered projection. The distribution of this background key scheme is charted in Example 4.4.

Example 4.4 Symphony No.8 – Distribution of Background Key Scheme



One additional link exists within the finale, in which most of these keys (with the addition of A minor: the key of the second subject from the second movement) are reused within a sonata-rondo scheme.⁷ Here is a symphony, then, that not only diversifies an underlying cell to create five stylistically (and formally) different movements, but those movements are also directly related to the opening gesture through their tonal schemes. Form is the direct projection of local content, and local content provides a microcosm of the eventual course of the work.⁸

⁷ The second subject is in A minor, the third subject in E (major and minor), the development in D^b, with F[#] appearing as a pedal point at figure 151 (see Chapter 3 for more discussion of this movement).

⁸ Other examples of this process can be seen in Symphony No.1 and No.6. In the First, the A and D^b resolutions of figures 44 and 45 prefigure the keys of the second and third movements respectively (see Haas, 1998:171ff), while in the Sixth, the finale opens by offsetting B dorian against G aeolian: B is the main key of the first and last movements; G opens the second.

Form and Thematic Process

If the previous section concerns links between form and local content, then it is also possible to view a connection between form and *how* that content is used. To consider Symphony No.12, for instance, its first and last movements each have a distinct sense of energy – a feature that can be traced back to various structural levels. Example 4.5 begins by charting the foreground rhythmic construction of the principal themes and reveals significant differences between their relative stabilities. In the finale, not only is the entire 8-bar phrase SY constructed, but each successive layer of subdivision further partitions periods into two SY units.⁹ The result is a highly stable structure, whose balanced proportions fully enclose all melodic activity. By contrast, material from the opening movement is more rhythmically unstable, with its evolving metre and seemingly disconnected cellular units (bars 30–32; 33–4; 35–6). As such, its proportional organisation is very different from that of the finale, with local symmetries having no higher-level enclosure. Nevertheless, the phrase is proportionally controlled at its highest level, allowing some sense of order to prevail; in keeping with its more unstable surface, this distribution is via GS- imbalance, rather than the SY balance of the finale.

⁹ This theme refers to figure 61 of Symphony No.2, a work, like the Twelfth, programmatically connected with the Revolution.

Example 4.5 Symphony No.12 (vi & i) – Thematic Construction

Symphony No.12 (iv) - Stable Rhythmic Construction

This musical staff shows a sequence of notes with rhythmic annotations. A box containing the number 92 is positioned above the first measure. Below the staff, three horizontal lines with vertical tick marks and arrows indicate rhythmic intervals. The first line consists of seven segments, each labeled 'SY'. The second line consists of four segments, each labeled 'SY'. The third line consists of one long segment labeled 'SY'.

Symphony No.12 (i) - Unstable Rhythmic Construction

This musical staff shows a sequence of notes with rhythmic annotations. A box containing the number 30 is positioned above the first measure, and a box containing the number 4 is positioned above the last measure. Below the staff, two horizontal lines with vertical tick marks and arrows indicate rhythmic intervals. The first line consists of three segments, each labeled 'SY'. The second line consists of one long segment labeled 'GS+'. There are also three '3' annotations above the staff, each with a bracket indicating a triplet of notes.

This differentiation in thematic construction is further explored in the way material is immediately extended. As shown in Example 4.6, the finale progresses by means of variation, such that modified versions of the entire theme alternate with intermediate transitional material.

Example 4.6 Symphony No.12 (vi & i) – Modes of Thematic Continuation

Symphony No.12 (iv) - Thematic Continuation by Variation

93 (Variation 1)

13

(Transition 1)

94 (Variation 2)

ff espress

mf

Symphony No.12 (i) - Thematic Continuation by Development

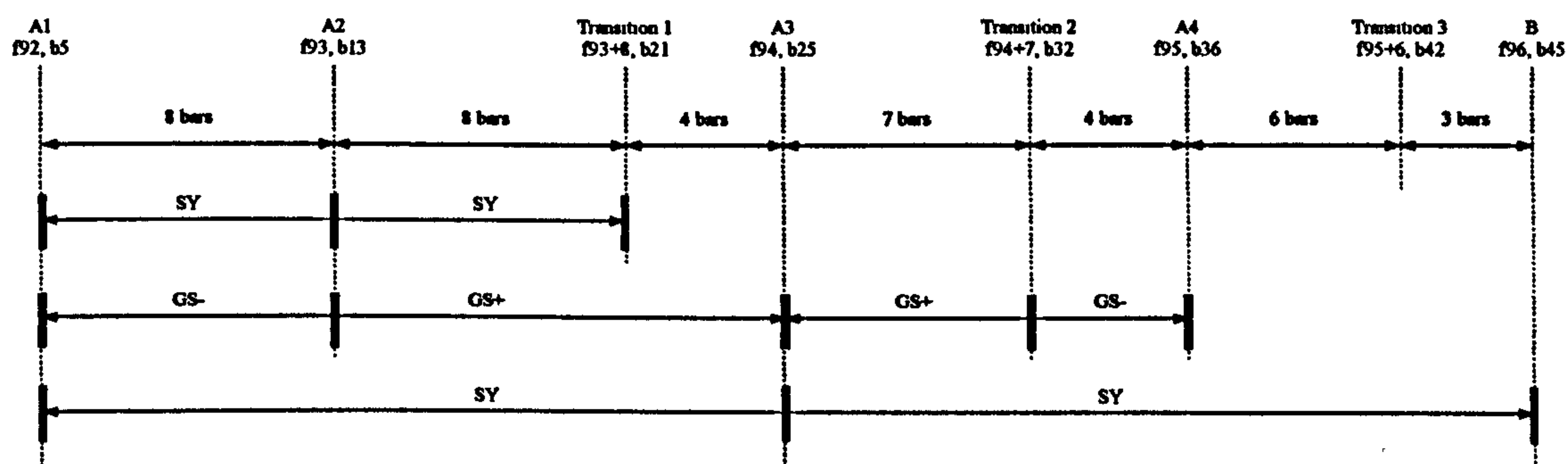
4

37

5

The structural function of different sections is therefore clear, and in particular, points of division are of equivalent clarity within the total evolution. In other words, despite the harmonic connections of transitional passages, this is largely block-like music, whose variation process translates into a static organisation of material. In fact, if the entire exposition of this theme (up to figure 96) is considered, a highly compartmentalised structure emerges, as shown in Example 4.7.

Example 4.7 Symphony No.12 (iv) – Sectionalised Variation Process



So, not only is the theme itself SY organised (see Example 4.5), but its distribution throughout this initial presentation is similarly proportioned, such that variation A3 falls exactly at SY within the overall passage. Some degree of organicism is retained, though, not just through the use of transitional sections, but also through the successively decreasing lengths of each variation, and the comparable decrease in transitional lengths. Momentum therefore exists, but in a conservative manner relative to the overall stability of the variation process.

However, to return to Example 4.6, material from the first movement is extended rather differently. Here, individual cells from the theme are isolated and explored without necessarily referring to the original proportions of the melody. Further, this exploration occurs with little regard for vertical harmonic stabilities, instead adopting either free counterpoint, or unfocused hints of harmonic motion by

means of brief vertical interjections. Even the 'cadence' into bar 42 is hardly stable, moving immediately from its second inversion into the new harmonic region of B^b. This combination of cellular manipulation with largely unstable harmonic verticalities is therefore indicative of development (rather than variation) process.

The main difference for Shostakovich between these two methods of thematic process lies in the way surface events can be subdivided. In the variation system of the finale, points of foreground division are clearly perceptible; the unambiguous onset and conclusion of successive variations and transitions results in a block-like phrase structure. Stasis and dynamism are therefore controlled at this foreground level through the relative lengths and interconnectedness of phrases. However, the developmental procedure of the first movement offers constant reworking of cells using elements that are too small to constitute self-contained phrases, and so synthesise into longer units. In other words, development generates integration, and not separation, with successive cellular entries marking *stages* within a larger process of growth or decay, rather than discrete points of division. When combined with unstable harmonic progressions, a strong sense of momentum is created as cells enter in various guises and combinations and exit just as freely. The consequent soundworld is highly unstable, as the listener is compelled to move onwards towards necessary points of resolution. A sense of dynamism is therefore more apparent than in examples of variation process.

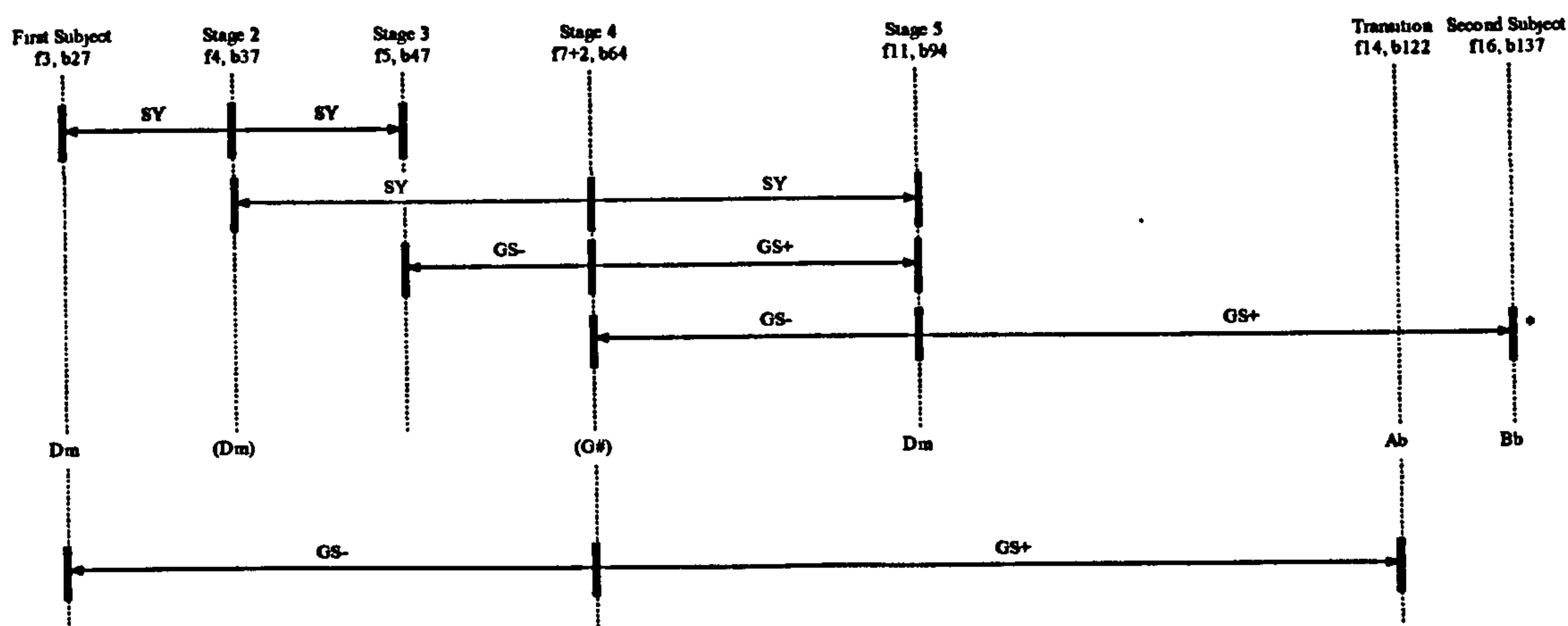
Another significant feature that deserves attention is the insatiable rhythmic drive present in Shostakovich's developmental music. In the first movement of the Twelfth, this takes the form of both a constant crotchet beat and regularly returning

trochaic units, which develop elsewhere into fully fledged ostinati.¹⁰ In fact, this sustained re-use of a small rhythmic unit – most often either the trochee or dactyl – is a defining feature of Shostakovich's musical language in general. Since vertical sonorities at this foreground level can do little to disrupt the overriding directionality, harmony is rendered less structural and more decorative under such intense rhythmic dynamism. This allows vertical harmony – both consonant and dissonant – to unfold more freely than would be possible in music where momentum stemmed from traditional harmonic voice leading. Rhythmic repetition and ostinati provide consistency within the otherwise changing surface.

Given the prevailing horizontality of this developmental style, points of stability – or at least points of division – must therefore occur at higher structural levels, wherein combinations of parameters (rhythm, melody or harmony) change simultaneously. It is in the middleground, then, that moments of arrival are perceived during developmental passages, meaning that longer durations of music pass in the interim than is the case in the more block-like process of variation. Such points therefore become focal within an otherwise horizontal surface, and can themselves unfold proportionally over time. In the first movement of the Twelfth, the exposition of the first subject can be broken down into five stages, with one final transitional passage into the second subject. As shown in Example 4.8, cumulative proportions link each stage in this evolution, allowing not only foreground momentum, but a distributional structure that itself unfolds dynamically over time.

¹⁰ Instances of ostinati can be found in most symphonies. Examples include Symphony No.3, f21, No.4 (iii), f181–5, No.7 (iii), f121 & f131, No.10 (iii), f129 and No.12 (iii), f84. When commentators describe energy in Shostakovich's music (see examples on pages 2–3), it is often to this type of passage that they refer.

Example 4.8 Symphony No.12 (i) – Dynamic Development Process



Development as a process is, of course, not restricted to a 'development section', and occurs here equally dynamically within the exposition. Also shown are the principal tonal areas through which this passage moves, and, as can be seen, the duplex tonic recurs twice (through GS- distribution) as a disruption to the primary tonic D minor. Again, this assists in the dramatic and unstable effect of this passage, ensuring that when points of harmonic stability are reached they are not necessarily stable relative to the overall tonal plan.

Crucial here is the fact that this dynamic developmental process directly mirrors the rhythmic instability of the theme itself (see Example 4.5), just as the relatively static variations of the finale echo its thematic stability. There is a link, therefore, between rhythmic stability, variation process and stasis, and a similar link between rhythmic instability, developmental process and dynamism. Of course, these connections are not absolute, as any combination could in theory occur. Yet in this organisation – stability versus instability; variation versus development – Shostakovich has a powerful tool for moving through relative phases of stasis and dynamism in the overall control of energy within a work. Further, this connection highlights a fundamental interrelatedness between form and content: the stable and

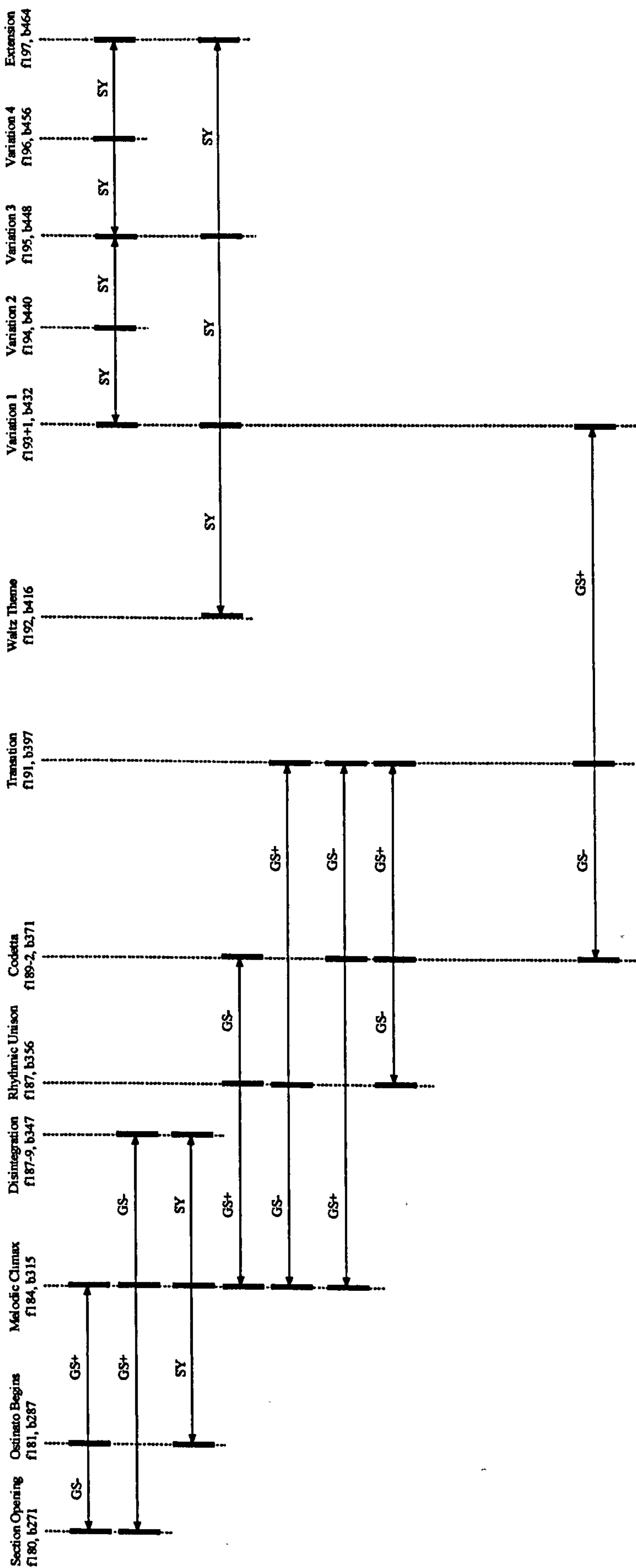
variation-led process of the finale uses at its highest level a rondo-like form, while the developmental and unstable first movement employs sonata form.¹¹ Form is the projection of thematic process; thematic process serves to highlight form. The prevailing sense of stasis or dynamism is therefore not just the result of one structural level, but the product of different elements working together.

Whereas in Symphony No.12 this distinction creates dissimilarity between movements, it is equally possible for a single movement to move through phases of stasis and dynamism: the finale from Symphony No.4 provides a useful example. Here material is derived largely from two themes – those of figures 152 and 167 – yet in their diversification, Shostakovich employs distinct sections that focus either upon static variation or dynamic development. In particular, figures 191–238 constitute a suite of stylised dances based upon these themes and some new material. Each dance is repeated and varied in a block-like fashion, creating an essentially static phase in the movement. However, just prior to this section exists one of the most dynamic moments of the entire symphony with its preparation for, and resolution of, the figure-184 melody. As shown in Example 4.9, this transition from dynamism to stasis is not only effected through a change in material and thematic process, but also through a move from cumulative to enclosed proportions, and from largely GS links to total SY control. Developmental imbalance and variational balance are mirrored in this proportional design, reinforcing the significance of this moment as the start of a new stage within the movement.¹²

¹¹ Other examples of variation-led movements include Symphony No.1 (iv), No.12 (ii) and No.13 (v), while largely developmental processes (such as those observed in the first movement of the Twelfth), consume Symphony No.7 (iv), No.11 (iv) and the majority of Symphonies No.2 and 3.

¹² Other examples of this type of transition between thematic processes within a single movement include Symphony No.7 (i), f19, No.7 (iii), f121, No.10 (iii), f129 and No.15 (iv), f125.

Example 4.9 Symphony No.4 (iii) – Transition into Dance Suite



That Shostakovich so freely explores both variation and development as processes of thematic manipulation is indicative of his wide-ranging influences. Not least, this betrays his standing at the crossroads of the Russian and Germanic schools. It is a significant aspect of the Russian musical tradition to make use of repetitive, block-like forms, a technique dating back in particular to Glinka's *Kamarinskaya*.¹³ To synthesise this process so skilfully with Germanic styles of organic development reveals the significance of this careful integration. Diversity in thematic process is a crucial aspect of Shostakovich's compositional language, yet its projection into the formal and proportional domains significantly contributes to a prevailing sense of unity and integration. It is this link that further consolidates Russian and Germanic elements.

Form and Tonal Direction

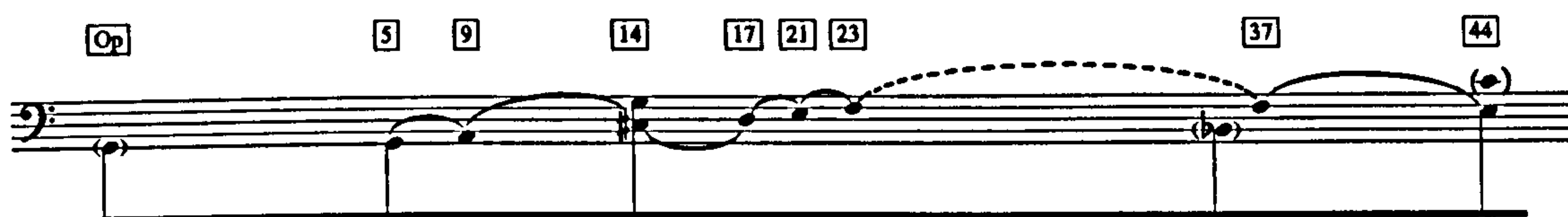
At the most local level, form can be controlled by thematic content, and at the next by thematic process; at the highest structural level, tonality can similarly prove a driving force in formal evolution. Of course, this concept is crucial to various external archetypes, not least sonata form, wherein the resolution of tonal opposition is a primary feature of its dialectical construction. However, Shostakovich regularly employs tonal schemes that act independently, generating directionality in the absence of, or in combination with, formal models. Symphony No.3, for instance, can be broken down into five large-scale sections, as delineated in Chapter 2, each of which conforms to a mini-movement within the overall shape. Yet within these, there is nothing in the way of external archetypes, such as sonata or scherzo form, but rather

¹³ See Taruskin, 1997:113–51, for more detail on *Kamarinskaya*, or D. Brown, 1993:263, regarding the respective block-like and organic trends of Russian and Germanic musical schools.

an independent process that rely more on thematic opposition and foreground dynamism in the overall projection of its programme. This has led commentators such as Ottaway to conclude that, 'There is a great deal of hectic activity...but little dramatic structure' (Ottaway, 1978:18).

If the middleground tonal scheme is taken into account, a controlling directionality emerges that not only contains this lower level momentum, but also contributes to it. In the first large-scale section up to figure 44, for instance, material enters and exits freely, with no real thematic return.¹⁴ Further, this material is treated in a highly developmental fashion, with little stable harmony or points of arrival. Nevertheless, there are a few moments where pedal points are used over longer periods. If these pedals are charted, as in Example 4.10, a logical tonal evolution emerges.

Example 4.10 Symphony No.3 (Part 1) – Middleground Voice Leading



Progress is made by means of step-wise ascent from an opening (somewhat ambiguous) G through to the E (and C) pedal that initiates Part 2 at figure 44. Further, the duplex system once again has a crucial role, as the pivot point in this progression is the C[#]-G tritone at figure 14, a combination of the tonic and duplex tonic that functions unstably, cadencing onto the D (minor) of figure 17.¹⁵ This tritone relationship is symmetrically divided through the additional use of E and B^b: E

¹⁴ The only connections are formed from loose stylistic associations, such as that of the quasi-military tone of figures 5 and 37. There is no specific thematic recapitulation.

¹⁵ This tritone falls at roughly GS- within this section. However, there are several unspecified *meno mosso* markings here, making it difficult to assert this fact with as high a level of accuracy as elsewhere. See Chapter 10 for more discussion of variable tempo markings and performance practice.

is used as the concluding point in this part of the movement, with B^b (dominant 9th) acting as an initial point of arrival before the horn episode of figure 37. This logical tonal system therefore provides a level of continuity that replaces a sonata design, but still retains some degree of structural directionality. It is a system that brings about middleground forward momentum that is then composed out at the surface, reflecting the programmatic need at this stage in the symphony to propel the listener towards the impending choral finale.

While in the Third, stepwise (and tritone-led) tonal evolution is used as a substitute for thematic form, in Symphony No.7 (i), the duplex is used alongside sonata process. The primary theme, shown in Example 4.11, immediately highlights the tritone-related F[#] as a GS- point of disruption within an otherwise C major context.

Example 4.11 Symphony No.7 (i) – First Subject

The influence of this early hint can be seen elsewhere in the movement, such as its textural focus during the minor-mode thematic brutalisation of figure 52. However, it is in the large-scale tonal scheme that the importance of this duplex connection carries the most significant structural function. In particular, the dominant-set second subject returns in the recapitulation not in the primary tonic but in this duplex. As shown in Example 4.12, its restatement is anything but stable, with a rhythmic awkwardness and modal accompaniment. The significance of that early F[#] in Example 4.11 is

therefore projected to a formal level: duplex disruption is a melodic and tonal phenomenon.

Example 4.12 Symphony No.7 (i) – Second Subject

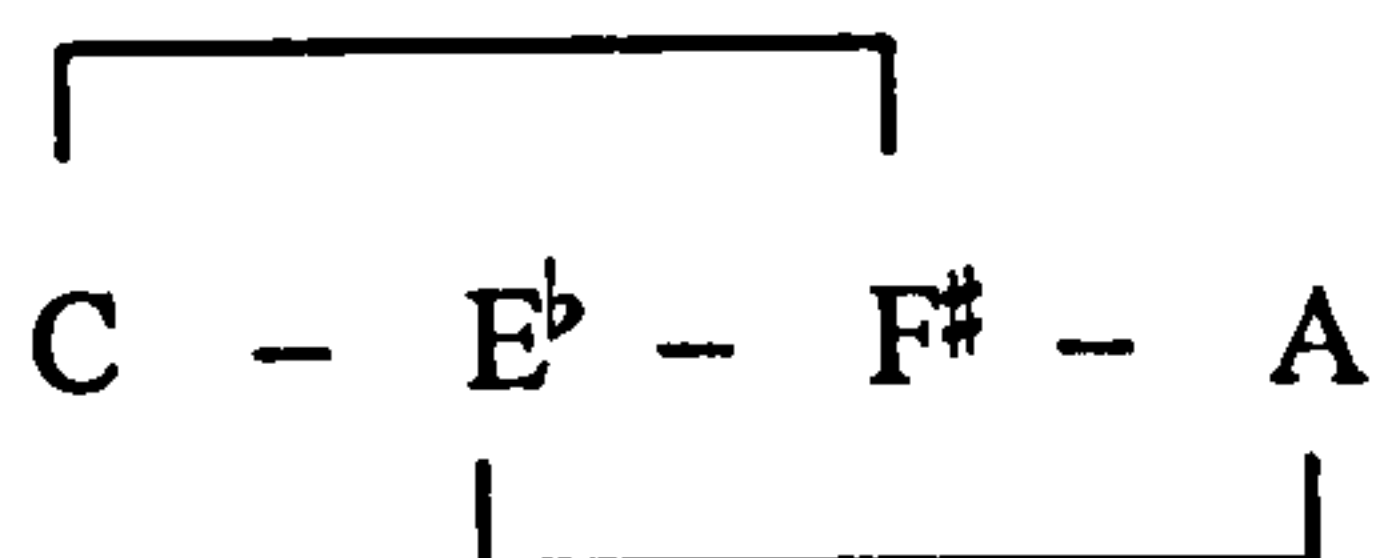
Second Subject in Exposition (in primary dominant)

Second Subject in Recapitulation (in duplex tonic)

Sonata form is further interrupted at figure 19, where instead of a dedicated development section, Shostakovich instead introduces a series of variations upon a new theme. This substitution is no doubt related to the programmatic content of the movement, as Shostakovich described how his war theme ‘breaks suddenly into our peaceful lives’ (quoted in Ottaway, 1978:34).¹⁶ Disruption is further reflected within the proportional design, as evidenced by the absence of any SY or GS placement of either the development or recapitulation, a technique regularly implemented within the more conventional sonata forms seen in Chapter 3. How the movement compensates for this modification is through its highly organic tonal scheme, and in particular through its tritone-related key scheme. While the recapitulations of both subjects hinge around the duplex F[#], the war theme (or rather development replacement) begins in E^b, a key that symmetrically divides the C–F[#] tritone. Further, this E^b moves to *its* duplex, A, for the figure-45 climax.

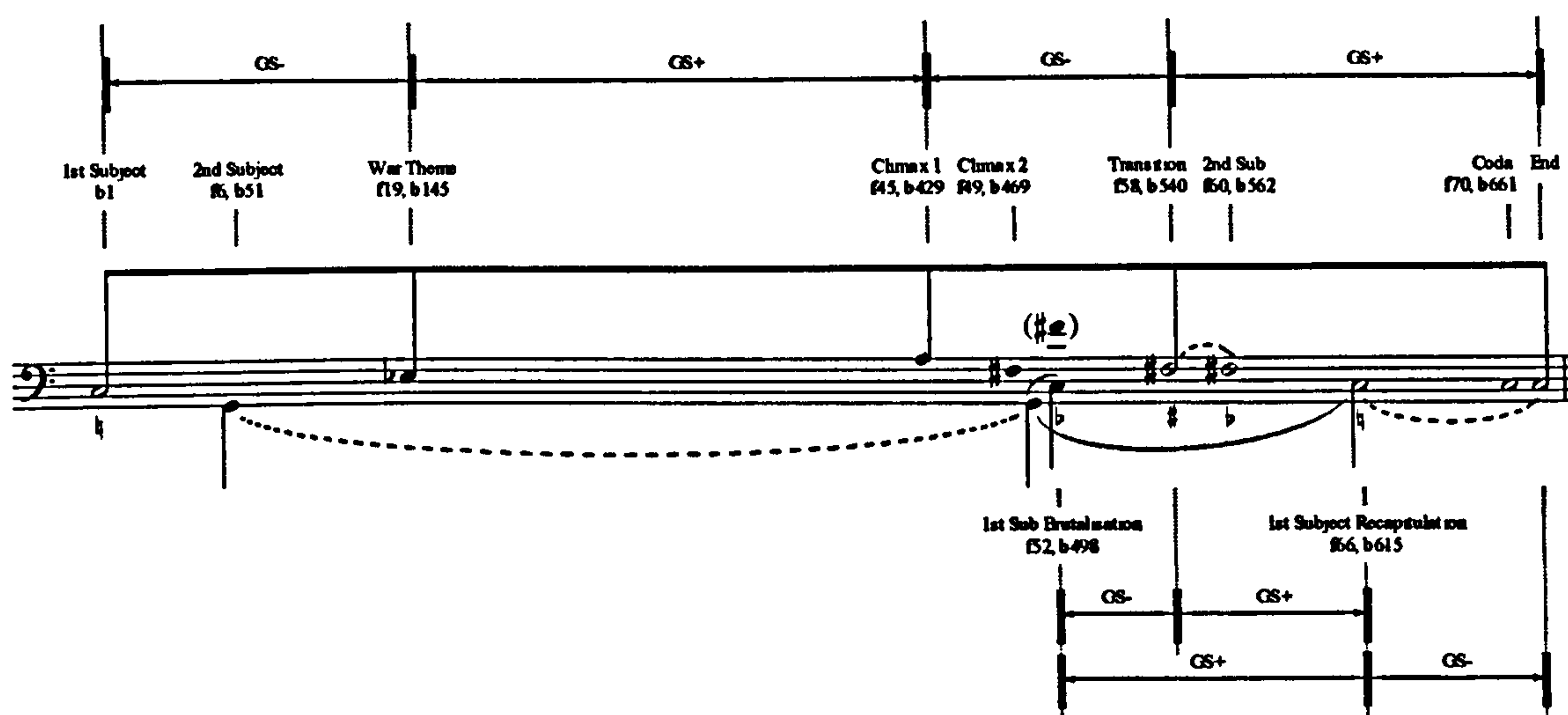
¹⁶ The structural significance of programme will be explored in more detail below.

In totality, therefore, there exists a full cycle of minor-third-related keys in this music:



explored in two duplex-related pairs. This is the closest Lendvai's Axis System comes to rationalising tonal relationships in Shostakovich's music.¹⁷ Example 4.13 plots the distribution of these keys, revealing the confinement of these duplex pairs to their respective themes.

Example 4.13 Symphony No.7 (i) – Tonal Scheme



There is a careful proportional distribution of these keys that replaces any other theme-based proportions. Further, the main resolution of the primary dominant (G) from the second subject is delayed until after figure 66, but, as shown, the tonic minor of figure 52 also acts as an interim point of arrival; its motion via the duplex back to tonic major is also proportionally controlled. The preservation of a tonic–dominant dialectic is a significant aspect of this sonata form in spite of additional duplex tonal

¹⁷ Lendvai explored similar tritone-based theories for the analysis of Bartók, some 60 years after Yavorsky's 'Theory of Modal Rhythm' was first published. Interestingly, Lendvai observes that Bartók similarly synthesised these poles with GS proportional schemes. See Lendvai, 2000.

regions, and its resolution is an important part of the movement's ultimate move to conclusion. And when the 'war' theme makes one final appearance at figure 70, its transposition into C major confirms the end of the sonata process. Clearly tonal directionality is a driving force here, not least in the absence of a dedicated development section.¹⁸

Form and Programme

Part of the reason that the Third and Seventh employ such unconventional tonal schemes relative to external formal models is the adoption in each of an extra-musical programme. As such, the need to promote specific meaning inevitably affects decision making, taking control over other musical parameters. However, whereas in the above examples programme disrupts archetypal form, it has the potential directly to control form. In the first movement of the Eleventh, for instance, a listener would have good reason to expect some degree of sonata design, given both its placement within the work as a whole and this prevailing norm within the majority of Shostakovich's symphonies. However, elements of thematic process and tonal direction here are distinctly at odds with this archetype. Material is derived largely from folk melodies, used to represent a gathering of workers in the 'Palace Square' (Ottaway, 1978:51). In particular, three thematic groups emerge in the form A-B-A-B-C-B-A.¹⁹ The implication is that traditional sonata conflict has been displaced by a programmatically-oriented rondo design. Nevertheless, non-A-based material is

¹⁸ Duplex tonal regions also play an important role in Symphony No.2: the first climax at figure 24 is in G^b; the choir is introduced with an F[#] pedal (and siren); the climax chord of figure 87 is F[#] major. Yet both the crucial figure-78 cadence for the text 'Oh Lenin!', and the figure-93 climax, which brings about the final stage of the work, are in C, rather than the ultimate B major tonic of the end. The middleground V-I is therefore interrupted by V-dV at these points.

¹⁹ Themes B and C are two folk songs: 'Listen' and 'The Prisoner'.

confined to a central section from figures 8 to 22, leaving the two extremes of the movement to present solely its main thematic group. Although the central section is in part disrupted by the re-entry of theme A at figure 10 – a feature that reinforces a rondo, rather than ternary understanding – it is further distinguished by its thematic process: themes B and C both undergo significantly more localised development than A. As such, this large-scale block, containing the main climaxes of the movement, stands in contrast with the processes of repetition that define presentations of theme A. It therefore takes on the characteristics of a development section,²⁰ resulting in the return of theme A at figure 22 functioning as a recapitulation of the opening. Aspects of sonata-form thinking are retained, despite the adoption of a more block-like rondo scheme.

It is in the tonal scheme, however, that the controlling power of programme can most clearly be seen. As shown in Example 4.14, the first thematic group is split into three components, of which the timpani line contains the vital motto-theme, generating unity both here, and, indeed, within the movement as a whole. Crucially, this timpani motif has an effect upon tonal evolution, as the strings move from an initial G (open fifth), to G minor, and then to F[#] major, before isolating a B^b pedal. What these tonal centres have in common is the pitch content of the timpani – G, B^b and C^b – as at least one of these pitches appears in each chord, allowing the timpani in theory to continue playing below harmonic supports without the need to change its melodic pitch content, a feature that will be realised later in the movement. A programmatic need – an omnipresent timpani cell, often identified as portraying the

²⁰ It is, of course, not uncommon for new themes to be introduced in the development section of Classical sonata forms.

workers' underlying discontent²¹ – has formal consequences: the tonal scheme is in part controlled by the harmonic possibilities of that material.

Example 4.14 Symphony No.11 (i) – Opening Material

The musical score for the opening of Symphony No. 11 (i) consists of five systems of staves. The first system is for strings, marked *pp con sord*. The second system is also for strings. The third system includes a timpani part marked *p pesante* and a string part marked *morendo*. The fourth system includes a trumpet part marked *p con sord* and a timpani & trombone part marked *pp*. The fifth system continues the trumpet and timpani & trombone parts, with dynamics ranging from *p* to *f*.

This relationship holds true for all instances of this first thematic group; each of its six entries begins in either G (the opening and figure 22), B^b (figures 3, 6 and 25) or over a C^b pedal (at figure 10), generating a tonal continuity that derives precisely from thematic content. Even the opening major/minor ambiguity of the bare-fifth G in part results from the presence of both B^b and C^b in the timpani line. In fact, this feature holds for primary tonal centres or pedal points throughout the entire movement, as shown in Example 4.15.

²¹ See, for instance, Blokker, 1979:123.

Example 4.15 Symphony No.11 (i) – Tonal Scheme

Timpani line from Theme A



Opening [2]

Theme A [3] [5]

Theme A [6] [7]

Theme B [8] [10] - (Theme A) [12] - (Theme B)

Theme C [16] [18] [20] - (Theme B)

Theme A [22] [24]

Theme A [25] [26]

Each section progresses in stages, in which there exists some degree of pitch-class correspondence – shown in open note heads – to the motto theme, allowing this cell to be ever-present at the musical surface. There is only one passage that does not conform to this pattern: just prior to the figure-16 entry of theme C, the timpani moves onto an F[#], initiating a new tonal region. This stands as a point of maximum contrast when compared with the otherwise tonally-unified organisation and is sited approximately at GS+ within the movement. Further, the timpani are removed for the remainder of theme C, again differentiating it from the rest of the movement.

So, this tonal scheme is far from the tonic-dominant or tonic-relative sonata norm, but it nevertheless reveals some correspondence in principle. The notion of departure via a change in thematic content and process at figure 8 is reinforced by the departure from a previously logical arrangement of key relationships into more unstable and isolated pedal points. Structural return is therefore implemented not just through the recapitulation of theme A at figure 22, but similarly through the reintegration of that tonal scheme: we return to G, and also to a particular organisational system. However, eventual resolution is achieved not in the tonic, but rather in a new key: B. This modulation has the peculiar effect of a structural *tierce de Picardie*, as the dominance of C^b is at last asserted over B^b, as compared to the open-fifth-G soundworld that initiated the movement – again this is linked to the pervasive timpani cell. The opening minor/major third ambiguity is therefore dissipated, producing a sense of large-scale tonal resolution akin to sonata-form principles. In the first movement of Symphony No.11, then, form and tonal direction is predicated on programmatic content. Shostakovich sublimated traditional sonata organisation in response to programmatic requirements, but in so doing he retained a way of thinking that allowed this music to function as the first movement of a symphony, by making reference to that model.

If the Eleventh reveals the controlling power of programme, then the Thirteenth demonstrates its integrative potential. The third movement provides a clear example of Shostakovich's careful manipulation of form and content, in order to communicate textual meaning with the greatest impact. As shown in Example 4.16, the seven stanzas of Yevtushenko's poem 'At the store' can be grouped into four sections.

Example 4.16 Symphony No.13 (iii) – Form and Content²²

Original	Translation	Setting	Theme
Кто в платке, а кто в платочке, как на подвиг, как на труд, в магазин поодиночке молча женщины идут.	Some in shawls, and some in scarves, As though to a heroic feat, as though to labour, to the shop one by one silently the women come.	1) Solo	A
О бидонов их бряцанье, звон бутылок и кастрюль! Пахнет луком, огурцами, пахнет соусом «Кабуль».	Oh, the rattling of their cans, the ringing of bottles and saucepans! The smell of onion, cucumbers, the smell of “kabul” sauce.	2) Chorus	B
Зябну, долго в кассу стоя, но куда движусь к ней, от дыханья женщин стольких в магазине всё теплей.	I shiver, queuing for an age for the cash desk, but as I move towards it, from the breath of so many women throughout the shop comes a heat.	3) Solo	A
Они тихо поджидают — боги добрые семьи, и в руках они сжимают деньги трудные свои.	They quietly wait — guardian angels of their families, in their hands they grasp their hard earned money.	4) Solo Chorus repeat	C B
Это женщины России. Это наша честь и суд. И бетон они месили, и пахали, и косили... Всё они переносили, всё они перенесут.	These are the women of Russia. They honour and judge us. And they have mixed concrete, and they have ploughed, and they threshed... They have endured everything, They will endure everything.	5) Solo Chorus repeat of last 2 lines	[A ¹ +B] A ¹
Всё на свете им посильно,— столько силы им дано. Их обчитывать постыдно. Их обвшивать грешно.	Everything in the world is within their power, — so much strength is given to them. To cheat them is shameful. To swindle them is a sin.	6) Solo (Unison)	A+A ¹
И, в карман пельмени сунув, я смотрю, смущен и тих, на усталые от сумок руки праведные их.	And so, ravioli thrust in my pocket, I watch, troubled and silent, tired from their bags, their righteous hands.	7) Solo (Unison)	B

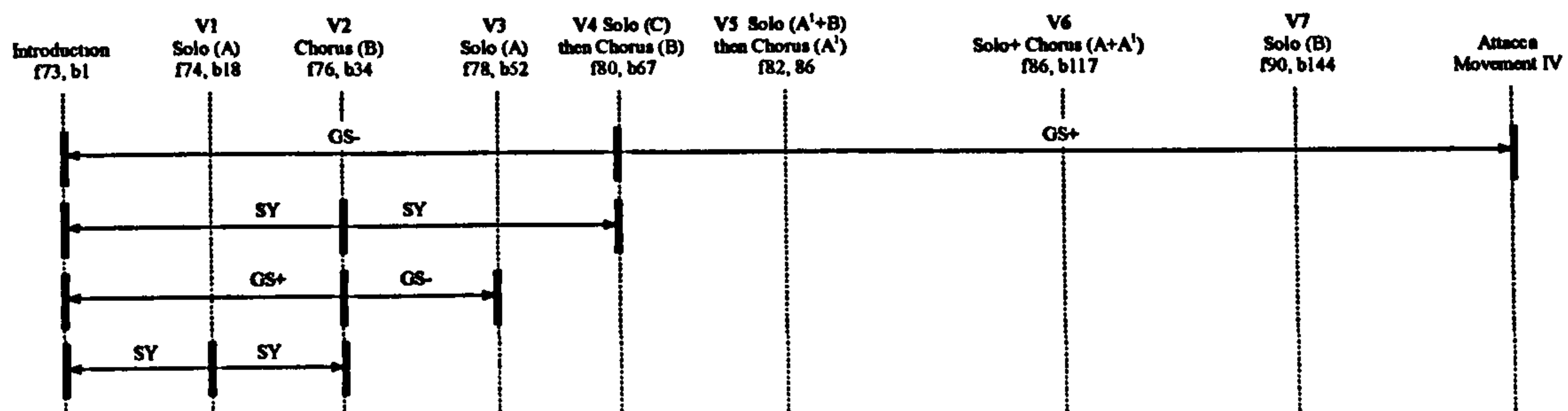
The initial three stanzas describe the scene, juxtaposing the silent women with the rattling cans, before the fourth takes a step back to analyse the situation. In the fifth and sixth, a further level of perspective is taken, breaking the four-line scheme, as the wider significance of the store scene is considered. The final stanza then returns abruptly to the local situation, but in the context of previous perspectives, it has greater consequence. Musically this is reflected through thematic content: opposing themes A and B are set up for stanzas one to three, before a new theme enters in the fourth. Material is reworked throughout the contextualising stanzas, five and six, before a return of theme B at the end. A block-like structure emerges, related to the

²² This is my translation of the original.

strophic nature of the material and reinforced by ritornello-like interjections of the opening introduction throughout.

Thus the first three sections present a rondo-like reiteration of theme A, while the entry of the major-mode theme C for the fourth stanza marks a new stage within the thematic plan. As shown in Example 4.17, the initial presentation of material is proportionally contained up to the onset of verse four, delineating the first block within the text.

Example 4.17 Symphony No.13 (iii) – Initial Distribution of Themes



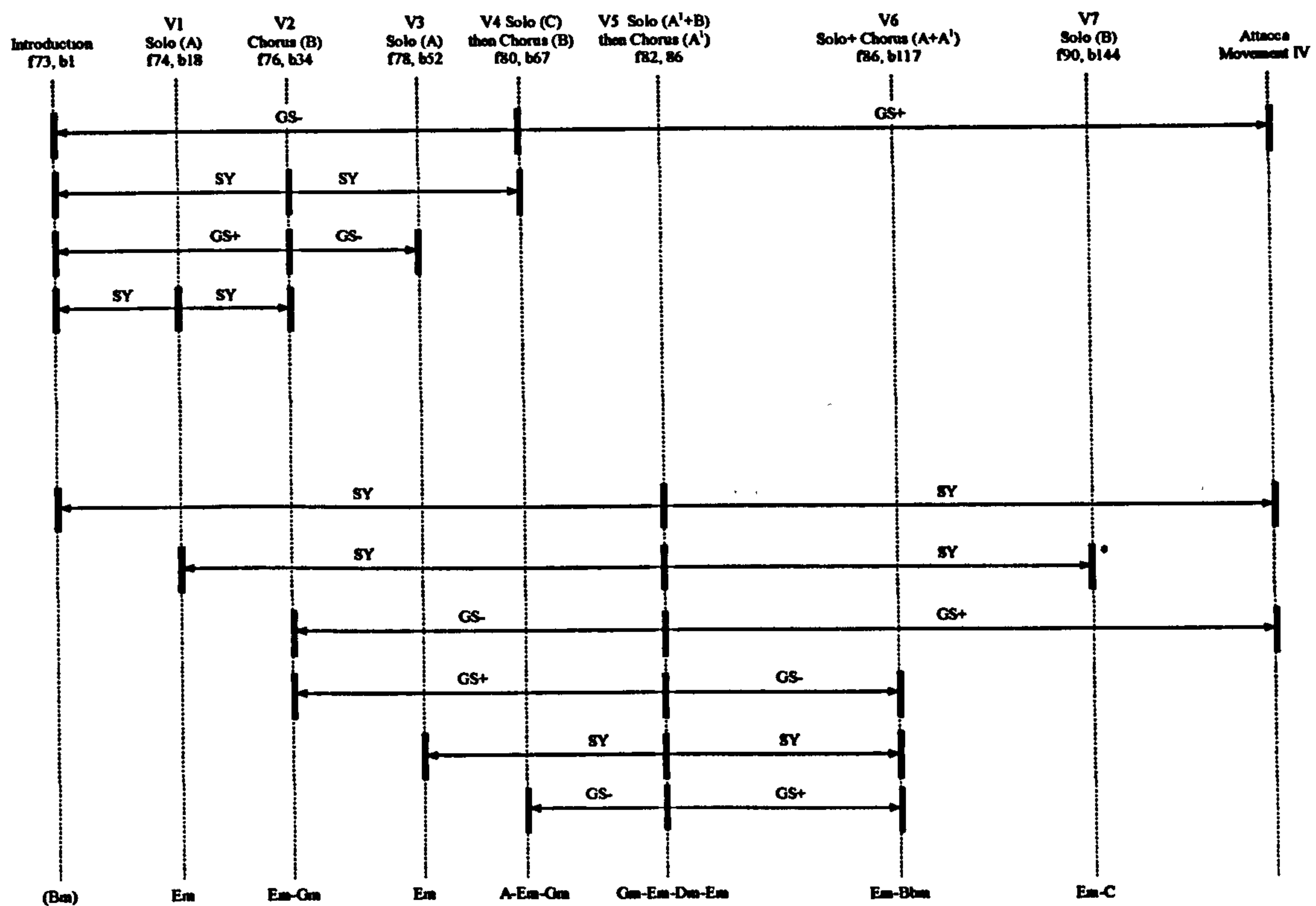
Alongside the repetition pattern of the text and its correspondingly static musical setting, there is clear direction at work. Initially, the lyrical themes A and C are reserved for the soloist, whilst the chorus presents the more rhythmic theme B. This opposition, which at first offers a musical version of the juxtaposition in the text, breaks down at the fifth stanza, where the soloist is set over certain aspects of theme B, while the chorus repeats elements of A¹. This process, which corresponds to the revelatory nature of the text, explores material in a more developmental fashion. The seventh stanza, which re-contextualises the events of the store, is set with the soloist presenting not his lyrical theme A, but rather theme B. This gradual exchange of thematic material in the soloist from A to B mirrors the simultaneous realisation of significance in the store scene: it is an archetype of the wider importance of women within the Soviet ideology; the sudden return to the store in the seventh stanza is all

the more poignant given this understanding. That the soloist adopts theme B – initially associated with the chorus – may make a subtle statement about the relationship between the individual and the community given the socio-political context of the time. There is a sense of motion towards the seventh stanza, then, and this is further reinforced through the tonal plan: largely (although not exclusively) in E minor, the climax of the movement, falls on the line ‘to cheat them is shameful’, and modulates to the duplex tonic, B^b minor, just prior to verse seven, before returning to the original G minor/E minor tonality of theme B. The immediate resolution of this duplex adds to the sense of conclusion that results from the textual move back to the store scene.

Whilst the fourth stanza marks an initial point of departure, it is the onset of the fifth that reveals the true consequence of the text: ‘These are the women of Russia’. At this moment, the text takes its highest, doctrinal perspective, and the music begins to combine thematic materials, initially through the superimposition of a variant of theme A set over the accompaniment of theme B. The onset of this stanza, textually and musically, is therefore crucial to the evolution of the movement, and this fact is borne out in the proportional scheme, as shown in Example 4.18. Functioning as an axis, it not only subdivides the movement exactly at SY, but also links the distribution of every other verse of the text. This one point sets the most important ideological conception of the poem, is the first instance of thematic synthesis, and provides the pivotal moment within the formal scheme: form is the direct incarnation of the text.²³

²³ Further, a glance back to Example 2.9 (page 73) will reconfirm the higher-level significance of this moment as a point of SY division within the tonal scheme of the entire symphony.

Example 4.18 Symphony No.13 (iii) – Static and Dynamic Elements



Content is therefore the driving force of this 'form', in a more specific way than its subdivision into verses. Despite this, the extent to which proportional balance remains fundamental to structural distribution can clearly be seen, so issues of balance, in turn, have some control over content. In this way, the link is reciprocal: content inspires form; form strengthens content.

A Formal Dialectic: External Model versus Internal Process

Sibelius famously compared symphonic form with a river, the movement of the water determining the shape of the river bed (quoted in Layton, 1993:2). A similar conception can be applied to Shostakovich for he too pays close attention to the controlling capacity of content; its inherent connection with form is at the root of his symphonism. Moreover, this control occurs across different (and, at times, simultaneous) parameters and levels. At the foreground, specific cellular content can

be projected onto larger shapes, while in the middleground, the way that content is processed through variation or developmental can influence formal organisation. At the background, both tonality and programme have the capacity to direct the evolution of architectural schemes. But linking these different connections is a multi-level, multi-parametric manipulation of energy: tonal and proportional schemes are consistently and diversely used to create and influence motion. As in Chapter 3, therefore, it seems again that energy is the governing principle here, with internal processes – including form – used to control progress within the static–dynamic axis.

However, it is also clear (given Chapter 3) that specific formal archetypes are referenced in this music, often alongside the internal elements discussed here. As Fanning has summarised, the music

manages to steer a course around the two most influential attitudes to large-scale form current in 1920s Russia: form as architecture, as preached and practised by Rimsky-Korsakov's pupils Steinberg and Myaskovsky, and form as process, as preached by Asaf'yev and both preached and practised by Shcherbachev and his pupils.

(Fanning, 2001:282)

But not only do these findings confirm Shostakovich's carefully constructed place within that tradition, they also demonstrate an additional source of energy: the symphonies often present an active dialectic between form as external model and form as internal process. To reconsider the first movement of the Seventh, for instance, the exposition presents an unmistakable sonata process: a clearly defined first subject in a stable tonal region, a transition from figure 5 into the dominant for the principal second subject at figure 6, which offers not only a new theme and key,

but also a new style, texture and tempo. This close conformity to a specific external model has implications for the way we listen to this music: we have *expectations*. But from here on, those expectations are consistently denied, first by the highly unconventional War theme and its variation process, and then by the unstable thematic and tonal treatment of the recapitulation, through the minor-mode brutalisation of the first theme, and the duplex setting of the second. Thus we experience disruption when events are compared to the external model implied; that they do not fulfil those expectations itself creates a level of dynamism, as the listener is compelled to proceed towards points of resolution within the implied sonata scheme. In the Seventh, this resolution comes at figure 66, significantly later than expected.

However, this process of deformation, and the resultant play upon expectations, is not the sole motivation here, as it functions alongside those aspects of form already observed in this chapter: the projection of the opening F#, its consequent duplex tonalities and their path towards tonal resolution, and the proportional prolongation of the primary dominant (see Example 4.13 above). These are internal processes particular to *this* work, and result from specific thematic and programmatic content. As such, they permeate and control the sonata design: second subjects do not, ordinarily, come back in the duplex, and the point of recapitulation is not usually on a climatic and unstable tritone within the minor mode (when the movement is in the major). There is a dialectic here, therefore, between those aspects that are distinctly archetypal sonata form and those that are distinctly content-based. This opposition is again dynamic in its own terms, as it itself seeks resolution. This is why figure 66 is so important, for it is the moment not only when the sonata form finds

resolution through first subject, tonic restatement, but also, simultaneously, where the reign of duplex tonalities comes to an end, with the primary tonic at last being reasserted. Resolution occurs on three levels: sonata-form completion; the end of duplex governance; and a point of synthesis for the ongoing dialectic between external model and internal process.

This dialectic, and its eventual resolution, also reflects programmatic need: unease–disruption–dynamism–resolution. Interestingly, it is comparable to a synthesis between the Sibelian and Mahlerian concepts of symphonism discussed in Chapter 2. If Shostakovich's careful and often complex application of external models is taken as the Sibelian 'severity of style', and if the internal reapplication of processes across levels as his 'profound logic[al]...connection between all motifs', then the result – or, rather, the effect – is akin to the Mahlerian conception of being 'like the world', with all its energy, directionality and possible subtext. In fact, the Seventh – the 'Leningrad' – is 'like the world' in a very real sense: at the time this embracing representation of the world around Shostakovich must have been profound.

The dialectic between form as external model and as internal process can be seen regularly in Shostakovich's symphonies.²⁴ In fact, most examples discussed in this chapter make some degree of reference to external archetypes, despite their distinctive internal processes: Symphony No.11 (i) to sonata form; No.13 (iii) to song form; and even No.10 (iii) to all those models cited at the beginning of this chapter. And in each case, the result of this formal (and Sibelian) dialectic, is a Mahlerian embracing of extra-musical dimensions. Form for Shostakovich is clearly a crucial

²⁴ Interestingly, Asafiev eventually came to the conclusion that 'form as a process and form as a crystallized schema are two sides of the same phenomenon' (quoted in Haas, 1998:62). Given the significance of Asafiev upon the development of Soviet symphonic theory noted in Chapter 2, his conclusion is particularly relevant here with respect to Shostakovich.

part of his musical language, and constitutes one of its most complex and sophisticated aspects. Yet it is also remarkably subtle: never do we hear that form invasively; rather we experience its effects. On one hand, these effects manifest themselves in the evolution of energy, as structures promote differing degrees of stasis or dynamism. But there is also a profound sense of order in Shostakovich's music, no doubt an equally significant effect of the controlling capacity of form. Despite its foreground excesses, its sarcasm and its sobriety, its programmes and its subtexts, this is music that is extremely carefully organised; whether or not proportional schemes were intended,²⁵ their presence reflects that precision. The consequent sense of *balance* – between themes, sections, styles and degrees of energy – points towards a distinctly Classical approach to form. It is partly for this reason that his symphonies so clearly continue the auspicious symphonic tradition, and why Shostakovich deservedly sits as one of its twentieth-century masters.

²⁵ This will be discussed in Chapter 10.

Chapter 5

(In)Congruent Soundworlds – Orchestration, Climaxes, Styles

The filling out [of a work] for the most part proceeds in order, from beginning to end. The timbre comes to me before anything else, then melody, and rhythm, and afterwards the rest...

(Shostakovich, quoted in Gruber, 1927–8:36)

Thus far, this thesis has been concerned with energy as the product of formal, tonal thematic and rhythmic choices. But, according to the above assertion, timbre was paramount to Shostakovich's compositional process;¹ indeed, much of his sketch material contains detailed notes regarding instrumentation.² This chapter, then, is concerned with soundworld – the qualities of tone in the symphonies. In particular, it will focus upon those contributing factors towards soundworld that have not previously been discussed: orchestration (as the basis of timbre), climactic contour (as the combination of multiple timbres into a larger shape) and style (both in terms of character, and the use of external *topoi*).

Discussion of soundworld has for a long time been both embraced by music commentators and avoided by music analysts: as a mode of entry into a work it can be immediate and comprehensible, but as a structural force, it is often considered as subservient to melody, harmony or form.³ Yet neither of these positions fully satisfies an understanding of Shostakovich's use of soundworld. On the one hand, there can be

¹ Although the significance of timbre is most pronounced in the earlier symphonies – Shostakovich made this statement during his early experimental period of composition – as will be seen, it endures as an essential parameter throughout his output.

² See volumes 16-30 of the New Collected Works.

³ For instance, it carries no particular significance in either Schenkerian Analysis or Set Theory.

little doubt that the need to communicate with as wide an audience as possible, along with Shostakovich's undoubted enjoyment of stylistic extroversion, promoted soundworld to a defining role within the symphonies: cataclysms and catharses, the playful and the grotesque, snare-drum marches and trumpet fanfares all abound, each offering both immediacy of particular stylistic implications, and a heightened sense of narrative and meaning. When combined with the type of specific references Taruskin observes in Symphony No.5 (iii) to the *vechnaya pamyat'* – 'Eternal Remembrance' from the Orthodox obsequy, the *panikhida* – or to Mahler's *Das Lied von der Erde* (Taruskin, 1995:40–42), this has led to his observation that,

The impulse to communicate urgently in an atmosphere of threat did lead, at times, to an over reliance on extroversive reference as bearer of essential meaning, and a correspondingly debased level of musical discourse. (Taruskin, 1995:55)

Whether musical discourse is debased by such reference, or whether stylistic and referential extroversion simply represent more controlling structural forces than may be expected, is open to question. Either way, it is undeniable that certain soundworlds are an essential and characterising aspect of Shostakovich's symphonies.

Yet, on the other hand, it is an injustice to the integrity of this music and its composer to focus solely upon soundworld.⁴ It is true that the immediacy of specific soundworlds here can have an overwhelming effect upon the listening experience, but for critics such as David Wyn Jones to state that, because of this extroversion, Shostakovich's music can hold the attention of the listener 'regardless, almost, of what [is] being said' (Jones, 1993:18), does not pay due attention to the significant

⁴ Ian MacDonald, for instance, regularly uses soundworld as the basis for his interpretations, claiming, for instance, that, 'dissection of Shostakovich's key-schemes [are] less productive than "literary" characterisation' (MacDonald, 1991:158).

complexity (and subtlety) of thematic, tonal and formal structures already observed in this thesis. Soundworld is *not* all-encompassing in Shostakovich's music, yet it can be a highly prominent and characterising influence.

Moreover, soundworld functions not simply as a means of surface characterisation: its *evolution* can also act as a *structural* force. In this respect, changing soundworlds themselves contribute to the sense of forward motion, while a specific point of change between two soundworlds – be it subtle or histrionic – can force, or reinforce, moments of structural division. The extent to which soundworld forms congruent or incongruent relationships with other parameters such as thematic process or tonal evolution is therefore essential to its role in the symphonies. This chapter is largely concerned with this relationship; the impact of (in)congruent soundworlds upon the sense of energy and directionality can be profound.

Orchestration as a Structural Force

Orchestration can have an immediate effect upon the prevailing soundworld of a work. Indeed, the symphony as a genre is inextricably linked with the orchestra, and it is this breadth of sound that offers the most significant and obvious difference from, say, works for string quartet. Differences in orchestral forces between works can therefore contribute significantly to individual characterisation: for instance, part of the intimacy of the Fourteenth in comparison to the Fourth results from its reduced timbral palette, orchestrated simply for strings, percussion and voices. The Fourth, by contrast, requires the largest orchestral forces, offering a broader context within which material can be manipulated.

Further, at a more local level, particular orchestrations can become prominent within certain works. The siren in Symphony No.2, for instance, which initially heralds the entry of the chorus before sounding twice more, is one of the most distinctive moments in the entire work. Similarly, the tubular bell in the Thirteenth recurs with such frequency that it comes to stand for the soundworld of that piece, as do the military brass and percussion timbres from some of the mature period symphonies. In the Fifteenth, the ‘ticking clock’ percussion of the third movement (and, indeed, of Symphony No.4 (ii)) returns in the conclusion of the finale, creating closure in part by means of timbral return. The placement of distinctive orchestrations can therefore have a significant impact upon the perception of larger-scale structure.

The use of orchestration as a structural force can be seen clearly in Symphony No.3, a work (as described in Chapter 4) that avoids a particular formal scheme, instead offering a series of isolated, or loosely connected, themes. Given the heightened sense of surface-level incoherence, Ottaway has described the whole work as an extended orchestral ‘prologue’ and a choral culmination (Ottaway, 1978:17). However, as the voices do not appear until figure 99, the ‘prologue’ is by far the most substantial aspect of the work and unfolds with significant diversity on a purely musical level. In particular, thematic multiplicity is reflected through the distribution of material throughout the orchestra, such that each instrument is texturally prominent at least once. Example 5.1 shows that even the bass drum is given its own moment in the spotlight. Consequently, there is a definite concerto-for-orchestra element here that balances the anti-formal aspect of this work; structural divisions derive in part from orchestration, as instrumental entries define most clearly moments of change.

Example 5.1 Symphony No.3 – Allocation of Textural Solos (by figure number)

Pic	15, 17, 29, 46a, 53	S.Dr	37, 72, 80
Fl	15, 29, 47, 53	Cymb	63, 73, 79, 109+5
Ob	15, 55	B.Dr	82-2, 87+3
Cl	Op, 17, 40, 42	T.T	89-1, 92
Bn	43-4, 55-4	Cel	65
Hn	7-2, 31+2, 37+4, 76+2, 101-1, 109-3	Xyl	20-1
Tpt	5, 10+4, 14, 15+4, 21-2, 25, 27, 33, 38, 41, 58+4, 62, 77-5, 93-5, 98-3, 104-1, 114	VI	7, 23, 26, 44, 45a, 49, 57, 75, 95
Tbn	14, 27, 31, 46a-3, 67, 90	Vla	9
T	31, 88, 97-1	Vlc	9, 43-4, 45, 88, 89
Timp	44-5, 45-1, 71+3, 80, 87, 114-1	D.B	43-4, 45, 88, 89
Trgl	63, 69, 73, 79, 902	Choir	99

However, this sharing of material is far from equal, with the trumpets and violins coming most often to the textural foreground. The recurrence of these instruments therefore acts as a series of markers within the ‘prologue’, offering an additional degree of order and opposition. Further, it is the use of a particular orchestration – the entry of the choir – that initiates Ottaway’s ‘choral culmination’ from figure 99. The choir therefore terminates those instrumental hierarchies associated with the prior sharing of material. Text, after all, is the sole province of the choir; this relationship brings about a new orchestrational and textural hierarchy for the final phase of the symphony.

In the Third, the use of recurrent timbres provides some degree of continuity within a work that can seem disconnected. In this way, soundworld becomes prominent in its control of disparate, local-level events, no doubt contributing to the regular criticism that the Third is ‘over-orchestrated’ (Blokker, 1979:51). In contrast, works that employ clearer formal schemes offer a more interactive association, such that orchestration complements, rather than dominates, the unfolding of the form. In Symphony No.4 (iii), the energy accumulated between figures 167 and 191 is immediately dissipated by the introduction of a new transitional theme, shown in Example 5.2a.

Example 5.2 Structure-Enhancing Changes in Timbre; Use of Bass Clarinet

a.) Symphony No.4 (iii)

191

$\text{♩} = 126$

Picc

CLB

Cor

397

b.) Symphony No.11 (iv)

CLB

Timp

Cassa

T-tam

Arpe

Vc div

Cb div

718

The use of bass clarinet and low-register horn, set against piccolo, creates a deliberately ridiculous polarisation of registers, which, when combined with the jovial material, instantly lightens the mood, paving the way for the impending dance suite. As seen in Chapter 4 (see Example 4.9, page 124), this transition is crucial in the dissipation of energy, as reflected in the change in proportional design of this passage. That a simultaneous change in timbre and texture accompanies this transfer demonstrates the close alignment here of different parameters in the projection of an overall unity. Similarly in the Eleventh (see Example 5.2b), bass clarinet is used in its lower register in combination with percussion and string sonorities to create a highly menacing soundworld. This follows a reflective cor anglais solo (re-styling the

climactic theme heard variously throughout) over the main string material of the first movement, re-initiating the dramatic impulse towards the final climax and end of the movement. In both of these examples, orchestration is used to reinforce points of structural division in an immediate and emotive manner.

Example 5.2 also reveals the creativity with which Shostakovich orchestrates his material. Both of these illustrations centre on the use of bass clarinet, but with different results: one jovial, one menacing.⁵ Character is clearly not just a matter of particular instrumentation, but of how those instruments are used; such creative orchestration is crucial to Shostakovich's language. And yet particularly unconventional orchestrations and instrumental techniques are exceptions rather than norms in the symphonies. When they do arise – as in the bass clarinet extracts in Example 5.2 – they are highly distinctive, offering a structural function by emphasising the dissimilarity of a particular moment.

So, the structural use of orchestration can play an important part in the evolution of higher-level form. In the first movement of Symphony No.10, for instance, the return of the second subject shoulders significant responsibility for the generation of structural resolution.⁶ Whilst its recapitulation follows the standard transposition back to the tonic, this resolution is reinforced through the following orchestration:

Exposition			Recapitulation		
1 st Sub (f5)	2 nd Sub (f17) (f24)		2 nd Sub (f57)	(f61-4)	Coda (f69)
Cl.	Fl.	Cl.	Cl.	Fl.	Picc.

⁵ Similarly, the use of the piano in the first and last movements of the Fifth (at figures 17 and 127 respectively) offers dissimilar soundworlds, with the low register and narrow motifs of the first movement functioning more threateningly than the bright, three-octave string doubling of the finale. Also, the sinister flutter-tongued quartet of flutes of Symphony No.8 (iv) at figure 119 is transformed at the end of the finale into a serene solo flute, playing in its bottom register.

⁶ This issue will be discussed in more detail shortly.

This instrumental exchange offers a new perspective upon material; structural resolution is therefore echoed by a change in soundworld.

The use of local orchestrational details in support of particular thematic material can also be found. In the finale of the Fifth, for instance, the violin line of figure 117 (which grows out of figure 116, and is alluded to in the third movement, two bars before figure 94) is inverted at figure 120 (see Example 5.3), and where the middleground voice leading of 'cellos and basses once rose, it now descends.

Example 5.3 Symphony No.5 (iv) – Orchestral Inversion

Initial Presentation

117

Cl

Fg
Cf

Cor

VI I

Vc
Cb

185

pp

Inverted Version

120

Fl

Cor

VI I

VI II
Vle

Vc
Cb

231

pp

p

p express

Concurrent with these details of melodic inversion is a complementary textural and timbral inversion. The relatively high horn line of the original changes to an extremely low register in the second, and where melodic and textural equality once existed with the 'cellos and basses, horns now become subservient to the newly melodic string line. High and low timbres have swapped, as have degrees of activity in the supporting voices, in order to complement the inversion of the violin material. Further, the sense of change is effected through the addition of supplementary inner voices on flutes, second violins and violas, which create a fuller texture when compared to the relative sparsity of the original. Thematic transformation is reinforced here through a complementary orchestration.

This is, in fact, a common process in the symphonies. Consider, for instance, the issue of thematic 'brutalisation' in certain sonata recapitulations discussed in Chapter 3. Timbre plays an important role in that transformational process; the re-contextualisation of material has a significant impact upon the prevailing positive or negative effect of that recapitulation. Further, this re-casting adds to the structural instability that so often accompanies points of recapitulation: modified return – especially when as cataclysmic as the recapitulations in, say, the first movements of the Fifth, Seventh and Eighth – is less stable than in the first movements, for example, of the Ninth or Fifteenth. Such monumental changes in timbre inevitably create instability through their irregular relationship with initial versions. Recapitulation is therefore not a fixed matter of restatement, but a process of dynamic unfolding as return and change are synthesized. Structural phase – an important part of Shostakovich's dynamic forms, as seen in Chapter 3 – therefore results partly from re-

orchestration, demonstrating the essential role played by soundworld, and its interaction with other elements, in the communication of structural directionality.

Climactic Contour

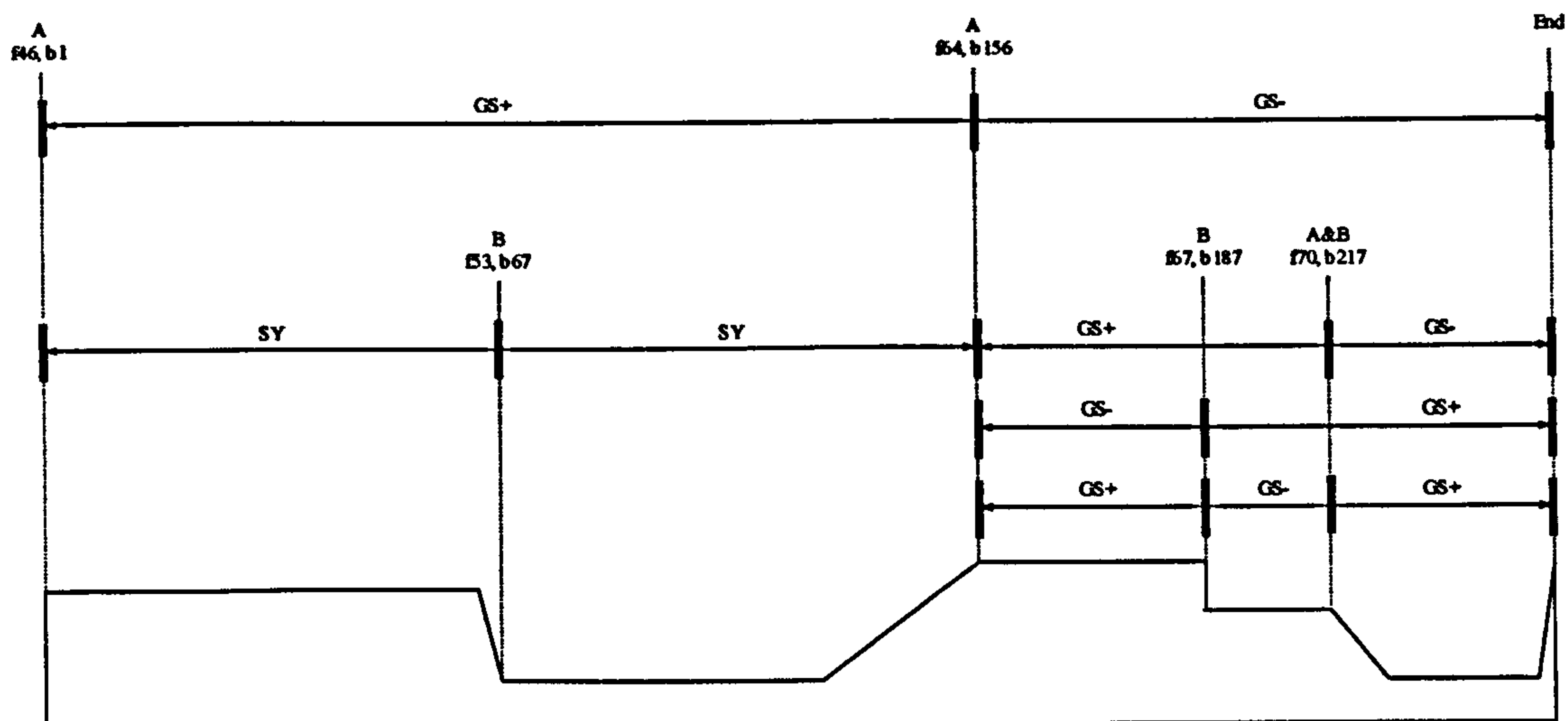
A work's climactic contour – the assimilation of individual timbres into larger shapes – offers one of the most straightforward modes of entry into the music of Shostakovich, and is readily apparent to the listener, often in a purely instinctive way. In a sense, a series of climactic peaks and troughs is one of the few components in music that might be described as universally perceptible (although not necessarily universal in the meanings that we subsequently ascribe); it is a phenomenon that receives significant attention in the analysis of Shostakovich's work. The serenity at the end of the Eighth or Thirteenth, for instance, is in large part the result of textural and instrumental thinning following earlier turmoil. The final *pp* marking therefore serves as a point of large-scale resolution in the climactic shape of the symphony. Conversely, the bombastic positivity of the tutti *fff* that closes the Fifth and Twelfth has totally different narrative implications, progressing from unrest to triumph.⁷

However, climactic contour also operates in a more complex manner, in support (or, at times, contradiction) of form and content. In Symphony No.8 (ii), for instance, the climactic plan of the movement exactly follows the bi-thematic form observed in Chapter 1. Example 5.4, which graphs the basic climactic shape, reveals peaks at the end of the movement and at the return of theme A at figure 64. Similarly, entries of theme B are supported by an initial drop in level, followed by an eventual reinstatement of a higher dynamic marking. This opposition of loud (A) and quiet (B)

⁷ Whether these triumphs are experienced as genuine or come with an additional ironic subtext is another question. For discussion, see, for instance, Barsova, 2000:86–98.

themes conforms, of course, to bi-thematic convention, wherein duality is often reinforced by timbral variance. Yet it is additionally supported here by a clearly defined proportional scheme that hinges upon the figure 64 climax at GS+ as a focus, and as a springboard for the final structural diminuendo and *fff* ending.

Example 5.4 Symphony No.8 (ii) – Climactic and Thematic Correspondence⁸

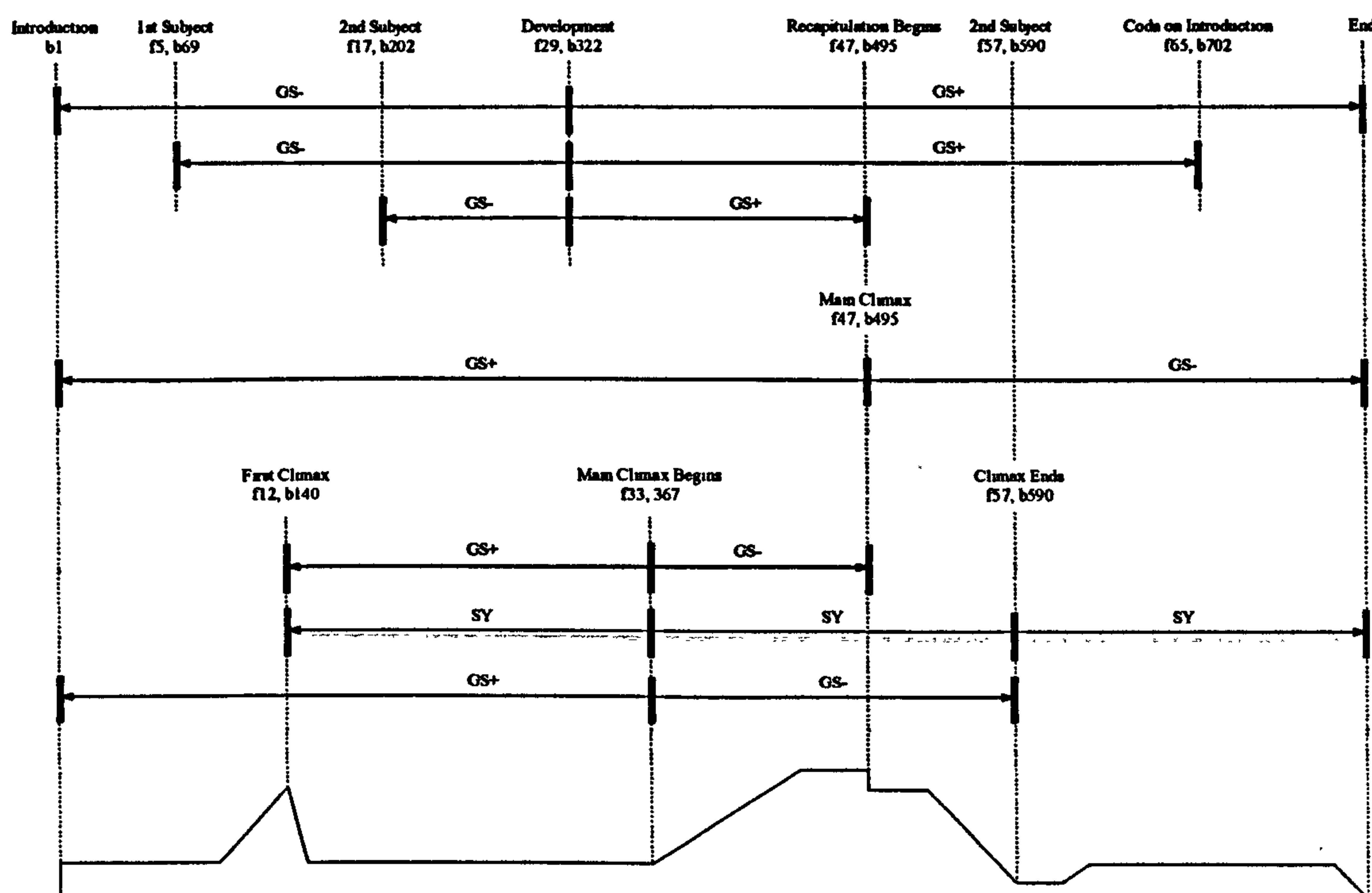


That Shostakovich places the main climax at GS+ is hardly surprising: distribution of climactic shape via GS is a common way composers apply this ratio, and given its regular use elsewhere in Shostakovich's work, it is logical to find GS in this domain. In fact, examples of the GS+ placement of a main climax are numerous, for instance in Symphony No.4 (i), No.6 (ii), No.7 (ii), No.8 (v), No.9 (i), No.11 (iv), No.13 (i) and No.15 (iv); clearly this is a common technique for Shostakovich. Importantly in Example 5.4, the unfolding of this climactic scheme serves to consolidate dialectical opposition by presenting the same process concurrently within two parameters: thematic and timbral distribution.

⁸ The lower part of the diagram (and all subsequent diagrams of this sort) simplifies the total climactic scheme by charting just the main variances and points of growth and decay. Local level variation is omitted in preference to revealing an overall climactic shape. The diagram takes into account instrumentation as well as simple dynamic marking; clearly a solo violin *f* will be quieter than a full orchestra *f*.

Conversely, the first movement of Symphony No.10 establishes a more complex interaction between form and climactic contour, and one that deliberately affects the way in which structural unfolding is experienced. Here, the relatively conventional sonata scheme sets two themes in opposition, framed by a lengthy introduction that returns as the coda. As shown in the upper part of Example 5.5, this formal layout unfolds with particular focus upon the point of development, which acts as an axis for the distribution of other events.

Example 5.5 Symphony No.10 (i) – Contradictory Formal and Climactic Levels



However, as noted in Chapter 1, there is no clearly defined moment of recapitulation, with a simultaneous return of the tonic and the first subject. Instead, the familiar process of structural phase occurs, with a fully stable sense of return delayed until the restatement of the second subject at figure 57. But as suggested by Fanning, figure 47 marks a turning point within the process of recapitulation, following the brutalisation of the first subject (Fanning, 1988:28ff); this moment coincides with end of the

highest climactic peak, and falls exactly at GS+. Consequently, the first phase of recapitulation involves the large-scale diminuendo away from 47; the whole climactic wave from 33 to 57 flows across the point of recapitulation, and is controlled by its own proportional system (see the lower part of Example 5.5). Furthermore, that shape is reinforced by the initial, smaller climax of figure 12. This peak is distributed solely in relation to the largest wave of growth, thus preparing the main point of climax not only timbrally, but also proportionally. It does not coincide with significant points of change within the sonata scheme.

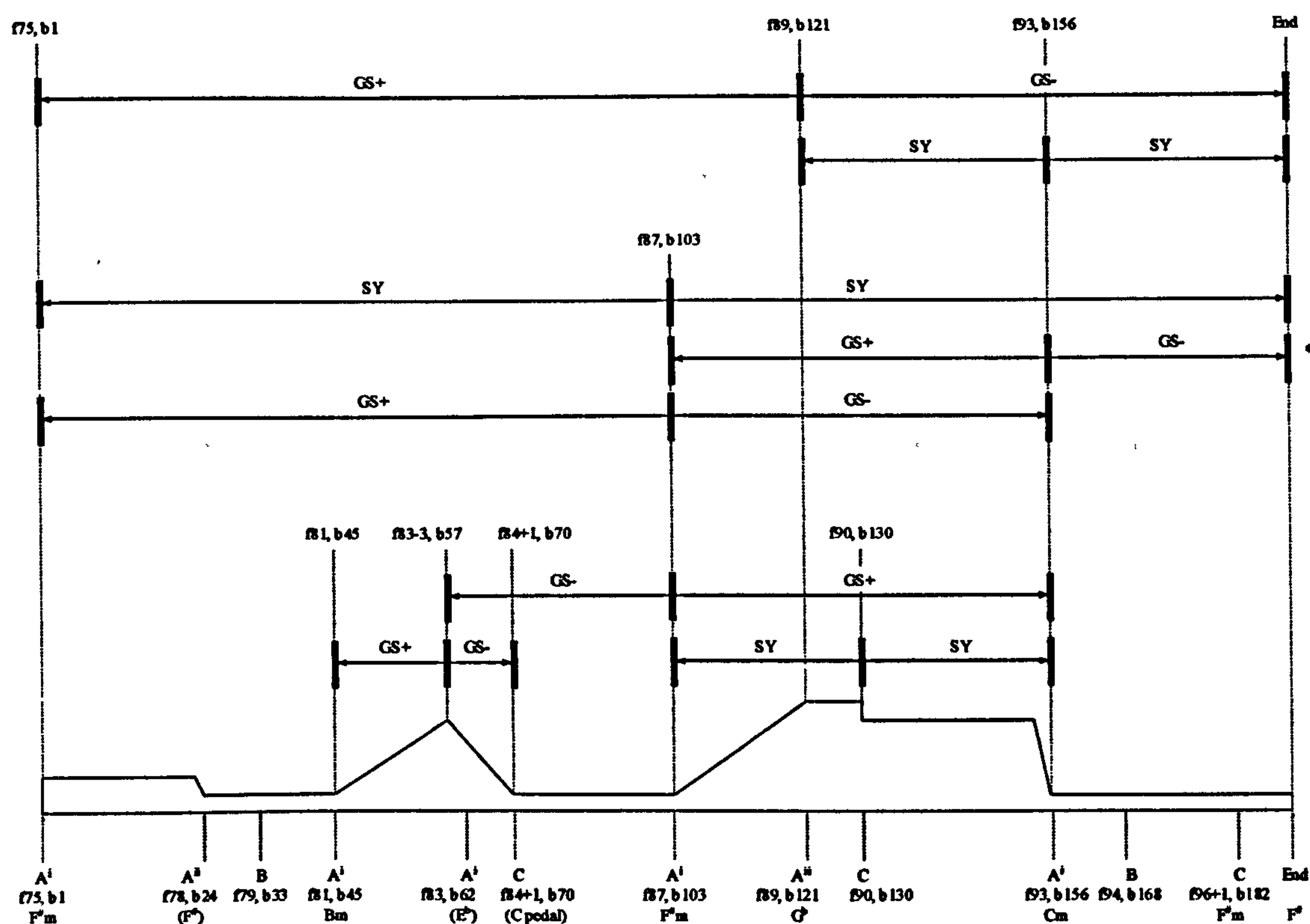
In Symphony No.10 (i), therefore, certain aspects of climactic contour support the thematic design, whilst others work against it. Disruption and formal ambiguity are important elements of structural design here, as highlighted additionally by the 'wrong-key' Neapolitan of figure 47, and the cellular disintegration of material that continues to dominate in the recapitulation. But it is the climactic shape above all, with its proportional independence relative to the thematic architecture, that serves most readily to contradict sonata-form expectations, bringing about the process of structural phase. This technique contributes significantly to the notion of 'brutalisation', functioning as the large-scale accumulation of timbral changes into a single structural shape.⁹ Climactic contour – the product of orchestrational transformation – can act as a significant force in the symphonies, in its interaction with other structural levels.

Whether or not formal complexities are heard, the notion of a wave-like accumulation of peaks and troughs can function independently as a means of directing the listening experience, offering an accessible mode of entry into the music. In movements that employ ever more complex formal schemes, the use of a clear

⁹ Other examples of this process can be seen in the opening movements of the First, Fifth and Twelfth.

climactic contour becomes particularly significant. In the third movement of the Fifth, for instance, there emerges a similar shape to the Tenth, wherein the principal climax is sited at GS+ and is prepared by an initial smaller climax: see Example 5.6.¹⁰

Example 5.6 Symphony No.5 (iii) – Climactic Contour



Here, however, the formal scheme is more convoluted, despite its basic sonata origin. In fact, there are four themes: the first subject (which has two components), a second subject, and a third subject introduced in the development. Furthermore, this 'development' deals almost exclusively with this new theme (as well as with some references to Aⁱⁱ), and when original material returns in the recapitulation it is extremely truncated. Consequently, the sonata scheme could be heard more as a rondo-like succession of themes: Aⁱ-Aⁱⁱ-B-Aⁱ-C-Aⁱ-Aⁱⁱ-C-Aⁱ-B-C. Yet each of these themes is presented at various levels of transposition throughout, further

¹⁰ This scheme is used quite frequently: other examples include the opening movements of the Fourth and Fifth (to be discussed in Chapter 8), or Symphonies No.6 (ii), and No.12 (iv).

clouding both sonata-form and rondo-form tonal expectations; only theme C returns in the tonic at the very end of the movement, following the duplex recapitulation of Aⁱ. In such a complex thematic and tonal form, the simplicity of the climactic shape compensates, providing a logical directionality based on two waves of growth and decay. As can be seen in Example 5.6, patterns within this scheme unfold via their own proportions. At times, these points align with thematic process such as at figures 87 or 89, but at others they deliberately contradict, for instance around figure 83 – a point that could be labelled as the onset of the development, in terms of thematic process alone. Either way, in the presence of an ambiguous formal scheme, the two waves of climactic growth, proportioned relative to one another, offer a logical and obvious way of perceiving large-scale evolution and directionality that can stand as an independent structure. So whilst in the first movement of the Tenth aspects of climactic shape are designed to contradict the equally robust sonata form, in the Fifth the climactic design takes on a form-defining purpose which offsets complex and, at times, unpredictable thematic and tonal interactions. In this respect, aspects of soundworld act as an important and independent force, capable of having a structural impact upon other parameters.

Style as Character and Topos

A full consideration of ‘style’ in the music of Shostakovich would be an enormous task, and would necessarily include a complex grasp of the contexts in which he worked, the wide-ranging influences that affected his music, and the implications of his stylistic choices. Further, style is not a musical parameter in its own right, but results from a range of elements including melody, harmony, rhythm and form. The

intention here is not to synthesise aspects of previous chapters into a single definition of Shostakovich's 'style'; rather the aim is to consider two specific elements of style that have not, as yet, been considered: style as character, and style as external *topoi*. Character and *topoi* have long been associated with the Classical ethos, with significant changes therein often demarcating form and structure at different levels; a similar situation emerges in the symphonies of Shostakovich.

The character of a work often become defining of its overall soundworld. An obvious manifestation can be seen in the stylistic differences between the Eighth and Ninth Symphonies: the almost Neoclassical simplicity and ironic jollity of the latter is significantly different in mood from its tragic and solemn predecessor. More importantly, the large-scale direction of an individual symphony is frequently related to its successive *changes* in character. In Symphony No.10, for instance, the bleak opening soundworld has been transformed by the end of the symphony into unmitigated cheerfulness and triumph.¹¹ As such, part of the release of earlier tensions involves this evolution in character. At the other extreme, the double-coda ending of the finale from the Fourth specifically plays upon changes in character: its first part from figure 238 offers the distinct possibility of jubilation, yet quickly transforms at figure 246 into an uncompromisingly bleak conclusion.¹² Similarly in the Fourteenth, the violent ending offers no sense of living 'happily ever after' in its frank and unremitting examination of death. So, the individuality of each work is not just a question of content or form, but also of the evolution of temperament.

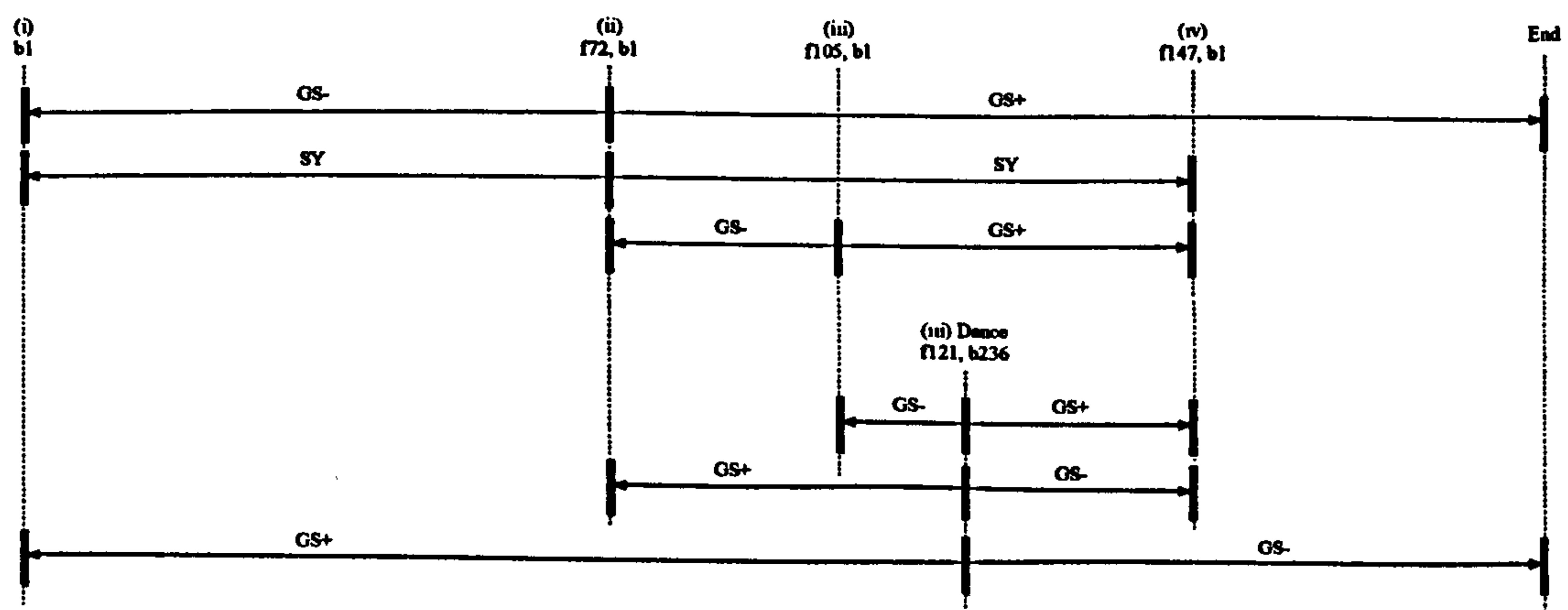
Just as for orchestration and climactic contour, the distribution of particular points of stylistic change has the capacity to reinforce formal process or to undermine

¹¹ Similar examples include the Sixth, but here such stylistic diversity is often called into question: it will be discussed in Chapter 7.

¹² See Fanning, 2001b:120ff.

it. In the finale of the Tenth, for example, the introduction and first subject materials are distinctly at odds in character – sombre lament and vibrant play – such that character dissimilarity is used to reinforce structural design. The transition between the two at figure 153 thus represents an important turning point; it is sited at GS- relative to the entire movement. Conversely, in Symphony No.7 (iii), the two-part thematic opposition¹³ is interrupted at figure 121, again at GS-, with a highly stylised and distinct dance version of earlier cellular components. This variation-like procedure, in place of a development section, marks a point of significant change in character, bringing about a climactic restatement of the first subject group. As such, the figure-121 dance intrudes into what could have been a brief slow movement; it brings about a new level of dynamism and growth. And not only is this dance proportionally placed within this third movement but, as shown in Example 5.7, it also acts as an independent proportional axis within the symphony as a whole, networking with the onset of all other movements. A local-level, memorable change in character is therefore echoed structurally within the global proportional scheme.

Example 5.7 Symphony No.7 – Structural Significance of Character Change



¹³ Part one of which is itself in two parts; theme Aⁱ at figure 105, Aⁱⁱ at figure 106 and theme B at figure 112.

Example 5.7 also reveals the significance of *topoi* in Shostakovich's work – the reference to particular external models, and the second aspect of style to be discussed here. As Ratner notes,

Music in the early 18th century developed a thesaurus of *characteristic figures*, which formed a rich legacy for classic composers. Some of these figures were associated with various feelings and affections; others had a picturesque flavour. (Ratner, 1980:9)

Shostakovich turns to external *topoi* for similar effect; tracing their presence can prove useful in unpacking the musical narrative of the symphonies.¹⁴ His frequent use of *topoi* also betrays the influence of Mahler,¹⁵ with whose work Shostakovich became particularly acquainted through his friendship with the historian and music critic, Ivan Sollertinsky; this connection was to have a significant impact upon Shostakovich's symphonic direction (Fay, 2000:41ff). Sollertinsky strongly believed that 'Mahler was to be the model for Soviet composers, and – it may safely be guessed – Shostakovich was to be the pioneer in the new "democratic' symphonism"' (Fairclough, 2006:24). In particular,

Mahlerian symphonism meant not merely large-scale symphonism; it meant a symphonic language infused with the intonations of urban popular music and a work that engaged with philosophical issues through its dramaturgy. (Fairclough, 2006:31)

At times, Shostakovich's use of stylistic *topoi* can be all-encompassing: consider, for instance, the funereal fourth movement of the Ninth or the 'Malagueña'

¹⁴ For similar topic-based analyses of Mozart, for instance, see Ratner, 1980:27ff, Allanbrook, 1983, 73:325, or Stock, 1997:212–19.

¹⁵ Mahler used this process of stylistic reference regularly in his own work. For examples, see Micznik, 1994:117:151, or Draughon, 2003:388–413.

in the Fourteenth. Alternatively, changes in *topoi* may mirror and reinforce other formal procedures: in the first movement of Symphony No.1, for example, the first and second subjects are march-like and waltz-like respectively, while in the finale of the Tenth, the onset of the development is marked by a re-stylisation of the main first subject.¹⁶ In the absence of concrete thematic restatement in Symphony No.3, recurring stylistic resonances – the march-like connection between figures 5, 37 and 114, or the pastoral string sonorities of figures 23, 49 and 75 – in combination with previously noted orchestrational details, offer an interrelated narrative; these recurring soundworlds create a degree of order within the confusing thematic multiplicity.

Of course, this type of stylistic opposition, either between themes or across movements, makes reference to the symphonic tradition as a whole, in its generation of conflict and need for resolution. However, the extent to which certain passages conform here to specific sonic references almost leads to a sense of parody given the unexpected vividness with which *topoi* are introduced. Example 5.8 charts several such instances, revealing a relatively even distribution across the symphonies.

Example 5.8 – Use of Stylistic Models

Model	Examples
Folk Dance	8(v) – f139; 13(ii) – f44
Funeral March	4(iii) – f152; 15(ii) – f64
Galop	1(ii) – f1; 4(iii) – f219; 10(ii) – f94
Lament	8(v) – f162; 11(iv) – f163; 12(ii) – f66
March/Military	3 – f37; 5(i) – f27; 11(ii) – f84
Waltz	1(i) – f13; 10(iii) – f127; 12(iv) – f96

¹⁶ Other examples of stylistic opposition between themes abound: instances include Symphonies No.4 (i), No.8 (v), No.10 (i) and No.13 (i) (in the Thirteenth, themes are also a loose inversion of one another). Thematic transformation by means of stylistic variation is also common; examples include Symphony No.4 (iii), in which the long-short-long rhythmic pattern of the main theme persists in each of its stylistic variations within the divertimento section from figure 191, No.12 (i), where the introductory chorale is transformed into a fully fledged *allegro* theme at figure 3, or No.13 (ii), in which the main theme of the first movement returns at figure 47 in a mockingly light-hearted style to accompany the text, ‘They have wanted to kill humour, but humour gave them the finger’.

Not only is this process non-chronological – the galop is used, for example, in both the First and Tenth – but it also operates irrespective of the presence of a programme; a reference to folk-like dance, for instance, is used as clearly in the Eighth as in the Thirteenth. Furthermore, each application is different, creating not a consistent reference to a few models, but rather a continual reassessment of that model relative to its current context. The waltz, for example, is used in the Twelfth in a light-hearted, one-in-a-bar fashion that re-stylises the main theme into a new guise of positivity. By contrast, in the First, the second-subject waltz, with its off-beat melody and consequent rhythmic unease, is not as cheerful as it might at first seem. In the Tenth, the extrovert tambourine (almost too extrovert to be taken seriously) heralds a bi-tonal presentation of the DSCH motif that is self-conscious to the point of discomfort. A waltz, then, is an important and recognisable external *topos*, that carries a range of semantic meanings. Yet Shostakovich rarely invokes that connection directly, or with any recurring consistency; references can be subtle, subversive, or histrionic. The resultant semantic implications of this hint-and-subversion approach are thus open to a greater degree of interpretation than would be the case with a full submersion into a particular *topos*.

That a range of *topoi* recur with such frequency suggests they are not as ‘external’ as might be conceived, particularly given the diversity with which they appear. Rather, polystylism is an important part of Shostakovich’s musical language: his stylistic palette included a range of potential references. It is therefore not the externality of these models *per se* that renders them ‘other’ but their potential incongruity with surrounding material, leading to the regular charge that Shostakovich was obsessed with grotesquerie. Steinberg, his composition teacher, noted (and

condemned) this penchant early on in Shostakovich's career (Fay, 2000:24), yet it was to persist, particularly under the influence of the theatre director Meyerhold.¹⁷ Importantly, it is the way in which style interacts with other processes that is of significance in the present thesis.

In Symphony No.10 (iii), for instance, the waltz at figure 127 intrudes at GS+ into the somewhat static and introspective tone of preceding material, initiating a new phase of dynamic growth from 129. The incongruence of such extroversion is disruptive and contradictory, bringing about the eventual climax. In the Eighth, there is a more far-reaching effect to stylistic juxtaposition: the 'oom-pah' dance of figure 97 in the third movement sounds ridiculous in its invasion into an otherwise desperate and dark toccata. This incongruence, whilst still preserving a sense of rhythmic momentum, is extreme in its change of style, and is thus a memorable moment within the symphony. It too is situated at GS+ within the work as a whole, bringing about a sense of disruption comparable to that seen in the Seventh.¹⁸

This type of stylistic incongruence, along with the aforementioned hint-and-subversion approach to *topoi*, adds to the possibility of discerning semantic subtexts. As Sheinberg observes,

There are two possible ways to interpret musical incongruities. One is to resolve them into new congruencies by modifying their correlations so that they accommodate each other...The second way is to acknowledge the structures of incongruities as semantically significant in themselves and interpret them as irony. (Sheinberg, 2000:57)

¹⁷ See Fairclough (2006:62ff) for more discussion of this connection.

¹⁸ See Example 5.7 above. Similarly in the Ninth, the dance of the third movement is sited at SY within the total symphony. It is interesting that this process of stylistic disruption is used particularly often at this time in Shostakovich's output: Symphonies Nos.7–10 all employ this technique.

Which option the listener takes is clearly an individual matter, and as Sheinberg notes, ‘all modes of ambiguities rely on an active reader, and their perception and comprehension depend on the apprehension of their double-layered structure and on its interpretation’ (Sheinberg, 2000:28). Nevertheless, the incongruity of the musical surface is often presented with such immediacy that it impels the listener’s need for justification. Interpretation relies on an active reader, but incongruence, at the scale used by Shostakovich, is situated within the music itself.

Are the conclusions of the Fifth and Twelfth too tub-thumpingly cheerful to be taken seriously given preceding material? Or, as Sheinberg asks, does the ‘blunt banality’ of the march in the first movement from the Seventh make it ‘pop up like a sore thumb’ in its dynamic context, leading to the ‘immediate satirical implications of this contrast’ (Sheinberg, 2000:91)? With such multiplicity of potential subtexts, it is not surprising that critics and listeners alike so regularly discuss issues of ‘meaning’ in this music.¹⁹ However, a basis in musical fact is crucial if a demonstration of anything other than individual opinion is to be asserted, and it is in the notion of incongruence itself that more objective discussion can be attempted.

In the Fifteenth, Shostakovich quotes material from a range of external sources, including his own work,²⁰ such that the listener is constantly being asked to reconcile stylistic incongruities. As shown in Example 5.9, the finale makes use of Wagner’s Fate motif from *The Ring*, before the first three notes of the *Tristan* prelude are stated in the upper voice.

¹⁹ *Testimony*, and the debate that followed, is the obvious example.

²⁰ Shostakovich regularly quotes his own work, often in order to conceal a particular subtext. For instance, see Taruskin’s discussion of the finale from Symphony No.5, and its integration of a quotation from Shostakovich’s *Four Romances on Texts of A. Pushkin*, Op.46 (Taruskin, 1995:43).

Example 5.9 Symphony No.15 (iv) – Wagner Quotations

Significantly, after the gravity of these associations, Shostakovich immediately transforms the *Tristan* reference into a newly upbeat melody, which additionally alludes to Glinka's song, 'Do Not Tempt Me Needlessly'.²¹ The Wagner quotations alone would be enough to create incongruity, but their juxtaposition with such frivolous music is almost mocking in character, creating an inevitable sense of parody as the inappropriateness of material and treatment is realised, and a web of associations unfolds.²²

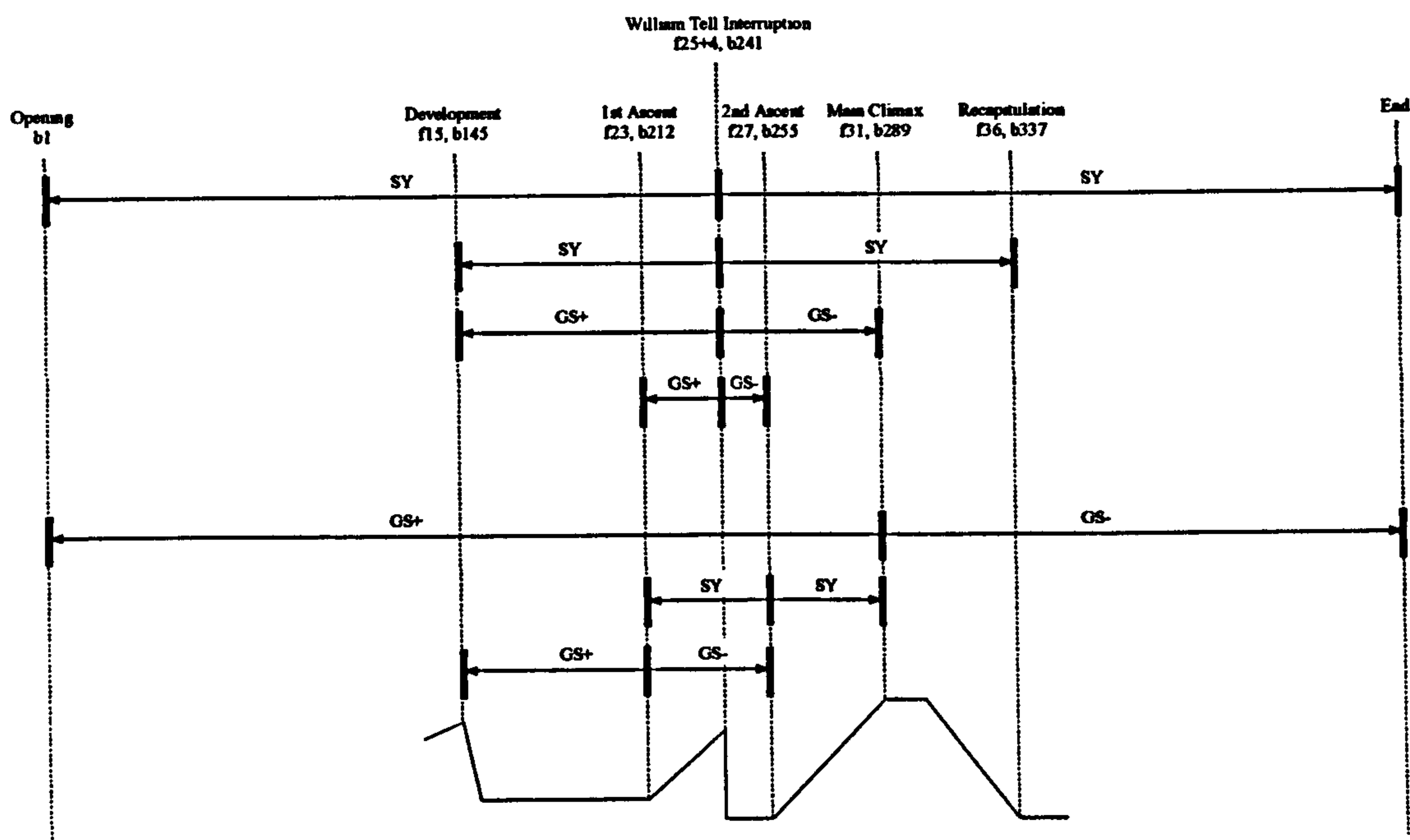
Similarly in the first movement, incursions of Rossini's *William Tell* theme into the otherwise clear sonata scheme inevitably have structural consequences.²³ In particular, its third entry after figure 25 is a ludicrous interruption of the passage of climactic intensification that begins at figure 23. As such, motion towards the main peak of figure 31 has to be re-initiated at 27, creating a two-stage process of growth. As shown in Example 5.10, this interruption occurs exactly at SY and acts as a pivot for all other stages of intensification and dissipation within the development. As such it counteracts the gravity of the GS+ main climax itself.

²¹ I am grateful to David Fanning for drawing my attention to this reference.

²² An additional connection may be with Debussy's 'Golliwog's Cakewalk' from *Children's Corner*, which similarly parodies the *Tristan* quotation.

²³ This theme is almost as an inevitable realisation (although still surprising transformation) not only of the second subject, but also of all comparable passages in previous works: consider the finale of the Sixth, or the ubiquity of anapaest and dactyl rhythms throughout Shostakovich's output. It is as if he could not resist this association, and the ridiculousness of the interruption is impossible to miss.

Example 5.10 Symphony No.15 (i) – Disruptive Quotation



The surface incongruity of this quotation is reflected in the structural disruption that is created: *William Tell* quotations act as inserts, such that formal progress within the sonata scheme continually has to be put on hold. The parodic intention is clear, as is the influence of Mahler, and the consequent humour of the musical subtext is there for all to enjoy.²⁴ Indeed as the academic Israel Nestyev recalls, ‘Shostakovich once admitted that when he saw people smiling at his concerts, he felt tremendous satisfaction’ (quoted in Nikolskaya, 2004:160). To reconcile such incongruence would be to undermine part of that enjoyment, but to observe its structural impact is to highlight its subtlety and reinforce its significance. Style and soundworld very much have the capacity for structural interruption; the effect is delightfully (and sometimes disturbingly) entertaining.

²⁴ Given the prevailing style of this movement, humour may well be the intention of this parody. When such a stylistic incursion occurs elsewhere in Shostakovich’s output – for instance, at figure 97 in the Eighth, or figure 127 in the Tenth – parody seems to imply a darker semantic subtext.

Complement and Contradiction: (In)Congruent Soundworlds

For Shostakovich to state that timbre came to him first within the creative process offers a remarkable insight, and one that is clearly reflected in the accessibility of that parameter in the music. In its instrumental, climactic and stylistic guises, changes in soundworld frequently penetrate, and often subsume, musical directionality, allowing an immediacy of communication, and a significant sense of musical, and at times extra-musical, narrative. This accessibility has proven to be both a blessing and a curse for Shostakovich's subsequent legacy, for while it helped to foster, and continues to secure, his enduring popularity, in the past it has engendered a certain degree of criticism.

There is no doubt that Shostakovich tailored his approach to composition in accordance with the Soviet drive towards accessibility. But stylistic extroversion and approachability are equally important to Symphony No.1, a work written long before the hand of Stalin had reached Shostakovich's door. Clearly, this is a crucial part of Shostakovich's language irrespective of external pressures. As such, soundworld often becomes focal in discussions of meaning and subtext, given its immediacy within the listening experience. To offer an example, Hurwitz describes the coda from Symphony No.7 (i) as follows:

The snare drum begins its militant tattoo once more, very softly...A muted trumpet slyly recalls three phrases of the march tune, as percussion and piano cut the music off once and for all with a few dry chords. The forces of destruction can't be defeated, Shostakovich suggests.

(Hurwitz, 2006:88)

It is a testament to Shostakovich's creativity that such vivid narrative readings are possible, and while this clearly remains the interpretation of one individual, the music itself continually offers that potential. Yet, as has been seen, soundworld also has a deeper musical significance in its *structural* function; this capacity is of particular relevance to the concept of energy.

The significance of soundworld therefore lies not in its independence or all-inclusiveness, but in its interaction with thematic and tonal parameters.²⁵ When parameters align, changes in soundworld act as powerful supporting agents, ensuring the unified projection of a single argument. But when soundworld breaks free from thematic or tonal form, contradicting rather than complementing other elements, the effect is highly disruptive and dynamic. Shostakovich's music may well employ extroversive soundworlds, but this should not necessarily be taken as a substitute for a more rigorous compositional technique. For below the surface, there is a wealth of subtleties and complexities in the congruent, or incongruent, relationship between soundworld and other parameters that is essential to the ever-changing sense of energy.

²⁵ Examples of this interaction over the course of an entire movement or work will be unpacked in more detail in Part II of the thesis.

Chapter 6

Seeds of Motion – Local Pitch Organisation

The projection of background tonality constitutes a fundamental aspect of Shostakovich's musical language. Each symphony is 'in a key' insofar as points of structural importance invariably act also as points of tonal stability: Chapters 2–4 have illustrated this feature at various structural levels. Even Symphony No.15 – a work that draws from serial techniques in its local harmonic detail – begins and ends in A major as a whole. This key centre is also used for the beginnings and ends of the first movement, the first middleground phase (up to figure 8) and the first foreground phrase (up to figure 1); A major is essential within multiple structural levels. Further, tonality is achieved and stabilised in this work through more than just pitch-class centricity: this A clearly functions as A *major*, whose stability derives from a full realisation of tonal hierarchy and triadic relationships. A similar tonal orientation can be seen in all the symphonies.

However, to infer that this tonal hierarchy implies a consistent foreground (or even middleground) diatonicism would be incorrect. As Whittall has noted,

Twentieth-century music continued to concern itself with interactions between tonal and anti-tonal phenomena as well as with declarations of exclusive allegiance to one or the other. It remained at once profoundly heterodox, and in persistent pursuit of an ideal synthesis.

(Whittall, 1999:95)

While Shostakovich's symphonic language is clearly tonal, it adopts various systems of modal and chromatic pitch organisation at local levels, thus frequently avoiding the

basic diatonic collection. But despite this plurality, pitch organisation remains a highly recognisable aspect of his musical style, suggesting an underlying link between potentially distinct aspects. As will be seen, this link in part concerns the sense of motion that prevails in spite of differing scale types. If energy is encoded into background formal schemes, and can be reinforced or interrupted by changes in soundworld, then the seeds of motion take root at the most immediate level of pitch organisation itself.

Modality and Hierarchical Gravitation

One of the defining features of Shostakovich's musical language is its use of modality. In order to illustrate the frequency and diversity with which modal formations are used, Example 6.1 presents three extracts from Symphony No.13 (ii). In each instance, tonality unambiguously underpins the non-diatonic surface. In the first extract, the modal melodic line is supported by the tonal harmony of the accompaniment; modality is thus used in part to stylise what could, in theory, have been a simple diatonic melody. In the second, tonal cadential resolution is achieved modally, whilst in the final extract modal polyphonic lines operate within the span of a perfect fifth. Even in the last case, a sense of tonal stability is preserved, focusing primarily on the A^b of the accompanimental line.

Example 6.1 Symphony No.13 (ii) – Varied Instances of Modality

Melodic Modality

51

242

3

Harmonic/Cadential Modality

33

21

3

Polyphonic Modality

39

94

f до - мах, _____ где хан -

dim *p*

жа на - сле - дил сво - и - ми но га - ми шуп - лы - ми,

The saturation of modality within Shostakovich's foreground formations not only situates his music within a particular stylistic soundworld, but it does so in a way that retains tonal stability; tonal stability implies hierarchy.

Diatonic pitch collections are hierarchically organised to generate tonal stability; they prove a useful point of comparison. Within a given diatonic scale, a tonic is projected as the primary point of fixed stability, with the changeable placement of the two semitones defining a major or minor modality. Therefore at this

scalic, non-harmonised level,¹ it is possible to identify orders of structural importance within the pitch-class content:

- (i) tonic;
- (ii) fifth and fourth supports;
- (iii) third and sixth as primary definers of mode (major or minor);
- (iv) second and seventh as secondary definers of mode.

In this way, the major/minor modality of the diatonic collection is defined primarily by its third, sixth, second and seventh degrees, leaving the tonic, fourth and fifth to retain their fixed structural functions, and to create a consistent hierarchical tonality. By extension, all modality can be considered as projecting a similar hierarchy, based upon principal notes, stable supports and flexible modal signifiers. Example 6.2 shows the second theme from Symphony No.8 (iii), and reveals a clear tonal hierarchy based around F#, with its perfect fifth, C#, functioning as a stable harmonic support.

Example 6.2 *Symphony No.8 (iii) – Modality of Second Theme*

The musical score for Example 6.2 is presented in three systems. The first system begins at measure 280 and features a melodic line in the treble clef and a harmonic accompaniment in the bass clef. The second system continues the melodic and harmonic lines. The third system shows a single melodic line in the treble clef with four intervals marked 'S' (stable) below it, corresponding to the notes F#, C#, F#, and C#.

¹ Meaning pitches that do not form vertical harmonic units such as a dominant seventh.

The A[#] unambiguously implies a major tonality, whilst the ^b2, #4, ^b6, ^b7 and additional ^b3 degrees offer a modal colouration of the basic shape. Further, as shown in the lower part of Example 6.2, this collection expands the diatonic interval set so as to include not only an additional note, but also two extra semitones, all contributing towards the modal characterisation of the tonal substructure.

Alexander Dolzhansky, one of the foremost theorists on modality in Shostakovich's music, categorises the mode of Example 6.2 as part of what he terms the 'Alexandrian Pentachord' (Dolzhansky, 1973:92) – a six-pitch, five-interval collection within the span of a perfect fifth. There are ten potential versions of this Pentachord, which come about through the various re-orderings of three semitones and two tones. That which Dolzhansky identifies most frequently in Shostakovich's music – of which the above is an example (F[#]–G–A–A[#]–B[#]–C[#]) – is the formation STSTS (Dolzhansky, 1973:89), which might otherwise be described as the first part of the octatonic scale.² Crucially, here, analysis confirms the hierarchical status of the F[#] and C[#]; the melody gravitates towards those points of stability. When combined with the clear rhythmic and textural emphasis placed upon these pitch classes, motion as a gravitational phenomenon can be linked directly with a hierarchical conception of modality.

A connection with diatonic organisation can therefore be seen in the elevation of particular fixed and stable pitch classes over additional, unstable modal signifiers. In fact, the importance of diatonicism as the basis of Shostakovich's pitch organisation has long been observed by Russian theorists (Carpenter, 1995:90ff). As such, modality is seen as the chromatic alteration of, decoration of, or superimposition

² The octatonic is, of course, a crucial part of Russian musical heritage: see, for instance, Taruskin, 1997:84. Its manifestation in Shostakovich's work therefore has an additional, deeper resonance in its connection with the wider Russian tradition.

upon, the diatonic collection. These chromatic elements therefore characterise its soundworld: chromatic, after all, means ‘coloured’. In the example from Symphony No.8 (iii), for instance, the chromatic alterations noted earlier modify a basic diatonic shape, but leave the tonic, major third and perfect fifth degrees unchanged. The structural functions and relative hierarchies of the diatonic collection are thus preserved, such that modality here can be understood as inflected diatonicism.³

This interaction between systems of pitch organisation offers wide-ranging compositional potential, for modes need not necessarily be presented explicitly in the scalar fashion of Example 6.2. For instance, the opening DSCH variant of Symphony No.10 (iii) is clearly cast in C minor, with its initial (albeit unstable) A^b and B^b functioning as parts of that melodic minor (see Example 6.3).

Example 6.3 Symphony No.10 (iii) – Diatonic Basis of Modality

100
Allegretto ♩ = 136

p dolce

Basic Diatonic Minor:

Chromatic Additions:

Resultant Mode:

³ Other examples of inflected diatonicism include Symphony No.6 (ii), f39, No.7 (iv), f189, No.9 (iii), f57 or No.12 (ii), f55.

However, whereas the entry of the F[#] in bar 6 would ordinarily be considered a chromatic appoggiatura relative to a diatonic collection, the eventual modality of the phrase (highlighted particularly by the appearance of D^b) re-contextualises the second F[#] as part of a larger mode. F[#] constitutes a relatively unstable pitch within the mode, due to its distance from the underlying diatonic minor. The unfolding modality of this example is therefore more subtle in comparison with the Symphony No.8 (iii) extract above, for rather than simply articulating a scalic formation, unstable elements are gradually introduced to the melody and harmony.⁴ Local motion here is in part the product of interpretation and re-interpretation, as chromatic alteration of the diatonic substructure steadily reveals its ultimate modality. What remains constant within this process is the sense of tonal hierarchy – C is undoubtedly the tonic, and C minor is undoubtedly the key – such that unstable pitches gravitate towards stable pitches.

To return to Example 6.1, each extract has a clear hierarchical organisation in spite of differing modes and textural settings; this feature renders the resultant soundworld unambiguously tonal. Each extract has a single tonic, supported by other stable pitch classes; even the third polyphonic instance establishes an A^b root and E^b fifth-support. And in each, the additional care with which those pitches are accented, both rhythmically and texturally, contributes significantly to the sense of motion towards and away from these notes.

Much of the scholarship on modality in Shostakovich's music emphasises how pitch organisation is thus conceived as a subdivision of pitch space, with its derivation from a diatonic basis, or its consequent 'intonations' (to use the Asafievan term),⁵ viewed as additional points of interest. When material is as texturally uncomplicated

⁴ Other examples of this process can be seen in Symphony No.7 (i), f14 and f18, No.10 (iv), f57 and the opening of No.13 (iii).

⁵ For more detail on Intonation, see McQuere, 1982:235–49, or Haas, 1998:60–62.

as in the previous examples, this approach can prove revealing in the observation of fixed, tonality-defining pitch classes, and flexible, unstable, modal colourations. However, when surface events are more complex, a different methodology is necessary. Consider, for instance, the second subject from Symphony No.10 (i): as can be seen in Example 6.4, its first appearance is set in a somewhat dissonant context that is neither diatonic nor atonal. Further, it is difficult to identify a basic mode, as it is unclear which pitch functions as the root: G or A^b. At figure 20, this ambiguity (and dissonance) is resolved, and the G of the melody is confirmed as the tonic through the textural ordering of the mode, particularly in the accompaniment. But at figure 17, this is still unclear.

Example 6.4 Symphony No.10 (i) – Modally Ambiguous Second Subject

Dissonant Version

17

$\text{♩} = 120$

202

Consonant Version

20

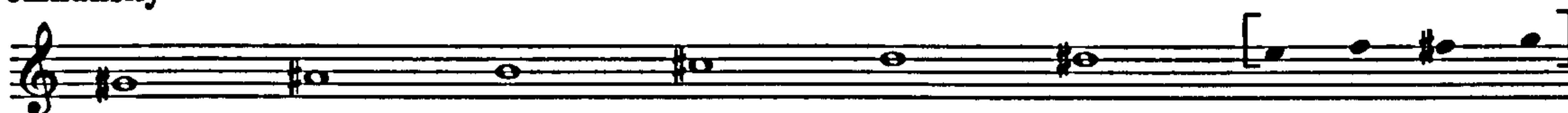
p

228

The rationalisation of the original figure-17 version has been a matter of some disagreement; Carpenter has summarised several alternatives in detail (Carpenter, 1995:100ff), three of which are reproduced in Example 6.5.

Example 6.5 *Symphony No.10 (i) – Modal Interpretations of Second Subject*⁶

Dolzhansky



Adam

C major-minor (original tonality)

Derived mode on G (for melody)

Derived mode on A^b (for accompaniment)

Sereda

In the first, Dolzhansky views the phrase as being based on the second Alexandrian pentachord (TSTSS), with the A^b (or G[#] as he writes it) as the fundamental. In the second interpretation, Adam rationalises it as bitonal, simultaneously presenting a mode on G for the melody and one on A^b for the accompaniment; both are derived from one meta-mode in C.⁷ Sereda, by contrast, focuses upon G as the central pitch, with its gravitational pull resulting from the surrounding symmetrical pitch organisation.

⁶ From Carpenter, 1995:100ff.

⁷ The music cadences in C later in the exposition of the second subject (see figure 24).

Clearly there is some contradiction between these findings, revealing certain limitations of modal theories that seek to demonstrate derivation and hierarchy. More importantly, with the possible exception of Sereda, none address a significant aspect of the figure-17 theme: despite its dissonance, it retains a sense of tonal stability. What is more, there is tonal motion here, towards and away from the down-beat of the theme. Given the ambiguity associated with identifying a tonic, directionality must result from more than simply hierarchical gravitation.

Modality, Harmony and Linear Voice Leading

To consider modality as a conceptual and isolated pitch-space hierarchy – a purely melodic construct – does not take full account of local harmony, a feature that can significantly reinforce tonality. In Shostakovich's work, the more complex texture of Example 6.4 is far more common than basic scalar presentations of mode, meaning that apparently dissonant vertical sonorities are frequently used in place of diatonically-based harmonies. Yet in these instances, as that example demonstrates, tonal stability can still endure. Modal function and tonal stability therefore cannot result simply from the relative importance of particular pitch classes, but must also stem from the way in which pitches are combined as larger harmonic units. This implies a secondary hierarchy, related to *intervallic* content:

- (i) unison;
- (ii) perfect fifths and perfect fourths;
- (iii) major and minor thirds and sixths;
- (iv) major and minor seconds and sevenths;
- (v) tritones.

In this respect, stability and instability are functions not just of pitch-class hierarchy, but also of intervallic hierarchy. The link to diatonicism remains clear: that perfect fifths are more stable than tritones is a given in diatonic tonality, and the retention of this feature by Shostakovich reinforces a sense of traditional tonality despite a modal subdivision of the octave. What is more, this is Yavorskian ‘Modal Rhythm’ at its most basic, with motion seen as the product of tritone-to-third voice leading.

In the extract from the Tenth, the accompaniment is stable because it is based on the perfect fifth A^b-E^b , in-filled with the minor third, B^{\natural} . Of particular importance is the absence of any tritones at the opening of figure 17, and again three bars later. As such, its harmonic content (A^b-B-E^b-G) remains relatively static despite its dissonance, and, by implication, it does not compel tritone-led motion. Further, this stability is reinforced by the cadence that precedes it: as shown in Example 6.6, two unstable tritones – themselves formed between voices – resolve at the downbeat of bar 205.

Example 6.6 *Symphony No.10 (i) – Yavorskian Conception of Second Subject*

The image displays two systems of musical notation. The first system consists of a treble clef staff and a bass clef staff. The treble staff contains a melodic line with notes G^b, A^b, B^{natural}, and C^b. The bass staff contains a bass line with notes A^b and E^b. The second system also consists of a treble clef staff and a bass clef staff. The treble staff shows a melodic line with notes B^{natural} and C^b. The bass staff shows a bass line with notes A^b and E^b. A dashed oval above the treble staff and a dashed oval below the bass staff both span from the first bar to the second bar, indicating tritone resolutions. The number 204 is written below the first bar of the second system.

These tritones cadence in such a way as to establish the A^b minor triad: D^b – G outwards to A^b – C^b ; B^b – E inwards to C^b – E^b .⁸ A similar tritone-led cadence introduces the phrase as a whole. Consequently, the stability of the downbeat is confirmed both through its intervallic content, and also through traditional, unstable-to-stable voice leading. However, any sense of resolution is, at most, local, for the continual D -to- A^b bass outlines a higher level of tritone-derived uncertainty (see Example 6.4 above) due to its textural prominence: D functions as V of the melodic G , and yet ‘overshoots’ instead to A^b . It is therefore not until figure 20, when G is finally asserted in the bass, that a more concerted sense of stability is established through the removal of this additional, higher-level tritone.

This example confirms the significance of a Yavorskian conception of modality in Shostakovich’s music. Tritones are the prime generators of harmonic motion due to their instability and need for resolution. Crucially for Shostakovich (and indeed Yavorsky), this interval can resolve outside an unaltered diatonic collection,⁹ increasing the potential pitch space of a work. In Example 6.6, the tritone B^b – E could have cadenced inwards to B^b – D^b , confirming the G major tonality of the melody (given appropriate bass motion). However, this resolution is delayed until figure 20, when the theme is set in the fully realised G major tonic. Interestingly, when this G -major version does arrive, it preserves the two tritone pairs of figure 17, by reusing the A^\sharp and C^\sharp in the accompanimental line: see bar 230 in Example 6.4 above, and compare with bar 205 in the same Example. This connection confirms the structural, harmonic function of these pitches: they are not simply chromatic decoration, but are vital to local motion.

⁸ I have changed the enharmonic spelling for ease of visualisation.

⁹ Refer back to Example 1.3 on page 10 for more detail.

The expanded potential of the tritone as offered by Yavorskian theory thus allows for a distinction between dissonance, as defined by non-diatonic formations, and instability, which results primarily from the voice-leading potential of tritones. A different perspective upon modal pitch organisation is therefore possible, for Yavorskian theory goes beyond the derivational assessment of *what* a mode *is* in musical space (complete with the often misleading pre-compositional implication of this labelling process), by explaining *how* that mode operates in musical time. This highlights a subtle interaction between collection and function: the freedom of tritones to cadence outside the basic diatonic scale allows modal dissonance to subsist in a tonally stable context.

To consider a longer extract, Example 6.7 transcribes and analyses the main melodic theme from the opening of Symphony No.5 (iv). As can be seen, modality unfolds linearly, such that the basic dorian collection (itself a modified diatonic minor) is expanded by additional lowered second, fourth and fifth degrees. Hierarchical organisation therefore controls the surface, creating a degree of gravitational pull towards the tonic and perfect fifth (see the first two bars of the extract, for instance). Yet motion is additionally generated through tritone-led voice leading: at each local change in harmony, tritones play a crucial role within the directional voice leading. This extract also exemplifies a common technique in Shostakovich's harmonic language: the resolution of one element of a tritone; Yavorsky defines this type of motion as the 'half resolution' (McQuere, 1983:141). In this instance, it is used in order to digress from the implied large-scale harmonic progression: see figure 99 in the Example. Resolution to the tonic is thus delayed for four bars by a harmonic side-step to the dominant minor.

Example 6.7 Symphony No.5 (iv) – Tritone-led Voice Leading

The image displays a musical score for Example 6.7, titled "Symphony No. 5 (iv) – Tritone-led Voice Leading". The score is presented in two systems, corresponding to measures 104 and 105. Each system consists of four staves: two for the vocal line and two for the piano accompaniment. The vocal line is written in a treble clef, and the piano accompaniment is written in a bass clef. The key signature is one flat (B-flat major or D minor), and the time signature is 4/4. The tempo is marked with a quarter note equal to 104 (♩ = 104). The score includes various musical notations such as notes, rests, beams, and slurs. The vocal line shows a tritone-led voice leading pattern, with a tritone interval between the two systems. The piano accompaniment includes chords and arpeggiated figures. Annotations include "Unresolved", "Digression", and "Delayed Resolution".

Example 6.8 Degrees of Instability and Stability

Symphony No.5 (iv) - Instability Prolonged

III ♩ = 92

Symphony No.8 (i) - Stabilities Undermined

Symphony No.12 (i) - Stability Dominates

I

Example 6.7 demonstrates an important factor here: the *type* of motion experienced – the extent of instability – results not simply from the presence of tritones, but also from the *way* in which they find resolution. Prolongation is fundamental to the level of perceptual instability, and, conversely, harmonic context affects triadic stability. Consider Example 6.8, for instance: in each extract the tritone is used as a volatile interval, yet the effect in each is different. In the extract from the Fifth, the continuous G[#]–D and B–F pedals prolong a sense of instability; their eventual resolution comes as a powerful release of tension.¹⁰ In the Eighth, instability prevails, but for a different reason: cadences are largely half resolutions; points of tonal gravity are not allowed to take firm hold, instead transforming into additional tritones. Conversely in the Twelfth, tritones occur at such a brief and local level that although they create a degree of motion, their brevity does not foster the same destabilising effect. Consequently, triadic stability dominates in this extract, with tritone-led cadences used to reinforce the tonic.

The manner in which tritone dissonance is prolonged therefore accounts in part for the way stability and instability, or stasis and dynamism, can be manipulated at this local level. When combined with the gravitational pull of modal hierarchies, this process offers Shostakovich a powerful means of foreground manipulation. Example 6.9, for instance, transcribes two occurrences of a particular motif from Symphony No.4 (iii). In part, their distinction results from textural formation, the first having a clearer harmonic structure than the second. However, the extent to which their tritone content finds local resolution contributes significantly to the prevailing sense of motion.

¹⁰ Other examples of prolonged tritone pedal points include Symphony No.3, f14, No.11 (iv), f167 or No.12 (i), f24 and f40.

Example 6.9 Symphony No.4 (iii) – Stable and Unstable Uses of Mode**Stable Climactic Statement**

Musical score for 'Stable Climactic Statement' (Example 6.9). The score is in common time (C) and consists of three staves. The top staff is a treble clef with a melodic line of eighth notes, marked with a forte dynamic (ff). The middle staff is a grand staff (treble and bass clefs) with a harmonic accompaniment of chords, also marked with ff. The bottom staff is a bass clef with a bass line of eighth notes, marked with ff. The score is numbered 54 at the beginning.

Unstable Later Development

Musical score for 'Unstable Later Development' (Example 6.9). The score is in 3/4 time and consists of two staves. The top staff is a treble clef with a melodic line of eighth notes, marked with a forte dynamic (f). The bottom staff is a bass clef with a bass line of eighth notes, marked with f. The score is numbered 150 at the beginning and includes a box around the number 171 in the first measure of the top staff.

In the first extract, the upper C–F[#] modally colours the open fifth C–G, whilst the G–D^b of the bass line clearly resolves back to C. Tritone formations are therefore subordinate to the tonally secure C major, and resolve to the tonic triad. Textural and rhythmic emphasis highlights the importance of that chord within the modal hierarchy. In the second case, however, tritones are left unresolved; their combination with additional chromatic dissonances derived from other thematic material undermines potential hierarchical implications. The prolongation (rather than resolution) of tritone content, combined with a non-hierarchical organisation of foreground texture, both create an overall sense of instability. There is a fundamental difference in effect between these two passages: the extent of local energy – of stasis or dynamism – is the direct by-product of *how* modes are used.

The Chromatic Collection

Given the ubiquity of modality in Shostakovich's musical language, and systems of organisation that rely so often upon the operation of the tritone in their linear voice leading, it is interesting that the full chromatic collection can also be found so frequently. In fact, it is not unusual to encounter most or all chromatic pitches over the course of a few bars. However, this is often the by-product of modal manipulation rather than an end in itself: Example 6.10 analyses two such instances. In the Sixth, descending harmonic motion is composed out at the surface through a series of modal scales. In particular, chord VI is expanded by a fully realised G aeolian, which, when combined with the change in orchestration at this point, creates friction, set against the opening B dorian. The consequence of this evolving modality is the presence of the entire chromatic collection within seven bars. Yet complete chromaticism is not a dedicated means of organisation; it is a resultant product of modal manipulation. In the extract from the Seventh, the specificity with which harmonies follow the interval contour of the melody results in an 11-pitch collection. Chromaticism thus serves again as a colouration of an underlying modal (hierarchical) structure.

Example 6.10 Resultant Chromaticism

Symphony No.6 (iii) - Chromaticism Caused by Evolving Modality

82 *strings* *p*

1

woodwind

strings 83

Harmonic and Modal Evolution:

B Dorian A Major/Ionian G Aeolian

B Dorian:

A Major/Ionian:

G Aeolian:

Resultant Total Chromatic:

Symphony No.7 (i) - Chromaticism Caused by Fixed Interval Contour

33

299

f

E^b major Melody:

Chromatic Colouration:

Near Total Chromatic:

However, there are instances where Shostakovich turns to the chromatic scale more purposefully, projecting it not as decorative, alterative or a resultant product, but as a collection in its own right. Example 6.11 overleaf presents four such instances that specifically seek to explore the semitone relationship between successive degrees of the scale.¹¹ In the extract from the Eighth, an expanding chromatic line is superimposed on to a basic triad, while in the Ninth, the chromaticism of the melody is transferred into its harmonic supports in a similar style to the Seventh (see Example 6.10), then set over a simple ostinato. In both cases, tonal gravity prevails, and is reinforced by the rhythmic and textural organisation of the phrase. As such, the chromatic melody remains decorative and stylistic, to no less an extent than in Examples 6.2 or 6.10.

The final two extracts in Example 6.11 demonstrate Shostakovich's late-period adoption of a more rigorous dodecaphonic technique. In both cases, the melody contains all twelve pitch classes, and in the last, the theme itself contains both the prime form row and its I6 transformation.¹² In fact, Symphony No.15 (and the Fourteenth)¹³ makes use of dodecaphony in various guises: rows can be thematic (as in Example 6.11), they can form the basis of fugal or passacaglia expansion (respectively at figures 27 and 125), or they can function as transitional material (for instance, at figure 69).

¹¹ Other examples of different types of chromatic textures can be found in Symphony No.1 (iv), f22, No.4 (ii) from f145 or No.12 (i), 4 bars before f45.

¹² Under inversion, transposed up six semitones (which equates to a tritone).

¹³ And, in fact, aspects of the Thirteenth: Hakobian notes 'elements of twelve-tone composition' in Symphony No.13 (iv) (Hakobian, 2004:175).

Example 6.11 Chromaticism as a Collection

Symphony No.8 (ii)

53 ♩ = 144

67

Symphony No.9 (ii)

35
a tempo
pp

99

dim

Symphony No.15 (i)

9
p

84

Symphony No.15 (iii)

81
f

1

f

However, in each case, tonal stability is retained, either through harmonisation of the row or, more commonly, through a clear rhythmic and textural focus upon a tonic, with additional supportive pitch content. Hierarchy is thus retained, representing a significant boundary within which Shostakovich experimented with dodecaphony. Importantly, there is a clear precedent for this way of thinking, not only in the first two extracts of Example 6.11 – the instances in Symphonies No.8 (ii) and No.15 (i) are remarkably similar – but also in the hierarchical gravitation observed in the previous discussion of modality. As such, Shostakovich's adoption of dodecaphony is not as radical a U-turn as it might appear. Outwardly, his early rejection of serialism was absolute and endured throughout the majority of his life: in an article published in 1959, he states,

The narrow dogmatism of this artificially invented system rigidly fetters the creative imagination of composers and deprives them of individuality...Dodecaphony not only has no future, it doesn't even seem to have a present. It is just a "fad" that is already passing.

(quoted in Fay, 2000:214)

Whether this was a genuine belief or an external, politically motivated front is unclear, but by 1968 his view had pacified somewhat:

If a composer sets himself the aim of writing purely dodecaphonic music at all costs, then he is artificially limiting himself. But using elements of this system can be fully justified when dictated by the actual compositional concept.

(quoted in Wilson, 2006:461)

On a technical level, Shostakovich's late-period conception of dodecaphony seems clear: a system of pitch organisation like any other, capable of providing surface

diversity, and of characterising a tonally stable background. Thus dodecaphony is used as a subservient decoration of tonality, and not as a structural force in its own right: as Kholopov has noted, its role is ‘melodic rather than form-building’ (Kholopov, 1995:75).

Chromatic organisation is therefore capable of generating local momentum; like modality, it is hierarchically organised such that tonal gravitation subsists in spite of inclusive surface formations.¹⁴ And if gravitation is largely retained in Shostakovich’s more chromatic passages, it follows that tritone linearity may also persist: an instance is shown in Example 6.12. Symphony No.1 (iii) opens with an angular melody that roughly follows the contour of the primary theme from the first movement. However, concealed beneath its wide intervals is a linear motion that moves in semitone units. But in spite of three largely independent lines, each of which charts its own chromatic course, there are regular ‘mini-cadences’ that result from tritone-to-third voice leading between parts. As such, an additional sense of directionality is articulated by cadences, such that the linear chromaticism is not allowed to continue *ad infinitum*. Rather, it is reigned in by cadential motion, offering a focused directionality that moves more purposefully between points of relative stability and instability. Tritone instability is thus as important a part of local motion within Shostakovich’s chromatic music as it is when modality prevails.

¹⁴ On the rare occasions when tonal focus is removed – consider, for instance, figure 46 in Symphony No.14, or figures 27 and 47 in No.15 (i) – this is used for *effect* rather than as a structural force, but even in these examples, the constant use of fourths in the rows has a significantly tonal connotation. There is a precedent for the use of atonality for effect in the opening of Symphony No.2.

Example 6.12 Symphony No.1 (iii) – Chromatic, Tritone-led Voice Leading

Lento = 76

1

5

The Local Duplex

Despite the theoretical opposition of chromaticism (a process of inclusion) and modality (in effect, a process of exclusion and modification), the tritone offers a link through the fixity of its function: it is always unstable, and its resolution on to fifth- or third-based intervals (*pace* Yavorsky) facilitates tonal stability. One additional aspect of Yavorskian theory that deserves further discussion is the special function allotted to the duplex – the tritone opposite to the primary tonic. The use of this relationship has already been observed as part of the larger tonal schemes seen in Chapters 2–4, but requires further consideration at middleground and foreground levels.

The opening of the First Symphony highlights the importance of duplex relationships from an early stage in Shostakovich's work. As shown in Example 6.13, the two-part foreground modality is synthesised into a single middleground chromatic descent, linking interim points of relative harmonic stability through semitonal motion. Thus the absence of diatonicism yields neither to a specific mode, nor to total chromaticism; rather, directionality is the governing principle, as the collection unfolds over time. For instance, the first middleground phrase consists of chromatically-directed voice leading that is moving from C to its duplex F#. A variation of this phrase is introduced at figure 1, now goal-oriented from C towards the A major of figure 2 (which symmetrically splits the C–F# tritone).

Example 6.13 Symphony No.1 (i) – Opening Voice Leading

Allegretto $\text{♩} = 152$

However, at the end of the extract, the music takes a sidestep, as previous points of gravity subordinate to a new B major sonority; the F^\sharp of bars 7 and 8 now functions as a dominant. The stability of B major is unquestionable: it is confirmed via local $A^\sharp-E$ to $B-D^\sharp$ tritone resolution. But, as Example 6.14 shows, the phrase is moving ultimately towards F minor for the entry of the first subject. So despite the foreground stability of B major, it constitutes the duplex tonic in the middleground.

Example 6.14 *Symphony No.1 – Middleground Voice Leading of Introduction*

Retrospective assessment – itself a dynamic process – occurs here as previously-experienced points of middleground stability are re-contextualised as unstable relative to newly established tonal regions. There are, therefore, four structural levels of abstraction in the establishment of the primary tonic in this introduction:

- (i) chromatic (unstable) voice leading, moving between
- (ii) C and F[#] stabilities (themselves unstable tritone opposites, and eventual dominants respectively to B major and F minor), with F[#] cadencing into
- (iii) B major, which is itself the duplex of
- (iv) F minor, the primary tonic, established for the entry of the first subject.

So not only is foreground motion directed towards middleground points of stability, but these middleground points themselves unfold dynamically according to their duplex relationship. This adds to the sense of directionality up to the entry of the first subject. The use of the duplex prolongs the underlying dominant-C to tonic-F minor progression: the A[#]–E tritone across bars 20 and 21 (see Example 6.13) might have

cadenced outwards at that point on to A^b -F, thus confirming F minor, yet this does not happen until later in the introduction. As shown in Example 6.14, the two disruptive entries of B major are themselves proportioned across the introduction as a whole.

This use of duplex-related centres in the middleground occurs regularly in the symphonies. The third movement of the Tenth, for example, demonstrates two different ways in which duplex associations can function within a tonal middleground. As shown in Example 6.15, in the first instance, the transposed DSCH theme of figure 106 enters in the duplex tonic (C^\sharp major) as a means of disrupting the previously stable primary tonic (G major).¹⁵ The lack of preparation renders this move across the duplex system jarring, repositioning the music in a new harmonic domain to mirror the change in orchestration (from wind to strings) at this point. However, in the second instance, the duplex A^b is subtly integrated into the voice leading, which ultimately cadences in G major. Here, the duplex still disrupts the main progression, in this case from dominant-D to tonic-G, but it functions only as a harmonic decoration to that basic motion rather than as a complete redirection. In both examples (and, indeed, in the opening of the First Symphony above), the duplex acts as a counterpole, pulling the music away from the primary key area to a new point of tonal centrality. However, the way in which this feature is integrated is fundamental to its overriding effect.¹⁶ By definition, its presence is disruptive, but the extent to which this is felt to be decorative or structural, stable or unstable, is again the result of its context, and *how* that key centre is used.

¹⁵ The movement as a whole is in C minor (hence the key signature), but has modulated to G major by here. G thus functions as the primary tonic, with C^\sharp forming its duplex.

¹⁶ Other examples of a disruptive duplex include Symphony No.7 (i), 5 bars before f4 or No.9 (v), f101, while a more integrated use can be found in No.10 (i), f69, No.11 (ii), f59 or No.13 (i), 4 bars before f5. The third extract in Example 6.11 above shows its use in a dodecaphonic context: see Child 1993:79ff for more detail on the use of this progression elsewhere in the work.

Example 6.15 Symphony No.10 (iii) – Use of Duplex Middleground

Disruptive Duplex

Musical score for "Disruptive Duplex" showing two systems of staves. The first system starts at measure 105 and the second system starts at measure 106. The notation includes treble and bass clefs, a key signature of two flats, and a 3/4 time signature. The music features complex rhythmic patterns and melodic lines in both hands, with some notes beamed together. A double bar line is present between the two systems.

Integrated Duplex

Musical score for "Integrated Duplex" showing two systems of staves. The first system starts at measure 197 and is marked "Largo" with a tempo of $\text{♩} = 72$. The notation includes treble and bass clefs, a key signature of two flats, and a 3/4 time signature. The music features complex rhythmic patterns and melodic lines in both hands, with some notes beamed together. A double bar line is present between the two systems. The first system includes the instruction *pp poco espress*.

Duplex associations can also be found at the most immediate foreground level. As transcribed in Example 6.16, Shostakovich frequently turns to this pitch as an unstable element of local modes, often within essential thematic material.

Example 6.16 – Duplex Characterisation of Thematic Pitch Space

Symphony No.7 (i) - 1st Subject

Allegretto ♩ = 116

1

Symphony No.9 (v) - 1st Subject

[70] *Allegretto* ♩ = 100

1

Symphony No.10 (ii) - Main Theme

[71] *Allegro* ♩ = 176

1

Symphony No.15 (iii) - Second Theme

[90]

77

In each instance, melodic, rhythmic and textural means are used to highlight the duplex, reinforcing its otherness; its unstable harmonic function is consistently confirmed by chromatic resolution (F[#] to G in the Seventh, A to B^b in the Ninth, F^b to

F[♯] in the Tenth, and B^b to B[♯] in the Fifteenth). However, these resolutions are at such a local level that they have fewer structural ramifications in their generation of voice leading or momentum than was seen previously. Instead, these duplexes function melodically, colouring an underlying melodic shape through their modal characterisation of pitch space.¹⁷ So at this level, they operate not as part of any linear voice leading, but regress to the type of pitch-space hierarchy discussed at the start of this Chapter. The fundamental instability of the tritone is therefore retained, but in such a way that diminishes its wider directional momentum. However, when this relationship is projected onto higher structural levels – the importance of F[♯] in the tonal scheme of the Seventh, or of A in the Ninth has already been observed respectively in Chapters 4 and 3 – the significance of foreground duplex formations becomes particularly relevant.

One final example of this potential interconnectivity will serve to highlight the characterising and structure-defining potential of the duplex. Example 6.17 transcribes several extracts from Symphony No.13, each revealing a dual presence of B^b and E. The B^b–E relationship is introduced in the foreground at the outset of the symphony, and is also used throughout the first movement as a substitute for dominant–tonic progressions (an instance of which is shown in the second extract of Example 6.17). That this tritone returns in other movements further emphasises its importance. Significantly, this duplex connection is elevated to a higher structural level: a glance back to Example 2.9 (page 73) will confirm the structural function of B^b and E at the highest level of tonal organisation. Further, E major is used for the figure-13 ‘Anne Frank’ episode within the B^b-minor first movement, while B^b minor

¹⁷ Other examples include the opening of Symphony No.4 (iii), No.8 (ii), f47 or the opening of No.15 (i).

is reintroduced and overlaid for the figure-88 climax in the E-minor third movement. Thus the characterising capacity of the local B^b-E tritone becomes an inherent part of the work's large-scale dramaturgy.¹⁸

Example 6.17 Symphony No.13 – Foreground use of Duplex

Symphony No.13 (i)

Adagio ♩ = 58

1

12

Над Бабь-им Я-ром па-мят-ни-ков

Symphony No.13 (ii)

278

7

7

Symphony No.13 (iii)

44

Symphony No.13 (iii)

78

Зяб - ну, дол - го в кас су сто - я, но по - ку - да дви - жусь к ней.

52

¹⁸ Additionally, both the second and fourth movements use other tritones at their openings: this interval is clearly important in the overall soundworld here.

Fixity, Flexibility and Motion

Pitch organisation offers a highly characterising and recognisable aspect of Shostakovich's musical language. The balance of diatonicism, modality and chromaticism is an ever-changing relationship that yields a wide variety of possibilities rather than one specific system, hierarchy or collection.¹⁹ The stylistic function of pitch organisation should not be overlooked, therefore, as choices of pitch- and interval-classes often drive surface events into a particular soundworld. The flexible subdivision of the octave, capable of change between movements, sections, or phrases, can thus create diversity beyond the modulatory potential of unaltered (or even inflected) diatonicism.

But what remains fixed is a hierarchical organisation within all systems that allows the continual projection of stable tonality. All modes have a tonic, and when pitches are combined into triadic formations, they are allowed to exist with traditional tonal stability, acting as points of gravitational pull. Conversely, tritones consistently preserve their unstable function, providing local and middleground momentum towards points of resolution. This retention of (diatonically derived) intervallic hierarchy reinforces an overriding sense of tonality in Shostakovich's entire symphonic output, and it is this fixed hierarchy that represents one of the most traditional aspects of his musical language. However, the diversification of this hierarchy through the flexible adoption of modal and chromatic elements creates a distinctive range of compositional options; the interaction between a fixed intervallic

¹⁹ Dolzhansky's Alexandrian Pentachord nonetheless represents a formation to which Shostakovich regularly returns. Haas builds on Dolzhansky's work by identifying another particularly frequent 'Shostakovich mode': the formation STSTTTT (see Haas, 2008b: 341–54). This mode is significant given its inclusion of both octatonic and whole-tone partial subsets. Nevertheless, neither could (or would) be described as a universal background collection in Shostakovich's work.

hierarchy and flexible pitch-class content is fundamental to Shostakovich's local pitch organisation.

Crucially, the product of hierarchical directionality – of gravitational pull, and of unstable-to-stable voice leading – is, inherently, motion. At the root of Shostakovich's musical energy, therefore, lies a conception of pitch organisation that retains tonal dynamism yet also expands it through the flexibility of the tritone to operate outside of a purely diatonic context. This local directionality can be analysed and understood clearly using Yavorsky's Modal Rhythm. Importantly, motion is not constant, but can vary according to the way in which tritones find resolution. The link between pitch organisation and higher structural levels is therefore clear: it is surely no coincidence that unresolved tritones tend to prosper in developmental passages, or that triadic stability usually takes hold at points of high-level structural resolution. The overall sense of stasis or dynamism in a work is therefore directly connected to the way in which Shostakovich manipulates foreground pitch organisation. It is from this most local level that the seeds of motion and energy are sown.

Part II

Applications and Implications

Chapter 7

The Russian Doll Effect – Multi-Dimensional Energy in Symphony No.6 (i)

Part I of this thesis has demonstrated that energy is inherent to multiple parametric dimensions of Shostakovich's music – it emanates from aspects of form, thematic process, soundworld, rhythm, and pitch organisation. Moreover, energy is a highly diverse phenomenon, as different degrees of stasis or dynamism prevail within and between multiple dimensions. Thus, its consideration not only prompts a detailed investigation of Shostakovich's musical language, but it also offers insights into the individuality of each symphony. The discrete foci of earlier chapters – each on a particular musical component, rather than a specific work – leaves one crucial factor unanswered: how the ebb and flow of energy is felt over an entire movement, and, in particular, how this results from the interaction of *all* components. The Russian Doll effect, then, concerns the nesting of structural levels and musical parameters to create a single, overall shape.

The first movement of Symphony No.6 provides an interesting case study to illustrate this nesting process, and has been chosen for several reasons: it has an economy of material that allows for detailed analysis within a single chapter; it is rarely discussed; it is often overshadowed by its more substantial and famous neighbouring symphonies; and, perhaps most importantly, it is a beautifully constructed, idiosyncratic work that deserves an entire chapter. The Sixth was completed in 1939, two years after the enormous (and vindicating) success of the Fifth. Expectations were high, therefore – a factor Shostakovich seems to have had some trouble in overcoming, given the apparent abandonment of his postulated 'Lenin

Symphony' (Fay, 2000:115). What emerged instead could not be more different: this music is introverted, melodic, at times beautiful, and at others dark. Shostakovich described the Sixth as a combination of 'spring, joy, youth [and] lyricism', and although he was careful to distance it from the tension and tragedy of the Fifth (Fay, 2000:115), its first movement constitutes one of his bleakest soundworlds, and one that is vastly at odds with its attendant scherzo and finale.

The extent to which Shostakovich experimented with Classical models is also revealed in this opening movement: although it is far removed from the sonata schema of Example 3.8, there are references to that model. Further, Symphony No.6 employs no programmatic content, and thus its formal eccentricities cannot be justified on extra-musical grounds. Instead, the structural organisation of the first movement grows directly out of its thematic material, a feature that makes clear reference to the sonata tradition, but one that, in fact, spawns something rather different. As will be seen, the music can be broken into four dimensions of nested structure, akin to the Russian Doll. Each corresponds to one of the four primary musical parameters discussed in this thesis – thematic process, tonal evolution (as related to pitch organisation), form, and soundworld – and each generates energy independently. But it is the relationship between multiple dimensions of energy – their nesting into a single entity – that offers large-scale structural unification.

Dimension 1: Thematic Process

There are three discrete thematic ideas in the first movement of the Sixth, but they all derive from the manipulation of a single interval: the minor third. As shown in Example 7.1, the cell that opens the symphony is immediately expanded into a melodic line that encompasses a further two minor-third sequences; this constitutes theme Aⁱ. Shortly afterwards, a new idea is presented – theme Aⁱⁱ – whose cadence-like construction is instigated again by a minor third and then a diminished seventh (itself an inverted, enharmonic minor third).

Example 7.1 Symphony No.6 (i) – Thematic Material**Theme A**

The image displays musical notation for three thematic ideas. At the top left, 'Theme A' is divided into two parts: 'Aⁱ' (measures 1-9) and 'Aⁱⁱ' (measures 7-9). 'Aⁱ' is written in bass clef with a 4/4 time signature, featuring a sequence of notes with a minor third interval between the first and second notes, and a diminished seventh interval between the second and third notes. 'Aⁱⁱ' is written in treble clef with a 4/4 time signature, featuring a sequence of notes with a minor third interval between the first and second notes, and a diminished seventh interval between the second and third notes. Below these, 'Theme B' is shown in measures 14-70, written in treble clef with a 4/4 time signature. Arrows indicate the relationship between the themes: a vertical arrow points from measure 1 of 'Aⁱ' to measure 14 of 'Theme B'; a horizontal arrow points from measure 7 of 'Aⁱⁱ' to measure 19 of 'Theme B'; and a diagonal arrow points from measure 9 of 'Aⁱⁱ' to measure 19 of 'Theme B'. A bracket above 'Theme B' indicates that it combines elements from both 'Aⁱ' and 'Aⁱⁱ'.

A potential thematic opposition between themes Aⁱ and Aⁱⁱ is set up within the first nine bars of the work. However, from figure 4, these two elements are combined into a single line (see Example 7.1), thus functioning as parts of a larger thematic complex. The movement alternates between such processes of opposition and synthesis as it progresses. Moreover, this melodic malleability is further disguised as themes are combined, as the order in which they appear can be reversed. Thematic ambiguity is

set up immediately, as the extent to which elements either generate opposition, or offer different perspectives upon the same intervallic structure, is manipulated. The hierarchical relationship between A^i and A^{ii} is thus drawn into question.

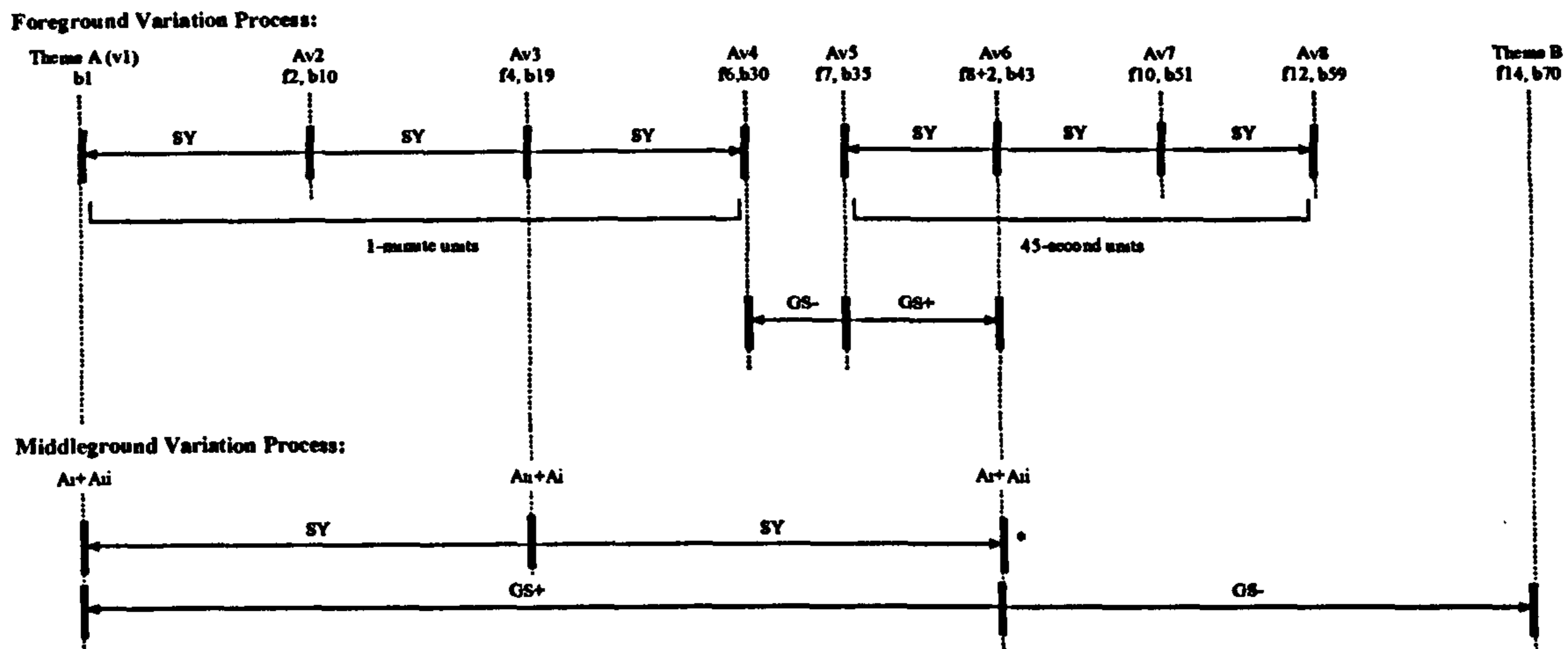
At figure 14, the establishment of theme B as an independent idea creates another level of ambiguity, as it is again based on a the minor third (see Example 7.1). As such, thematic conflict does not initially function in the polarised fashion that may be expected; this intervallic link subverts the independence of a 'new' theme. Nevertheless, the isolation of the minor third, its major-third extension on repetition, and the resultant change in modality, points to the novelty of theme B, offering a significant degree of contrast. Yet the unquestionable cellular similarities with both elements of theme A foster a continuing sense of interrelatedness: nested structure operates even at this micro-level.

The persistent use of a dotted rhythmic cell also underpins these links, as used for the openings of both themes A^i and B. Further dotted rhythms are heard separately elsewhere, implying relationships between materials in the absence of complete thematic realisations. From figure 19, for instance, the polyphonic presentation of this cell brings about the second climax of the movement; the passage grows gradually and subtly out of the preceding theme B, culminating in a disguised thematic reference at the eventual climactic peak.

A clearer differentiation between materials can be found in the way they are treated over the course of their expositions. As shown in Example 7.2, there are eight varied repetitions of theme A; according to the score, the initial three are of an equal 1-minute length, whilst variations 5–7 each last for 45 seconds. So while repetition creates a degree of foreground stability, the inequality of block length disrupts this

stasis by increasing the pace at which variations appear. Thus, the potential temporal stability of variation process is infused with a more dynamic evolution.

Example 7.2 Symphony No.6 (i) – Variation Process for First Thematic Group¹



The proportional relationships shown in the lower part of Example 7.2 enclose lower-level variations. As such, variations 3 and 6 become significant in this process, as these are the points at which sub-themes A^i and A^{ii} swap their order of presentation. A three-stage structure thus emerges – $A^i+A^{ii} // A^{ii}+A^i // A^i+A^{ii}$ – such that the reinstatement of the initial scheme in variation 6 provides a degree of middleground return. This consequently casts the interim phase ($A^{ii}+A^i$) as a higher-level variation of the primary ordering. Middleground stability is the governing proportional feature at this stage in the movement.

Whereas theme A is presented in a series of varied repetitions, theme B instead offers three different types of developmental expansion. At figure 15 the thematic cell is transformed into a free melodic line; after figure 16, free episodic development of material occurs; from figure 23 a free cadenza-like solo based on theme B is heard. Varied repetitions of the theme are interspersed within these

¹ This is not to suggest a 'theme and variation' structure, but simply eight varied repetitions of the same material. If any variation is felt to constitute the 'theme', it is more likely to be the fourth rather than the first, partly due to the tonal structure. This will be discussed shortly.

sections (at figure 20 and before 23), offering a degree of connectivity with theme A. However, points of subdivision between figures 14 and 29 – the presentation and expansion of theme B – are fewer and farther between than the variations of theme A, elevating these divisions consistently to a middleground level. This leaves the foreground to develop more freely, in a manner highly characteristic of Shostakovich's developmental technique.² As a structural echo of this process, the distribution of middleground subdivisions at this stage does not conform to the enclosed proportions of theme A. Instead, only one middleground proportional connection occurs: the cadenza is sited at SY between the episodic development of figure 16 and the return of theme A at figure 29. So although both themes derive from the same intervallic and rhythmic roots, they are nonetheless diversified through distinct thematic processes, setting up an opposition that offsets their similarities.

Dimension 2: Tonal Evolution

In what key is the first movement? By its end, this question has been answered: B minor (indeed, the symphony as a whole ends in B major) – but this is by no means clear at the opening. In fact, it is not until figure 4, two minutes into the work, that a B-minor sonority is heard. Further, aside from a brief appearance of this key prior to figure 27, it does not return again as a stable centre until figure 29, although from that point it persists until the end of the movement. To understand how tonal centrality is ascribed to such a scarce key centre, it is first necessary to consider events at a local level. As figure 4 presents the first instance of the tonic, it offers an appropriate starting point for discussion.

² As discussed in Chapter 4.

Example 7.3 transcribes this material, and reveals the basic modality of theme A^{ii} , which is expanded to encompass the total chromatic upon the entry of A^i .

Example 7.3 Symphony No.6 (i) – First Instance of Tonic; Foreground Tritone

There is a hierarchy here between the fundamental and the ornamental, as the four chromatic additions merely decorate and diversify the underlying collection. However, this does not fully explain the unambiguous stability of B minor; once again, this centricity can be attributed to tritone-led voice leading. As shown in the bottom staff of Example 7.3, the cadential implications of theme A^{ii} are explored fully through the tritone-harmonisation of the melodic A^\sharp with E , and its inward cadence to the B – D third of the tonic minor. This motion affirms the tonal centricity of B minor, such that harmonic momentum results from tritone-led voice leading amidst the surface modality of the collection.

Considering this extract in context (see Example 7.4), theme A^{ii} does not receive such unambiguously functional harmonisation prior to figure 4, and never in B minor.

Example 7.4 Symphony No.6 (i) – Opening Material

In bar 8, the C[#]-G tritone of Aⁱⁱ cadences in D minor, but a transposed reiteration immediately recasts it in E minor, albeit over the continuing pedal D. D minor is therefore not established as a point of tonal stability comparable to the B minor of figure 4. Similarly, the opening presents a unison line that implies (rather than affirms) harmonic direction, particularly in its use of a collection that readily promotes the flattened second, split third and tritone; in bar 3, F minor is only hinted at; in bar 16, E^b minor is transient. So until the appearance of B minor, there are only

two other hints at tonal centricity: E minor at the very opening, and B^b minor at the figure-2 variation. As such, the tritone E–A[#] is projected to the middleground: the E and B^b (A[#]) tonal areas give way to B minor at figure 4 in exactly the same manner as the foreground voice leading (see example 7.3). As shown at the beginning of Example 7.5, this unfolds over an SY controlled distribution, offering a parallel to the symmetry of the tritone poles. The splitting of the E–A[#] tritone into independent tonal regions creates two equal and opposite keys that function in competition both with each other and with the primary tonic. The composing out of this conflict constitutes one of the main dynamic aspects of this movement, and it is a feature directly linked to foreground events: nested structure is crucial to the tonal plan of this work.

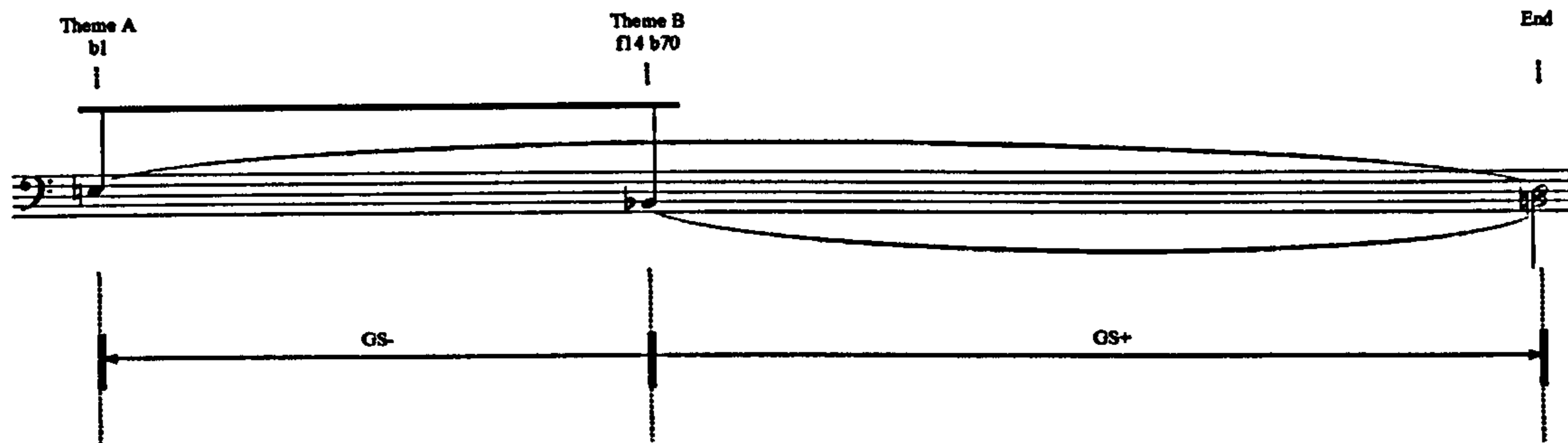
Example 7.5 *Symphony No.6 (i) – Middleground Projection of Tritone*

The musical notation shows a sequence of notes on a single staff. Above the staff, labels indicate tonal areas: Av1 (b1), Av2 (2, b10), Av3 (4, b19), Av5 (7, b35), Av6 (8+2, b43), Av7 (10, b51), Av8 (12, b59), Bv1 (14, b70), Bv2 (20, b109), and Bv3 (22+4, b127). Below the staff, two sets of brackets labeled 'SY' and 'GS-'/'GS+' indicate structural divisions.

As E minor precedes the primary tonic by some two minutes, followed by B^b minor, B minor has not accrued sufficient centricity to remain stable for long when it arrives; indeed, by variation 5, the music strays from this key (see Example 7.5). Here, E^b is used again as a brief point of stability (as at bar 16) in preparation for the returning tritone poles, successively in variations 6 and 7. But now, instead of cadencing to the primary tonic in the middleground, the music moves to the duplex, F

minor – a key also hinted at the opening (bar 3). Further, this resolution is differentiated by a GS- distribution in contrast to the earlier SY division. There is therefore a connection between successive variations of theme A, as most are set either in one of the unstable tritone poles, or in the primary or duplex tonic. So while the segmentation associated with variation process is in part differentiated by tonal region, variations combine to form longer-range cadential patterns, by linking successive points of resolution in the middleground (see Example 7.5).

The exposition of theme A ends in the duplex tonic, F (minor) – a key that acts as the dominant to B^b in the transition to theme B. And as shown in Example 7.5, theme-B material is similarly set in the polarised regions of B^b and E minors (and, indeed their parallel majors at certain moments). Here, though, the freer nature of the thematic process is reflected in the absence of middleground resolutions of the type seen for theme A. B^b and E act as the *only* points of harmonic stability throughout the exposition of this theme, occurring at moments of thematic statement rather than episodic developments. Importantly, while theme A was first stated in E minor at the opening, the first presentation of theme B is set in B^b minor. As such, the same tritone polarity operates at the background level. Further, as shown in Example 7.6, this projection of the E–B^b tritone resolves to the primary tonic B minor at the end of the movement, paced according to GS-.

Example 7.6 Symphony No.6 (i) – Background Projection of Tritone

So, the resolution of E–B^b to B minor is a cadential progression that occurs in foreground voice leading, between middleground points of stability, and as part of (and indeed in compensation for certain similarities between) the background dialectic between themes. Part of the Russian Doll effect, then, involves composing out this cadence at different rates over different nested levels.

While this partially explains the achievement of background finality, it does not account for the increased stability of B minor at figure 29, when it returns with theme A; in a sense this moment functions as the point of recapitulation.³ Figure 29 initiates a new period of centrality for B minor, whose status as the primary tonic is clear from here. But to explain this increased stability, it is necessary to return to events at a foreground level, and, in particular, to focus upon what might be described as the emotional (and, as will be seen, structural) heart of this movement: the figure-23 cadenza, the opening of which is transcribed in Example 7.7.

³ This will be discussed shortly.

Example 7.7 Symphony No.6 (i) – Harmonic Support for Cadenza

The musical score for Example 7.7 shows the harmonic support for a cadenza in Symphony No. 6 (i). The score is for measures 23-25. The instruments and their parts are:

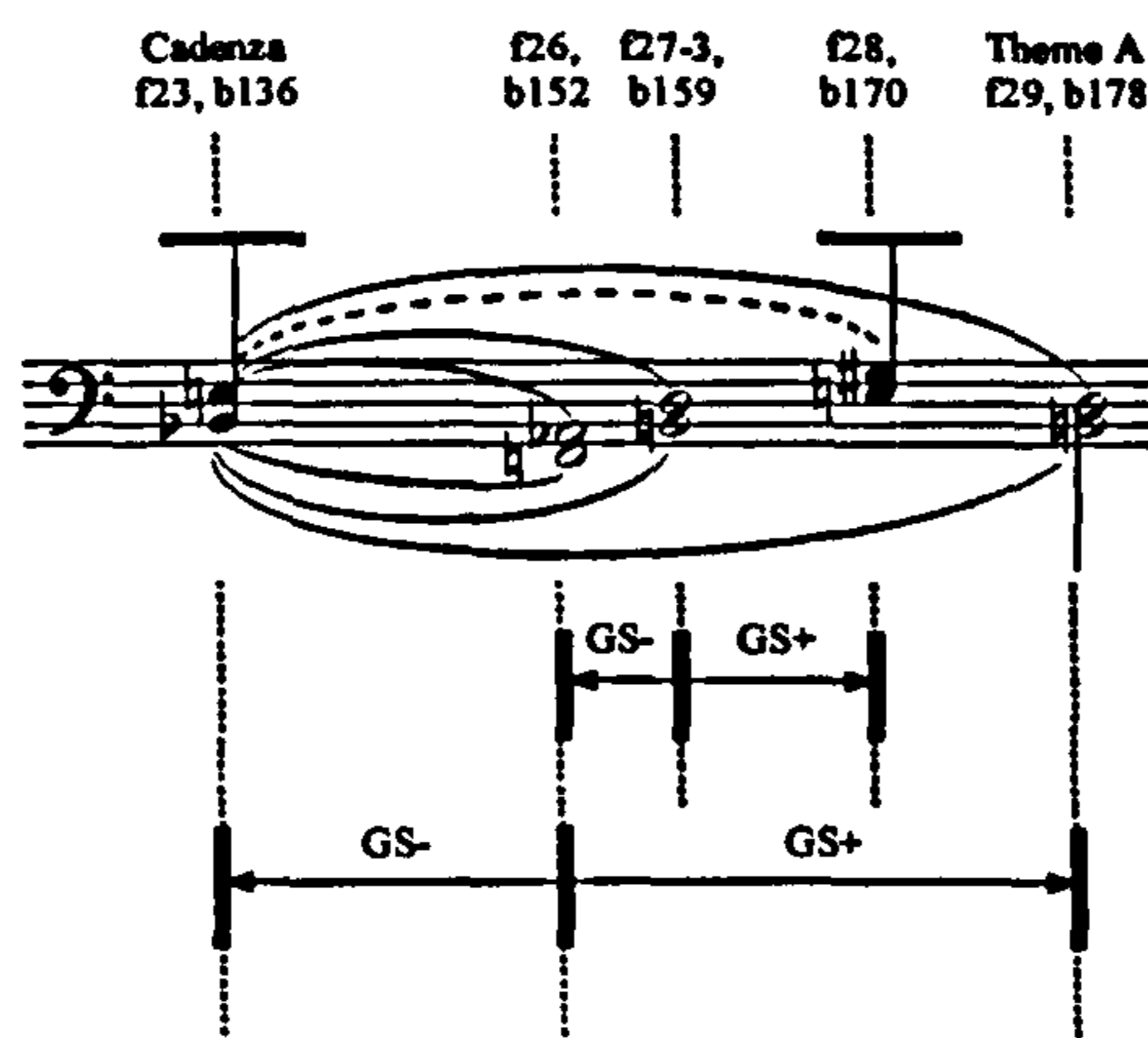
- Flute (Fl):** Solo part starting at measure 23, marked *ppp*.
- Clarinet in F (C-Fg):** Part starting at measure 23, marked *p*.
- Tam-tam (T-tam):** Part starting at measure 23, marked *pp*.
- Arpa (Arpa):** Part starting at measure 23, marked *f*.
- Violin I (VI I):** Part starting at measure 23, marked *pp dim* and *morendo*.
- Viola (Vla):** Part starting at measure 23, marked *pp*.
- Violoncello (Vc):** Part starting at measure 23, marked *pp*.
- Contrabass (Cb):** Part starting at measure 23, marked *arco*, *pizz*, and *p*.

At this point – to within 1½ seconds of GS+ within the 18-minute movement, according to the score – the E–B^b tritone returns, presented simultaneously as an unstable pedal point. This harmony supports the entire first part of the cadenza, lasting for well over a minute. As such, the previously independent tonal regions of E and B^b are once again fused into a single unstable entity, allowing a more immediate experience of their instability.

The process of resolving this newly-combined tritone ascribes centrality to the primary tonic, B minor. As shown in Example 7.8, the E–B^b cadences initially to the duplex tonic, F minor, but the foreground modality and chromatic inner voice

immediately undermine the stability of this key.⁴ Next, a move to the primary tonic is attempted, but again this is undermined, this time through its presentation in second inversion and by the continuation of the cadenza. Clearly the ubiquity of this cadential pattern, and the structural force of the polarised E–B^b tritone elsewhere, renders a single, stable resolution difficult to achieve.

Example 7.8 Symphony No.6 (i) – Resolution of Combined Tritone



How Shostakovich overcomes this impasse is by breaking the equality of the tritone poles. Previously, E and B^b had functioned as opposite but gravitationally comparable tonal regions: both themes appear in both keys, with theme A favouring E minor, and theme B, B^b minor. But at figure 28, E is finally ascribed superiority over its tritone opposite, and its tonal authority is allowed to radiate in a new major-mode tonality. As E is closer in the cycle of fifths to the primary tonic, B, than to the duplex, F, it enables a logical and final bass progression to B minor at figure 29. Indeed, the pitch class 'B' is a fundamental aspect of this resolution due to its affinity both to E major and B minor; it functions as the upper voice within the progression: see Example 7.9.

⁴ For ease of visualisation, E–B^b is written in inversion in Example 7.8; that invariance is fundamental to its flexibility.

Example 7.9 Symphony No.6 (i) – E Major Resolution

The E major at figure 28 is crucial in the resolution of tonal duality; overall tonal evolution thus progresses in four stages:

- (i) E and B^b are presented as independent middleground tonal regions that go through phases of resolution and reinstatement;
- (ii) at the cadenza, they are combined as an unstable foreground sonority;
- (iii) at figure 28, E is assigned superiority over B^b, negating the equality of their middleground relationship;
- (iv) B minor is restated at figure 29 without recourse to earlier re-emergence of the equal tritone poles; the cycle has been broken.

So, the opening and figure 14 generate background tritone polarisation; the figure-23 cadenza and the E-major resolution of figure 28 are pivotal in the resolution of this opposition. As shown in Example 7.10, these tonal regions are proportionally distributed throughout the movement.

Example 7.10 Symphony No.6 – Distribution of E–B^b Poles

The diagram illustrates the distribution of E–B^b poles across various musical sections. The sections are defined by horizontal bars and labeled as follows:

- Theme A** (b1)
- Theme B** (f14, b70)
- Cadenza** (f23, b136)
- E major Resolution** (f28, b170)
- End**

Vertical arrows indicate transitions between these sections, labeled with terms:

- GS+** (GS with plus sign)
- GS-** (GS with minus sign)
- SY** (SY)

A specific section is also marked as **f8+2, b43**. The diagram is accompanied by a musical score on the right, showing notes and annotations such as *Sf* and *p* within circled areas, corresponding to the poles in the diagram.

Conspicuous by its absence from Example 7.10 is a proportionally significant primary dominant (F[#]). Although F[#] appears twice as a point of relative centrality (at figure 12 and 4 bars before figure 30), it does not resolve to the primary tonic as might be expected in either case, but instead acts as the neapolitan to the duplex, F. This is not to suggest that traditional, functional harmony is absent here; rather, dominant-to-tonic voice leading is confined to foreground formations. An instance of this can be seen in Example 7.4 above, in the preparation of B minor at figure 4, but even here it is decorated with a degree of surface modality that weakens its functional impact. A structural dominant – a key that, in different work, may have functioned as a second subject tonal region, for instance – is replaced in the middleground of Symphony No.6 (i) by the E–B^b tritone. However, those pitches are definitive of F[#]⁷, forming its major third and flattened seventh; indeed, they are initially heard in that guise (see Example 7.3, above). Subtle references are thus made to a traditional, dominant-like harmony, and, consequently, to a tonic-dominant hierarchy.

If E and B^b assume and subsume the role of a dominant, then the tonic B minor is regularly undermined by its tritone opposite, F. As described earlier, while B minor is clearly the overall tonic, the potential for modulation into the duplex is high, creating tension not only between E–B^b and B, but also between B and its tritone-related duplex, F. As shown in Example 7.11, distribution of the tonal-centres B and F also unfolds proportionally, although this organisation is more dynamic. Unlike the balanced and enclosed distribution of E and B^b seen in Example 7.10, B and F unfold cumulatively, towards and away from the pivotal cadenza. Again, this moment is crucial within the tonal argument, providing an axis about which the primary and duplex tonal areas are distributed.

Example 7.11 Symphony No.6 (i) – Distribution of Primary and Duplex Tonics

The diagram illustrates the distribution of primary and duplex tonics in Symphony No. 6 (i). The musical score is divided into sections, with corresponding tonal analysis shown to the right. The sections and their tonal markers are:

- Theme A: f4, b19
- Cadenza: f23, b136
- Theme A: f29, b178
- Theme A: f30+1, b189
- Theme B: f33, b207
- End

The tonal analysis shows the following transitions:

- From Theme A (f4, b19) to Cadenza (f23, b136): GS+
- From Cadenza (f23, b136) to Theme A (f29, b178): GS+
- From Theme A (f29, b178) to Theme A (f30+1, b189): GS-
- From Theme A (f30+1, b189) to Theme B (f33, b207): GS+
- From Theme B (f33, b207) to End: GS-
- From Theme A (f4, b19) to Theme A (f29, b178): GS+
- From Theme A (f4, b19) to Theme A (f30+1, b189): GS+
- From Theme A (f4, b19) to End: GS+

This axial focus is also reflective of a general move from the prior predominance of E and B^b to a greater reliance upon B and F. The cadenza is therefore not only pivotal in the proportional scheme, but also marks a turning point in the assertion of the primary and duplex tonics.

One additional tonal area that requires consideration is E^b/D[#] minor.⁵ Appearances of this centre offer a degree of large-scale balance, with two statements near the start and two near the end (see Example 7.11). But the primary significance of E^b/D[#] lies in its extraneousness from the main tonal argument: it is foreign both to E–B^b and to the primary and duplex tonics. Its first three appearances (shown in brackets in Example 7.11) are inconsequential, acting as brief deviations from the principal tonal direction. However, at figure 31, just prior to the end of the movement, E^b/D[#] is essential in confirming B minor as the main tonal centre. At that point, Aⁱⁱ is stated at a level of transposition that implies a resolution into E minor – a factor reinforced by the bass motion to B, and its implied dominant function (see Example 7.12).

Example 7.12 Symphony No.6 (i) – Half-Cadence to D[#] Minor

The image shows a musical score for Example 7.12, titled 'Symphony No.6 (i) – Half-Cadence to D[#] Minor'. The score is presented in three parts. The top part is a standard musical staff with a treble clef on the upper line and a bass clef on the lower line. It contains a sequence of notes and rests, with dynamics markings such as *f*, *dim*, *p*, and *cresc*. A box containing the number '31' is positioned above the staff. Below the main staff are two additional staves. The first of these is labeled 'Actual Half-Cadence' and shows a chord progression with a dashed line connecting the notes. The second is labeled 'Implied Resolution' and shows a chord progression with a solid line connecting the notes. The overall layout is clean and professional, typical of a musicology textbook.

⁵ The choice of enharmonic marking seems dependent upon the surrounding tonal area. It is spelled E^b after figure 3, having followed G and B^b minors, but as D[#] after figure 29, in the context of B and F[#] minors.

However, at figure 31, the music takes an uncomfortable sidestep into D[#] minor, by means of a half-cadence. As such, at a point where the music could have reinitiated the structural significance of the tritone E–B^b by moved back towards one of those poles, this possibility is avoided (although its potential is nonetheless hinted at). Instead, Shostakovich sidesteps into D[#] minor – a key that was previously unaffected by the E–B^b poles. So, just as E major at figure 28 confirmed the end of B^b as a structural force, here at figure 31, D[#] minor marks the end of E, leaving the tonic and its duplex to proliferate. Earlier in the work, the key of E^b/D[#] seemed irrelevant to earlier tonal arguments; it realises its full significance prior to the end of the movement, by confirming the end of E and B^b as antagonists to the tonic.

This leaves one tonal issue unresolved: how does B gain supremacy over F? The short answer: it never does so absolutely. This is, after all, the end of the first movement and not the symphony as a whole, and it is not until the third movement, which is clearly and consistently in B (minor, then major), that this key assumes unquestionable authority.⁶ In the first movement, relative significance is ascribed to B over F partly through the assertion of E over B^b (E being a tonal region more closely associated with B than with F), although primarily through its coincidence with points of thematic restatement. Themes A and B both return in B minor (at figures 29 and 33 respectively); in particular the restatement of theme B in the tonic reinforces tonal hierarchy. In fact, by the end of the movement, both subject groups have been presented in three keys at some stage: theme A in E minor (opening), B^b minor (figure 2) and B minor (figures 4 and 29); theme B in B^b minor (figure 14), E minor (figure 20) and B minor (figure 33). In both cases, themes appear in the two

⁶ Interestingly, too, E^b returns in the finale as the tonal centre for theme B at figure 96: the potential importance of this key is even greater than was first posited in the first movement.

tritone poles before being stated in the primary tonic. For theme A, this is achieved over a short time-span (from the opening to figure 4), presenting the listener with a small-scale version of the global architecture; for theme B, E and B^b appear in reverse order, and take longer to resolve to B minor. However, no primary thematic material is presented in the duplex, F. Instead, that key acts persistently as an interruption, and not as a region of enduring stability. In fact, its first appearance at figure 13 coincides with a quotation from Bizet's *Carmen*, further reinforcing its otherness. Thus, it is not the tonal scheme itself that ascribes superiority to B over its duplex, F, but the way in which that scheme interacts with the thematic process. Structural links between parametric dimensions thus begin to emerge.

Dimension 3: Formal Architecture

To anticipate sonata form in the first movement of a symphony – even a symphony by Shostakovich – is a valid expectation. And, indeed, its presence (or at least a reference to it) is confirmed in several significant ways: there are two thematic groups initially in opposing tonal regions; themes are explored through variation and development; the tonal dialectic is resolved by the end of the movement, allowing the restatement of all material in the primary tonic. Nevertheless, the means by which these sonata-form characteristics are brought about are far from straightforward, and certainly distinct from the schema shown in Example 3.8.

First, in terms of large-scale architecture, this movement does not correspond to the tripartite model of exposition–development–recapitulation. Even if the use of sectional phase is incorporated into Shostakovich's approach (as was seen in Chapter 3), there is no specific formal region dedicated to thematic development. But as

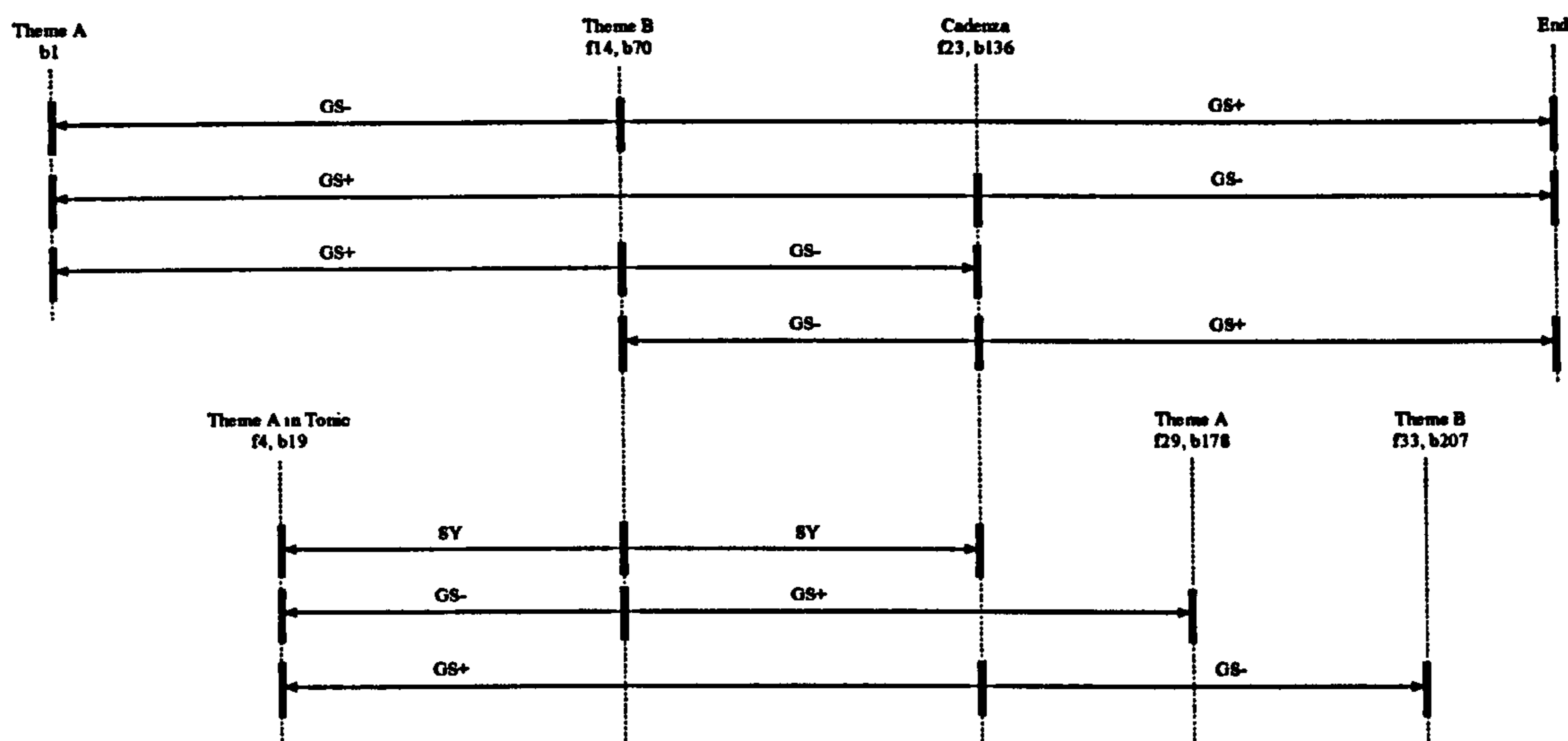
already observed, while theme A is immediately explored through a series of variations, theme B is consistently more developmental, both in its rhythmic construction and in the freedom associated with its melodic, episodic and cadenza-like expansions. In some respects, therefore, it is akin to a development section, to the extent that freer developmental processes are reserved for this phase of the movement (between figures 14 and 29). This conception is further borne out by the intervallic and rhythmic links between themes observed previously: in a sense, theme B is a cellular isolation of theme A (see Example 7.1 above), and its progress from figure 14 consists of the harmonically unstable development of this cell. However, its tonal opposition to the opening – cast in B^b minor against the E minor of theme A – suggests that it is specifically designed to create a middleground dialectic that reflects foreground harmonic instabilities. As such, its function is more one of contrast than re-examination, and so it behaves as tonal antagonist to theme A rather than an extension. That theme B returns independently at the end of the movement reinforces its autonomy.

The complexity of the tonal scheme also draws into question the extent to which ‘recapitulation’ is a valid concept here. If we are concerned with isolating the combined return of theme A and the primary tonic, then figure 29 marks the unambiguous onset of a recapitulation. However, as observed above, the stability of that restatement is only possible as a result of the preceding tonal resolution; this takes place over the course of the cadenza and is focused in particular upon the re-assimilation of the E–B^b poles into a single, unstable tritone sonority. So given Shostakovich’s propensity for fused or phased structural blocks, it is conceivable that

if there are references to the sonata tradition, processes of recapitulation are initiated at the cadenza, over three minutes before the thematic return of theme A.

If form is considered as a motivic construct, then an ABAB framework clearly emerges. But if it is accepted that development is a continual procedure (and one that is particularly significant from figure 14), and that recapitulation is a gradual process beginning with the cadenza, before being *consolidated* by the structural return of themes, then a referential conception of sonata form remains valid. In particular, the dynamism of the tonal scheme – through its initial opposition, continual exploration, and eventual resolution – points towards the model. Indeed, this type of tonal dynamism is at the centre of the sonata principle, irrespective of whether a particular architecture is followed.

The extent to which this movement adheres to an external sonata model is therefore an unhelpful question in the comprehension of formal structure. As observed in Chapter 3, sonata form is more usefully considered a process than a fixed construct. Rather than ascribing sonata-like divisions as a means of rationalising high-level form, it is more appropriate here simply to focus upon those events that assume internal significance as background points of arrival. As such, the entry of theme B at figure 14 and the cadenza at figure 23 are pivotal, as they also act as moments of division between phases of opposition and synthesis. As shown in Example 7.13, these points constitute the proportional background form of the movement. The diagram also reveals the proportional significance of the first tonic statement of theme A at figure 4, which interacts with each stage of thematic return.

Example 7.13 Symphony No.6 (i) – Background Formal Structure

In accordance with this understanding of the movement, form is not conditioned simply by thematic statement and restatement, but also by moments when significant thematic and tonal changes coincide. Thus, form constitutes the background projection of lower-level proportional axes; this is the fundamental principle of the Russian Doll effect.

Dimension 4: Supportive Soundworld

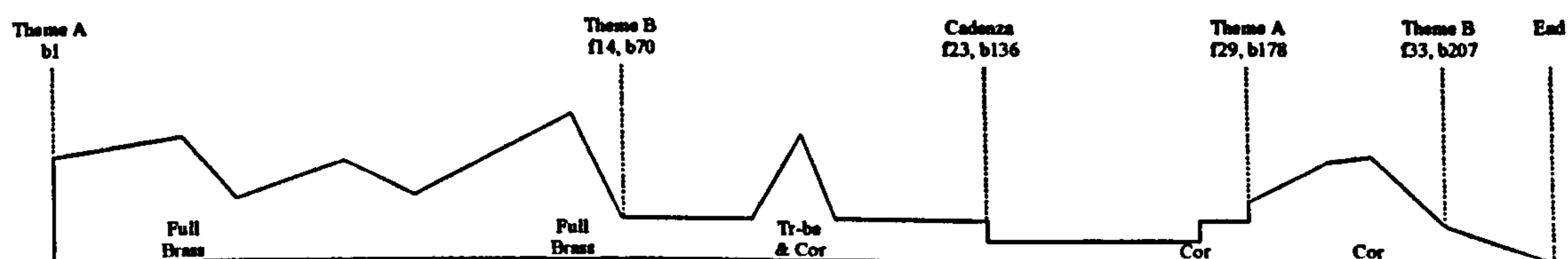
An essential characteristic of the Sixth relative to its neighbouring symphonies is its reduced timbral palette. However, this does not result simply from its differing orchestral forces: it employs roughly the same instruments as both the Fifth and Seventh. Instead, this distinction is brought about by the way in which instrumental colour is employed, and, in particular, through a significant degree of introversion when compared to Shostakovich's norm during this period. Certainly the notion of a 'Lenin Symphony', complete with chorus, soloists and (presumably) extensive orchestral grandiosity is far removed from the eventual soundworld of the Sixth.

Even the more extrovert and playful second and third movements seem somehow restrained in their climactic timbres and extended periods of unrest.

This new level of introversion is most apparent in the first movement. Despite employing four horns, three trumpets, three trombones and tuba, Symphony No.6 (i) uses *ff* markings on just four occasions, each very brief, and each without application across the whole orchestra. The main climax at figure 13, for instance, avoids a *ff tutti* by staggering entries, leaving the horns as the only brass contingent at the point of climax. In fact, trombones and tuba play in just nine bars of the 218-bar movement; trumpets and horns appear hardly any more often. Similarly, timpani and *pp* tam-tam are the only percussion instruments used, further restraining the overall level at the climaxes. In reality, therefore, *ff* markings are never especially loud, implying a more subdued orchestral palette overall. However, this does not result in a lack of intensity. Quite the opposite is the case: quieter moments inhere an uneasy tension that is both similar to, and the antithesis of, the mood of climax material seen in other symphonies.

Importantly, relative to the Russian Doll effect, periods of growth and decay do not necessarily align with formal events. As shown in Example 7.14, an initial wave-like pattern cycles through the exposition of theme A, leaving a second and, on the whole, quieter and less eventful phase to begin for theme B.

Example 7.14 Symphony No.6 (i) – Interaction of Form and Climactic Scheme

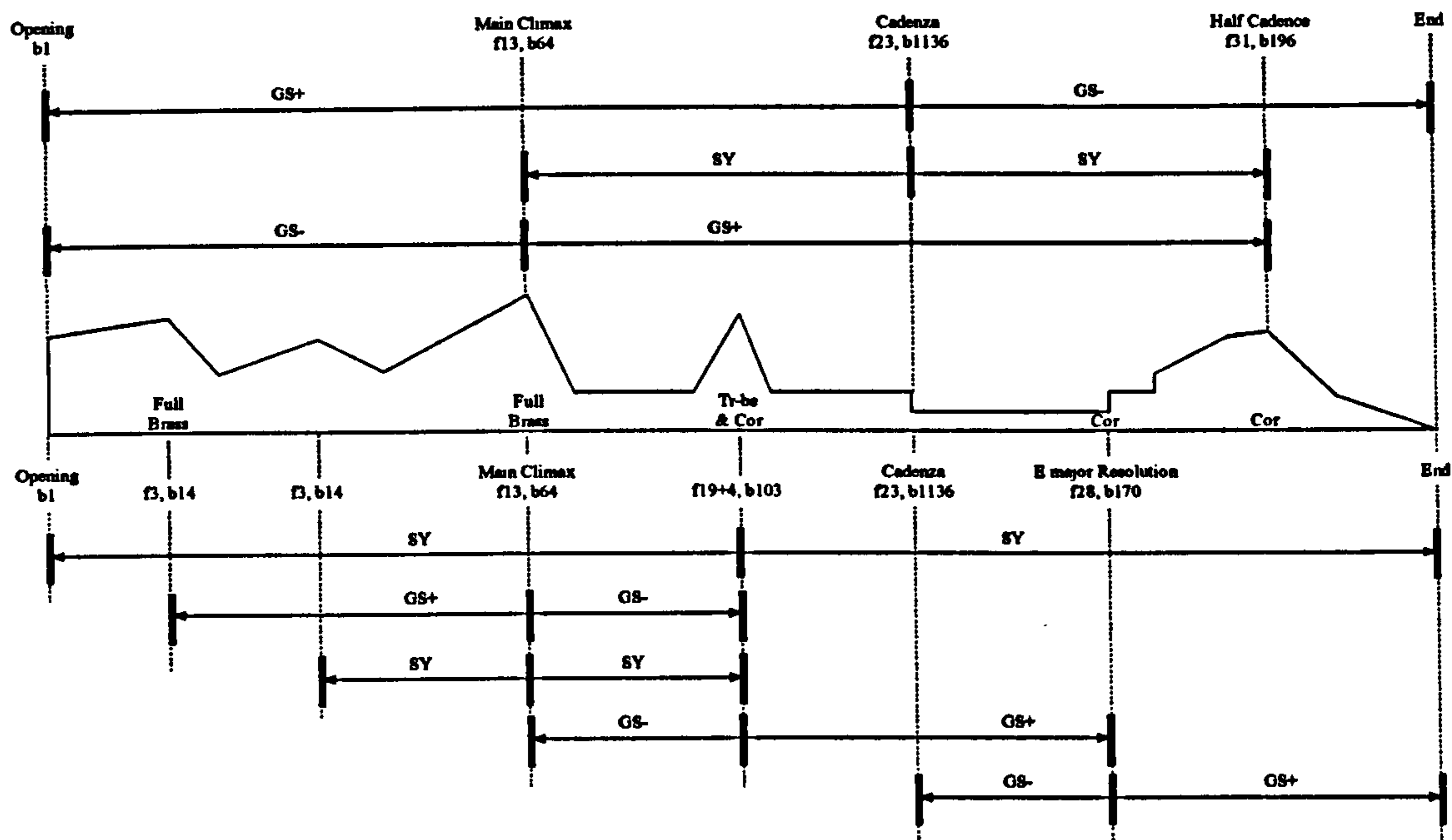


However, particularly during the restatement, thematic entries coincide with neither high nor low points. Instead, the climactic shape phases across formal subdivisions, lending each section its own trajectory: five peaks in all – three during the exposition of theme A, one for theme B, and one in the final phase of restatement. So whilst there is no specific coincidence of onsets, there remains a contained distribution across the formal plan, and one that particularly favours theme A as the source of most intense climactic activity.

The exception to this relative independence of soundworld as a parameter is (predictably) the cadenza, which has the lowest marking of the movement: *ppp*. As such it draws further attention to itself as an important structural moment. While one might expect the climax of the movement to be sited at GS+ (given Shostakovich's propensity for this arrangement, seen in Chapter 5, along with much other music), the opposite is in fact the case here. The GS+ positioning of the cadenza could therefore be described as an *anti-climax*: the low-point in an overall pattern of decay rather than growth. Further, the significance of this moment is reinforced through its idiosyncratic orchestration: trilled strings, low harp and tam-tam, all in support of the distinctive tritone pedal (see Example 7.7 above). Thus, aspects of soundworld significantly emphasise the structural function of this point, due to the choice of a memorable and dissimilar orchestration.

As shown in Example 7.15, in its GS+ placement, the cadenza serves as a pivot between the main and final climaxes.

Example 7.15 Symphony No.6 (i) – Distribution of Climaxes



The lower part of Example 7.15 also reveals a concurrent dynamic aspect of the climactic scheme, such that each peak is linked cumulatively to the next, both through GS and SY interactions. In this respect, the central climax (after figure 19) acts as another pivot, a feature reflective of its foreground disruption – this moment constitutes a brief surge in climactic level within the otherwise subdued exposition of theme B. Not only is the distribution of essential points in the evolution of soundworld balanced, but also a degree of momentum results from the constantly unfolding cycle of interim climaxes. Additionally, Example 7.15 shows that the orchestration of peaks successively reduces in brass contingent, through the removal first of trombones and tuba after the main climax (figure 13), then of trumpets following the SY climax after figure 19, and finally of horns after the final peak. There is therefore a large-scale thinning out of the orchestral palette as the movement progresses.

Further correspondences between orchestration and other structural elements also exist, particularly through the selective use of the harp. As shown in Example

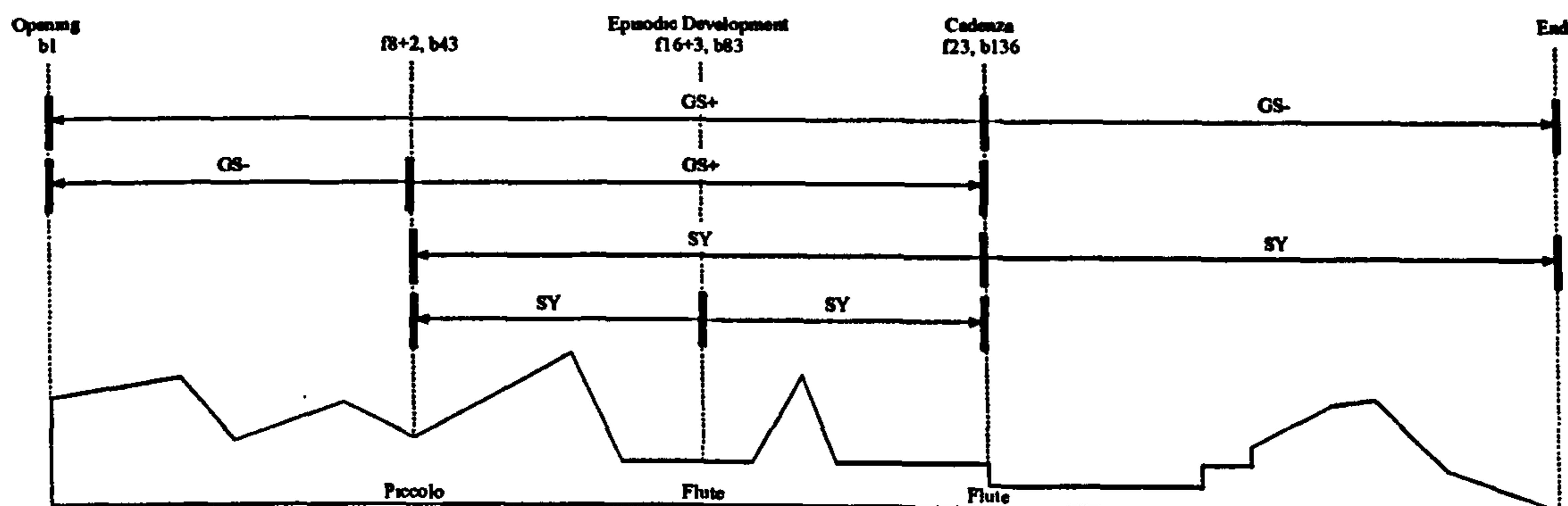
7.7 above, this sonority is essential to the estranged soundworld of the cadenza; it is also a significant definer of theme B in general (along with solo cor anglais), occurring both at its initial onset (figure 14), and again at its return after figure 33. In fact, the harp is reserved almost exclusively for theme B, helping to define its aural autonomy given the intervallic and rhythmic links with theme A observed earlier. Further, the departure of this instrument at figure 28 – where E major becomes the triumphant element of the E–B^b tritone – reinforces the sense of resolution of this moment. As shown above in Example 7.9, it is replaced here with celeste – the only use of this instrument in the entire symphony – which offers a bright alternative to the low register predominantly used by the harp. Consequently, details of orchestration complement the process of tonal resolution at this point through the elimination of an instrument that is closely associated with theme B. Additionally, this moment makes use of a solo horn in the presentation of the new major modality; it provides the textural focus on that major third. Given the sparing use of horn elsewhere, that it should come into focus here heightens the sense of change at this stage, in anticipation of the return of theme A.

One final issue of timbre concerns the significance of the flute, which takes on a solo role for the duration of the cadenza. The very inclusion of such a cadenza is rather an oddity given the symphonic nature of this work; its presence (along with the extensive variation process of the exposition) points to a degree of concerto-like thinking in this movement. However, this is not a cadenza in the traditional sense of delineating soloistic virtuosity and dialectical dominance over the orchestra. Rather the term is used simply as a reference to the textural layout of this section. The flute plays a leading role here in its free exploration of the modal pitch content, using scalar

flourishes and cellular snippets of theme B (both in E and B^b minors). It therefore retains an improvised feel that refers if not directly, then at least indirectly to the traditional cadenza – consider, for instance the similar use of this technique in the finale of Mahler's Second Symphony.⁷ Fundamentally, however, the cadenza in Shostakovich's Sixth is a moment of meditation used to prolong the tritone pedal point and ensure its continued interest and unrest.

Irrespective of how the flute's function is described, this instrument clearly plays an important role, given its prominence within a section that carries multifaceted structural significance. This is further endorsed by the soloistic use of the flute prior to this point, almost as a timbral preparation for what is to come. Indeed, this is reminiscent of figure 4 (see Example 7.3), and its small-scale version of the tonal plan of the movement. Timbrally, the piccolo and flute provide the primary textural focus at two other points, and, as charted in Example 7.16, these unfold in a proportionally balanced fashion, again based around the GS+ placement of the structurally-important cadenza.

Example 7.16 *Symphony No.6 (i) – Distribution of Solo Flute Entries*



⁷ Wherein the soundworld created by piccolo and flute solos at figure 31 – as a transition into the first entry of the choir – is distinctly cadenza-like.

Multi-Dimensional Energy and the Russian Doll Effect

Each parametric dimension of Symphony No.6 (i) – thematic, tonal, formal and timbral – has its own system of organisation that moves independently through proportionally defined phases of stasis and dynamism, thus controlling the flow of energy; each also has its own series of nested proportions. Thematically, stability is initiated through a symmetrically organised variation process, before being broken down into the more freely arranged, developmental nature of theme B. Additional dynamism is created through thematic similarity, and by the asymmetry of foreground phrase lengths. Tonally, the symmetrical opposition of tritone regions sets up a recurring pair of antagonists to B minor, which appears impossible to negate at first, cycling in a potentially endless (and consequently somewhat static) series of repetitions. But the synthesis of these polar opposites as a single tritone sonority in the cadenza leads to a period of tonal resolution that ultimately eliminates the gravity of the tritone poles, allowing the eventual assertion of the primary tonic. Formally, an initial dialectic between elements is composing out by fusing exposition, development and recapitulation into a more organic whole, projecting basic departure and return rather than a more recognisable sonata design. Regarding timbre and climactic contour, waves of growth and decay create a dynamic surface, but one that is ultimately subsumed by a large-scale *diminuendo* towards end the movement.

In each parametric dimension, then, phases of stasis and dynamism are explored, but in such a way as to create independent proportional relationships. So, while part of the Russian Doll effect refers to the composing out of the same elements at different rates within one particular parameter, the use of static and dynamic proportions within all parameters represents the most significant multi-dimensional

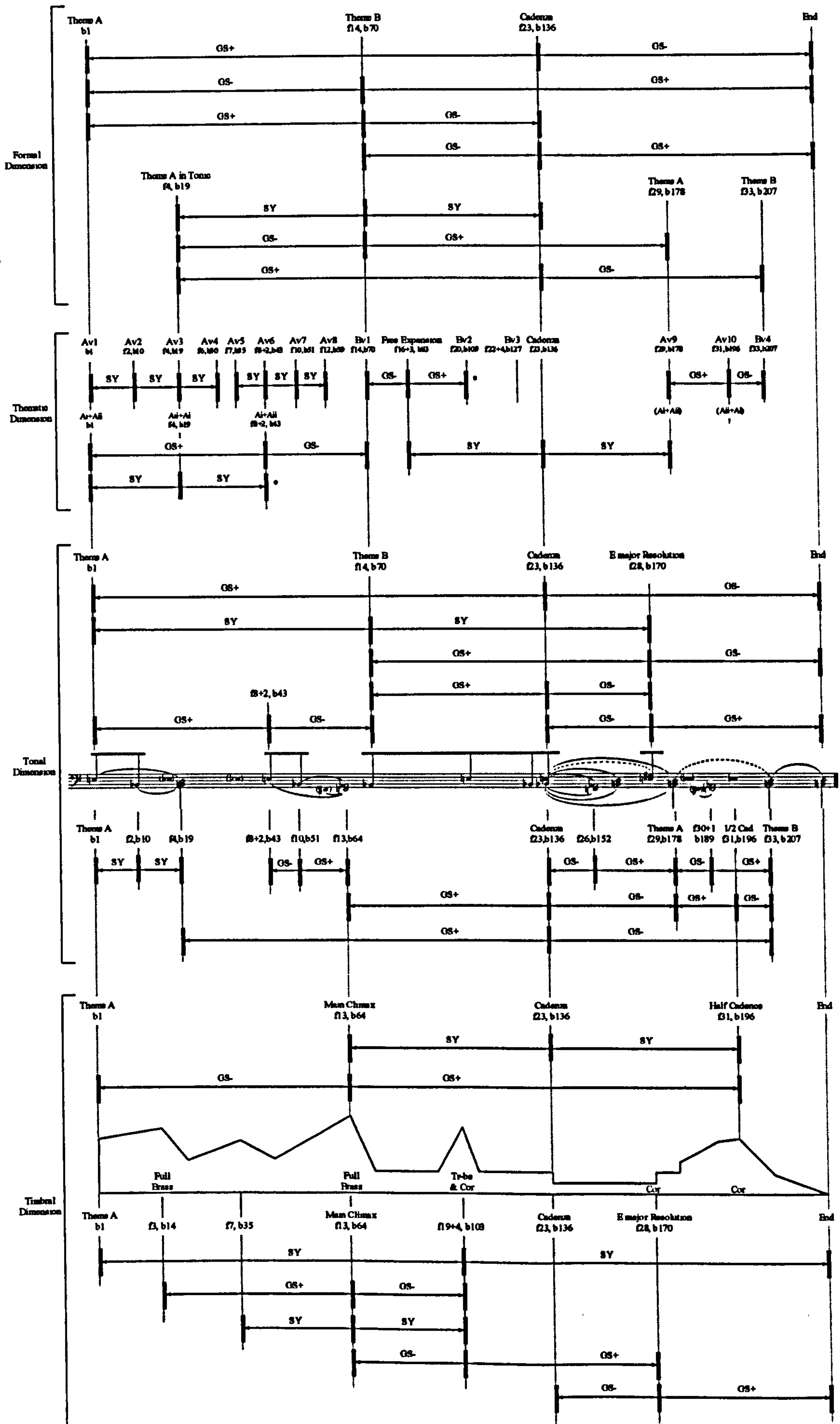
principle. Just as the Russian Doll is built from multiple, related levels, so too in the Sixth, the same type of proportional manipulation of energy takes place within the four main parameters, each with a different design, and with a different series of static and dynamic phases.

To consider how the movement is constructed as a whole, therefore, it is necessary to understand how those different layers interact with one another. After all, when listening to this music (or any of the other symphonies), one is not invited to hear four independent and concurrent parameters, but rather one global structure that results from the combination of sub-layers. Example 7.17 overleaf combines previously dissected dimensions into one complete chart in order to reveal this interaction.⁸ What is immediately apparent, and most important given the Russian Doll analogy, is the diversity of shape that exists between dimensions: each operates very much independently in terms of its own nested proportional systems. This elevates individual elements to prominence at different times.

So, the initial exposition is conditioned not only by the stasis of the thematic variation process and its concurrent tritone-related key scheme, but also by the dynamism of the climactic shape. From the entry of theme B, this momentum breaks down, as the thematic process diverges into a rather more free and undirected development of material. Some degree of motion is retained, though, through the continued wave-like climactic scheme. From the cadenza, it is the tonal scheme that assumes control in the evolution of energy, initially through the stasis of the combined tritone (along with the flat-lining of the climactic contour), and then through a more energetic series of resolutions.

⁸ In the process of combination, only the most important proportional systems have been included: please refer back to previous diagrams for fuller details.

Example 7.17 Symphony No.6 (i) – Complete Structure



In other words, the listener is constantly invited to switch focus, as changing degrees of activity in each parametric dimension govern the direction of attention. The hierarchical relationship between parameters is therefore not fixed, but is as dynamic as the music that it contains. A significant part of this music's energy, then, lies in the unfolding and recasting of that relationship over time, as elements vie for precedence and control.

However, this dynamic interaction does not preclude the possibility of coincidences between dimensions. Opening tonal regions, for instance, are confined to particular variations of theme A, reinforcing the block-like and, consequently, static nature of that part of the form. Similarly, the duplex tonic at figure 13 coincides precisely with the main climax of the movement. Tonal disruption is therefore consolidated by the increased climatic level at this point. The coincidence of climax and duplex recurs after figure 30, where the brief move to F (major, this time) brings about the final climax, which itself is timed to coincide with the half cadence of figure 31. So whilst to begin with, the climactic plan phases across the variation process as a dynamic offset to thematic stability, later, its coincidence with the tonal scheme complements rather than contradicts other structural processes.

Significantly, the formal structure can again be seen as the articulation of lower-level parametric coincidences. Specifically, the cadenza provides a pivotal role within the proportional relationships of all other parameters. Therefore, although diversity exists between each proportional system, the cadenza acts as a point of assimilation, recombining disparate elements. Its importance as a structural axis cannot be overstated, therefore: a glance at Example 7.17 reveals the continuity of this (vertical) division through the diagram. Example 7.17 also reveals the axial function

of theme B at figure 14. Although it is not as universal a proportional division as the cadenza, it interacts nonetheless with a variety of parameters, asserting its significance within the movement as a moment of contrast and re-initiation. That these two points fall respectively at GS+ and GS- consolidates their axial roles within the proportional scheme, providing the background framework within which lower-level energy unfolds. It is this last point that is fundamental: energy is not a regular process, but rather goes through phases of stasis and dynamism as different parameters come into focus, combine or diverge. Importantly, this occurs within the confines of a single background system that clearly delineates the boundaries of the movement. As such, momentum is allowed neither to build beyond control nor to peter out entirely. This containing function of, in effect, the outer 'doll' creates a single symphonic entity, allowing diverse patterns of energy to flow within and between inner levels.

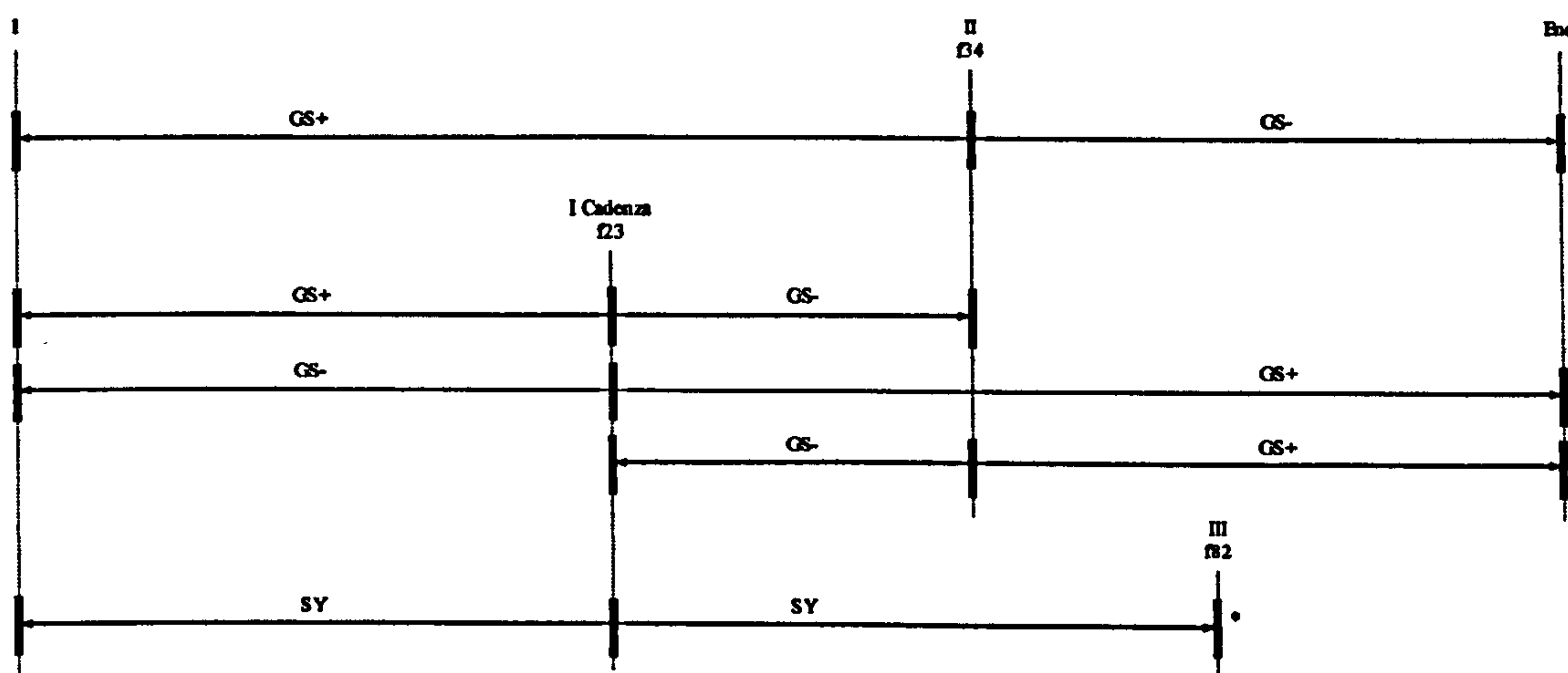
To complete the picture of the first movement, it is essential to situate it within its proper context: as a smaller 'doll' within the entire Sixth Symphony. Whilst it is not necessary to observe the details of other movements – these explore different types of musical argument, each with their own nested structures – it is important to note that the first movement contrasts significantly with its successors on a stylistic level; the driving scherzo and the jollity of the finale are far removed from the bleak soundworld of the opening. Indeed, many commentators note this incongruence, often with the accusation that the Sixth is a 'headless symphony', in its lack of a dedicated sonata-*allegro* first movement.⁹

Whilst the specifics of this accusation may be refuted – elements of sonata thinking are clearly present in Symphony No.6 (i) – the overall point cannot be denied; there is a distinct (and, one must presume, deliberate) incongruence here.

⁹ See, for instance, Ottaway, 1978:33, Dearling, 1982:61 or Hakobian's summary, 1998:181.

However, given that the Sixth is so regularly described as being in some way ‘unbalanced’ (Hakobian, 1998:181), it is surprising that precisely the *opposite* is the case in purely proportional terms. As shown in Example 7.18, the first movement actually extends to GS+ of the total duration of the symphony, leaving the scherzo and finale to occupy the smaller GS- portion. On account of this distribution, not only does the pivotal cadenza fall at GS+ within the opening movement, it also falls at GS- within the work as a whole, acting as a pivot for the entry of the finale. This remarkable organisation implies the Russian Doll effect extends to the very highest structural level: the formal balance presented in the first movement is composed out at the symphonic background.

Example 7.18 Symphony No.6 – Multi-Movement Form



And yet this overarching balance could hardly be described as readily perceptible: the Sixth may well be balanced durationally, but it is *not* balanced stylistically. This exemplifies an important issue in Shostakovich's work: the perceptibility of a proportionally distributed form is reliant upon close interaction with its content. The success of the first movement in governing the evolution of energy arises, in part at least, because its proportional systems reflect, elevate and articulate events at lower levels so appropriately. This issue will be discussed in more

detail in Chapter 10, but for now it is necessary simply to note the disruptive capacity of soundworld, for the stylistic incongruence between movements totally conceals the underlying durational balance of the symphony as a whole.

Energy is the product of a highly complex interaction of different parameters and different rates of resolution, and it is the Russian Doll structuring of Symphony No.6 (i) that governs that evolution. Of course, there is nothing especially novel about nested structure in music: links between form and content are fundamental to much of the musical canon. Its observation is essential here, however, because Shostakovich's compositional technique has so often been reduced to a succession of stylistic or extra-musical gestures. This is an enormous injustice given the intricate design observed. This music may be 'headless', but it is far from 'mindless', as it unfolds as carefully and in as considered a manner as some of the highest-rated symphonies; it deserves due recognition for that integrity. But the Sixth also deserves special attention for the fact that it was written by *Shostakovich*, a man for whom abstract intellectualism potentially had serious political consequences. The success of the Fifth Symphony by no means offered any *carte blanche* for the newly reaffirmed Shostakovich, and there was no creative need for him to compose such a unique and unconventional work; he could just as easily have written the proposed 'Lenin Symphony', with its hypothetical ticket to further political acceptance. That he did not pursue this direction is surely iconic of his artistic integrity and his desire to assert individuality in spite of external pressures. It is to this relationship between artist and state that attention should now be refocused.

Chapter 8

A Soviet Artist and a Creative Answer (Part 2) – Symphonies No.4 and No.5

The notion of energy can be used as a means of rationalising style and process within a single symphony; it can also act as a point of comparison between works. A logical next step is therefore to reconsider some of the contextual issues set up in Chapter 2 from the musically grounded perspective of multi-dimensional energy. The essential context in which to consider Shostakovich clearly concerns his relationship with the Soviet State, a snapshot of which can be seen in the transition between the Fourth and Fifth Symphonies. Detailed consideration of these works proves useful in establishing a broader picture of how Shostakovich balanced the imperative of individual artistic integrity against State control.

The first major period of crisis within Shostakovich's creative life occurred in 1936–7. His recent opera, *Lady Macbeth of the Mtsensk District*, was enjoying significant public and critical success, yet on 28th January 1936, the official newspaper of the Central Committee of the Communist Party (*Pravda*) published an article entitled 'Muddle Instead of Music,' reporting that,

From the very first moment of the opera the listener is flabbergasted by the deliberately dissonant, muddled stream of sounds. Snatches of melody, embryos of a musical phrase drown, struggle free and disappear again in the din, the grinding, the squealing. To follow this "music" is difficult, to remember it is impossible...At the same time as our critics – including musical critics – swear by the name of Socialist

Realism, in Shostakovich's work the stage presents us with the coarsest naturalism. (Fay, 2000:84)

Further performances of the opera were cancelled, and, under charges of formalism, Shostakovich re-focused his efforts on Symphony No.4. However, on the morning of its première, an announcement was made that,

Composer Shostakovich appealed to the Leningrad Philharmonic with the request to withdraw his Fourth Symphony from performance on the grounds that it in no way corresponds to his current creative convictions and represents for him a long outdated phase.

(Fay, 2000:95)

There has been wide-ranging speculation as to the possible reasons why this decision was taken: the lack of cooperation from the orchestral director, the inability of the musicians to play the music, the direct intervention of Party officials, or the general rumours of formalism that surrounded the Fourth, and Shostakovich's consequent fear of reprisals (Wilson, 2006:139ff). In all probability, a combination of these factors contributed to its eventual abandonment. Irrespective of cause, Shostakovich's fate (which still hung in the balance) therefore rested upon the success of a new symphony: the Fifth.

The charge, then, is that in order to ensure his future, Shostakovich gave in to the overwhelming pressure of this situation through an unprecedented submission to the authorities, manifest in a reappraisal of compositional style and process. The product of this reinvention – Symphony No.5 – is thus said to mark the start of a newly conformist period; an 'about-face', as Maes describes (Maes, 2002:356). There have been many analyses that support this notion: Darling, to offer just one example,

states that the Fifth 'represents an entirely new direction in the composer's symphonic nature' (Dearling, 1982:59). Indeed Shostakovich seems actively to have promoted this conception – publicly, at least – by permitting the continued use of an anonymous journalist's famous tag line: the Fifth Symphony is 'the practical creative answer of a Soviet artist to just criticism' (quoted in Fay, 2000:102).¹ But this carefully constructed axiom is delightfully ambiguous, satisfying not only Soviet authorities, but also those who saw Shostakovich as an artist who expressed covertly a deep-seated fear and hatred of that same regime. As Taruskin argues, it is possible to read this music differently depending upon a listener's perspective (Taruskin, 1995:39). This ambiguity, both in the epigram and in the Fifth itself, has no doubt contributed to the success of the work.

But as several commentators have since observed, the change in style and process between these two works is not as pronounced as it might seem at first. Huband, for instance, charts a steadier evolution through the first five symphonies (Huband, 1990:16), while Fanning points to several aspects of the Fourth that are 'modified and re-allocated among the movements of the Fifth' (Fanning, 1993:306). The aim here is to use the principle of energy to assess differences between the Fourth and Fifth Symphonies, in order to gauge the extent to which Shostakovich reinvented his musical language in the latter work. To allow a greater degree of detail, this chapter will consider their first movements only – a comparison that will offer a fresh perspective upon this issue. Instead of the posited back-to-the-drawing-board approach on Shostakovich's part, several crucial compositional techniques can be seen to endure; the primary difference lies rather in the way form and content interact.

¹ There is some speculation as to whether Shostakovich was himself the author of this epigram (Fanning, 2001a:290); allowing it to remain demonstrates his desire outwardly to project this message.

Sonata Form and Structural Ambiguity

As might be expected, the opening movements of both the Fourth and Fifth make use of the sonata principle. Example 8.1 situates primary points of division, clearly partitioning changes in thematic content and tonal evolution into a sonata-form layout.

Example 8.1 Symphonies No.4 (i) and No.5 (i) – Sonata-Form Layout

	Symphony No.4 (i)	Symphony No.5 (i)
Exposition	Opening: Introduction theme f1: Theme 1a f7+2: Theme 1b f31: Theme 2a f32: Theme 2b	Opening: Introduction theme f: 1 st Subject f9: 2 nd Subject
Development	f51: Variation 1 (Polka) f63: Variation 2 (Fugato) f75: Variation 3 (March) f80: Variation 4 (Waltz) f84: Theme 2a as waltz	f17: 1 st Subject with 2 nd subject accompaniment f27: 1 st Subject Variation (March) f32: Brutalised 2 nd Subject with introduction accompaniment
Recapitulation	f92: Introduction theme then Theme 2a (in tonic) f96: Theme 2b f101: Theme 1b	f36: Brutalised 1 st Subject (in tonic) f39: 2 nd Subject (in tonic)
Coda	f103: Theme 1a (varied, in tonic)	f44: 1 st Subject (varied, ends in tonic)

In terms of form, the primary difference between the two lies in the conjoined development–recapitulation of the Fifth, although, as Fairclough notes, this departure from the Example 3.8 sonata schema is, counter-intuitively, in line with the prevailing Soviet norm of the time (Fairclough, 2006:74).² Nevertheless, a significant link between the two movements concerns the reverse order of themes within the recapitulatory phase. In the Fourth, the opening soundworld is retained but overlaid by theme 2a, leaving 1a to appear in the coda; in the Fifth, the fusion of development and recapitulation means that the equivalent formal change occurs in stages, the first of which constitutes a brutalised version of the second subject at figure 32, overlaid with the introduction theme, followed at figure 36 by the crucial first subject

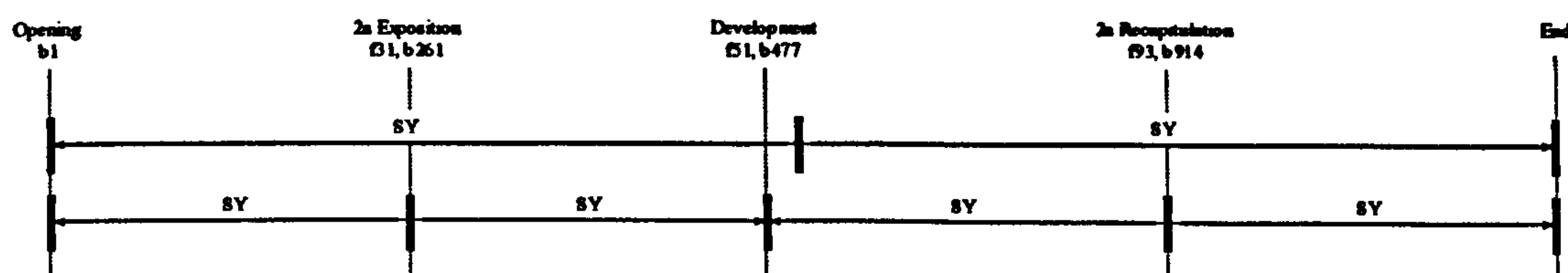
² See also Mishra, 2008:362ff.

brutalisation. So, while figure 32 is clearly not a point of recapitulation in the Fifth – if such a single moment exists then it is surely at figure 36 – it does initiate a change of direction, towards resolution. Later, when tonal and climactic stability are re-established, the second subject returns initially, leaving the first subject to appear in the coda. As such, the restatement of the second subject in the tonic – a fundamental feature of sonata form resolution, and one seen regularly in Chapter 3 – is not only preserved in both the Fourth and the Fifth, but also enjoys an enhanced structural focus in the ordering of materials.

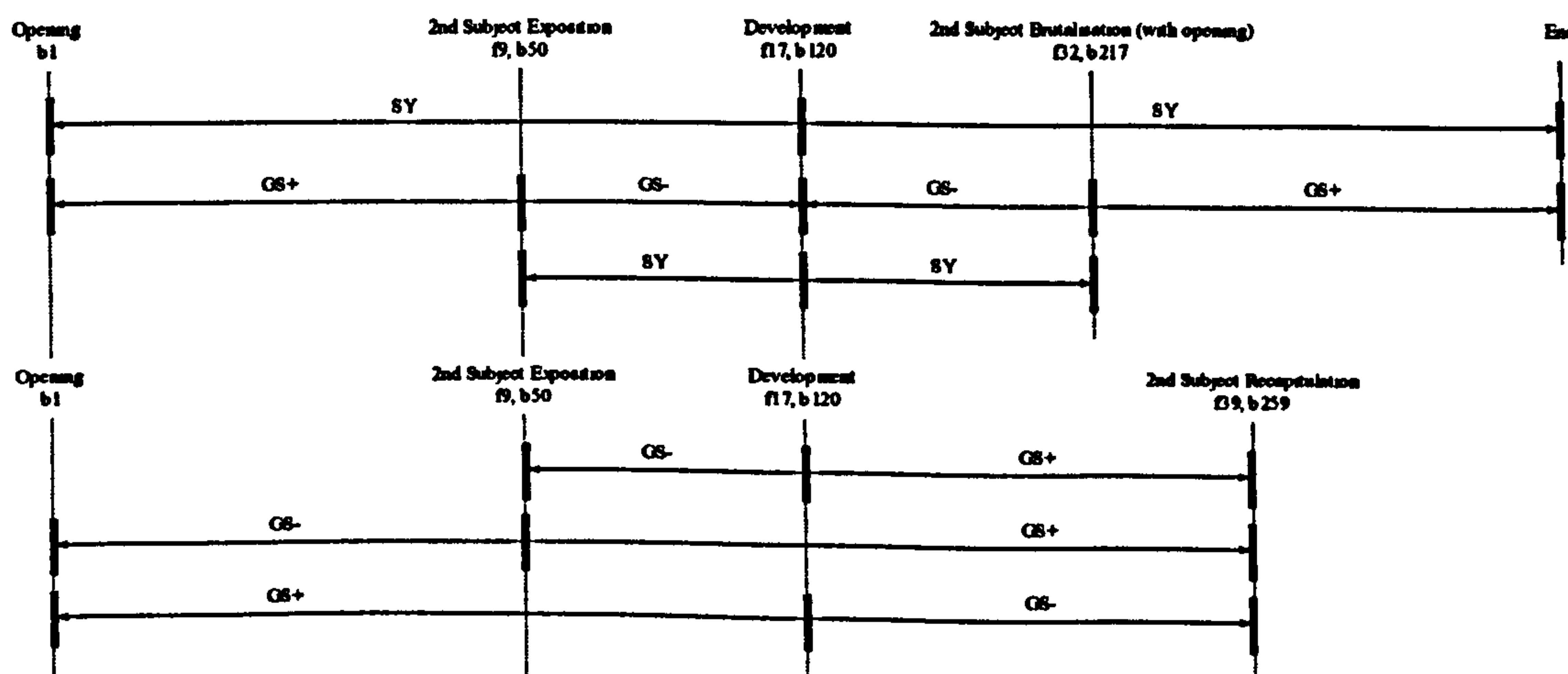
This connection between the two works – the elevated significance of the second subject within the process of recapitulation – is further reflected in their proportional schemes. As shown in Example 8.2, their background organisations are remarkably similar: both involve the SY placement of the development, and both site the initial exposition and initial recapitulation of the main second subject about this centralised point.

Example 8.2 Symphonies No.4 (i) & 5 (i) – Background Formal Distribution

Symphony No.4 (i)



Symphony No.5 (i)



Revealingly, the accuracy margin differs between the two. As shown in the diagram, the centrality of the development in the Fourth is fairly loose, falling within 30 seconds (still within 2% of the total 28½ minutes, but clearly a rather large discrepancy), whereas the development of the Fifth is cited within 6 seconds of absolute SY according to the score. A significant difference between the two works therefore concerns an apparent degree of ‘tightening up’ of the underlying proportions, resulting in a greater sense of formal clarity in the Fifth. And, of course, there are other more specific differences between the proportional schemes of these movements: the Fourth uses SY to distribute its second subject material, while the Fifth employs GS, and in the later work, the main restatement of the second subject at figure 39 is further integrated with the background form via GS. Nevertheless, there are striking similarities in terms of structural organisation: each uses its SY development as a pivot for second subject entries, consequently projecting a two-part, statement–counterstatement background scheme. This connection goes beyond the simple presence of the sonata principle, and thus offers a unique insight into Shostakovich’s conception of first-movement balance at this stage in his career.

The clarity with which the similar schemes shown in Example 8.2 are realised in the music varies significantly. In Symphony No.5 (i), material is largely derived from the two principal thematic subjects and the introductory theme, whereas in the first movement of the Fourth – some 11 minutes longer – several additional themes and further non-thematic elements that exist alongside the main sonata process. As shown in Example 8.1, each subject in the Fourth is split into two subsidiary components, forming larger thematic complexes. As such, opposition exists not only

between the two subject groups but also *within* them, creating a degree of formal ambiguity during the early stages of the movement.

To take the first thematic group as an example, the domineering 1a, with its *ff* march-like theme, stable tonality and regular rhythmic accompaniment, contrasts with the *p* lyricism, non-rooted harmony and rhythmic freedom of 1b. From figure 13, elements of 1a begin to reappear, culminating in a conjoined presentation of 1a and 1b at figure 19, thus confirming their integrative functions as parts of a larger whole. Nevertheless, as this process unfolds, the stylistic opposition between the two elements conforms precisely to sonata-form expectations, creating a degree of ambiguity when theme 2a enters at figure 31, initiating a new stage (and level) of thematic opposition. There is a theatricality here that has prompted several critics to categorise this movement rather differently: both Souster (1966:2) and Ottaway (1975:20) identify 1b as the main second subject, with 2a functioning as a third theme belonging to the development; neither assign any significance to 2b. These readings highlight another ambiguity: while the onset of the recapitulation is clear – it begins at figure 92 – that of the development is less so. Souster sites it at the fusion of 1a and 1b at figure 19 (1966:2); Roseberry favours the pedal A at figure 40 (1982:407ff).

My own view regarding both ambiguities (as presented in Example 8.1) follows those of Longman (1989:12) and Fairclough (2006:104). As such, 2a projects structural authority given its tonic restatement in the recapitulation, while 1b is subsidiary given its simple re-contextualisation; its main melody is left un-transposed. Further, 1a and 1b are loose inversions of each other, suggesting that they are both tied to a larger thematic complex. 2a, with its emphasis upon the interval of a fourth, represents something new. The precise onset of the development is slightly more

ambiguous, but Longman and Fairclough both choose figure 51; my favouring of this point will be explained shortly. For now, it is important to note that formal ambiguity is a significant force here, potentially undermining sonata-form expectations and, consequently, structural prioritisation.

For some, this ambiguity has proved too great to assimilate with any sonata model: Ottaway cites one sleeve-note that describes this movement as ‘a free, rhapsodic form, filled with themes and ideas, many heard once and never again’ (quoted in Ottaway, 1975:19), Schwarz calls the Fourth a ‘titanic failure’, saying that in its ‘sprawling first movement...one musical idea follows the other without visible connection or development’ (Schwarz, 1983:170), while Huband suggests it is ‘a structure far too removed from convention to be considered “sonata form”’ (Huband, 1990:14). It is clear that the simplicity of Example 8.1 is not straightforward in its aural communication. And there is some justification for this: Shostakovich stated to friends that ‘he wanted to write [the Fourth] without following any known models, writing freely, obeying only the thought which attracted him’ (Kholopov, 1995:72n17). But the result was far from free, and although this movement is distinct from the Example 3.8 sonata schema, the final product is distinctly sonata-like, both in its processes of opposition, growth and resolution, and in its basic structural design.

Crucially, there is no such confusion in Symphony No.5 (i), marking a significant change in compositional technique. The simple bi-thematic structure projects the sonata scheme with a new level of clarity, as figure 17 functions clearly as the onset of the development, given the change of timbre, key, and the reintroduction of the first subject.³ However, Shostakovich incorporates a degree of

³ Mishra posits figure 15 as the onset of the development (Mishra, 2008:259ff). Given the overlap into the recapitulation, it is possible that a similar phase process occurs here. However, I would suggest that the coincidence of parametric changes at figure 17 marks the clearest point of division.

formal ambiguity by fusing the development and recapitulation, although presents the brutalised first subject in the tonic as a crucial turning point within that process.

In addition to the main thematic groups, both the Fourth and Fifth use supplementary material, although, again, in different ways. In the Fourth, the opening theme, which is distinct from 1a, recurs relatively infrequently, elevating the structural significance of its recapitulation (figure 92). But there are several additional ideas that operate outside the sonata process. In particular, Fairclough has noted the dramaturgical significance of what she terms the ‘supplication theme’ (Fairclough, 2006:101), which appears in various guises throughout the movement. Example 8.3 transcribes one statement of this material, and also charts the distribution of its appearances, revealing proportional interactions that function largely independently of the sonata design shown in Example 8.2 above. Nevertheless, this network of recurrence does incorporate the onset of the development at figure 51, thus reinforcing the status of that point as a structural axis.

Example 8.3 *Symphony No.4 (i) – Supplication Theme and its Distribution*

The figure consists of two parts. The top part is a musical score for the Supplication Theme, starting at measure 436. It is written in 2/4 time with a tempo marking of 47 ♩ = 60. The score is in a key with one sharp (F#) and one flat (Bb). The melody is primarily in the treble clef, with some accompaniment in the bass clef. The bottom part is a distribution chart showing the occurrences of the Supplication Theme across the movement. The chart is organized into five sections: Opening (b1), Supplication Hunt (f33+7, b307), Supplication Climax (f47, b436), Development (f51, b477), and Supplication Lament (f98+3, b965), ending at End. The chart uses horizontal lines to show the duration of each occurrence, with labels GS+ and GS- indicating the type of appearance. The chart shows that the Supplication Theme appears in various guises throughout the movement, including in the opening, the hunt, the climax, the development, and the lament.

Similarly in the Fifth, material that is supplementary to the sonata process recurs throughout, but, in this case, it is the initial introductory theme that performs this role. In fact, the regularity of its presentation often leads to its being described as a ritornello theme,⁴ despite its appearance in various rhythmic guises and at various levels of transposition. In particular, it frequently heralds the onset of points of structural division within the sonata scheme: it forms the transition between the first and second subjects in the exposition; it offers a link into the figure-30 crisis-point in the development;⁵ it connects the brutalised first subject and the stabilised second subject recapitulations. Further, as Roseberry has observed, this introductory theme actually shares its melodic contour with the main second subject, implying an additional level of integration (Roseberry, 1982:100ff). So, although this idea is distinct from the main bi-thematic structure, it plays an important role within the thematic process, contributing towards a sense of unity through its omnipresence and interaction with the sonata form. Unlike the Fourth, where the effect of the 'supplication theme' is one of disruption – of a disconnection between form and content – in the Fifth, there is integration and clarity.

Development versus Variation

A brief consideration of how materials are transformed offers further insight into the differences between movements. In the Fourth, themes are developed immediately after their initial presentations. As shown in Example 8.4, by figure 2 (the thirteenth bar) Shostakovich employs cellular isolation and unstable harmonic expansion akin to a developmental process, creating an unstable soundworld early in the work.

⁴ For instance, see Roseberry, 1982:46.

⁵ This term is borrowed from Fanning, 1995:11. It will be discussed in more detail below.

Example 8.4 Symphony No.4 (i) – Theme 1a and its Early Development

In fact, such continual melodic development features throughout the exposition, and while the notion of a ‘developmental exposition’ was quite normal in Soviet Russia (Fairclough, 2006:74), it presents a compositional problem: how to proceed in the development section proper. As shown in Example 8.1 above, Shostakovich’s solution was to integrate of a series of variations upon the principal theme. While variation process is used in the exposition of theme 2a to some extent, it is not until figure 51 that this technique reaches its full potential, through the application of various external stylistic models, including polka, fugato, march and waltz, as shown in Example 8.5. It is for this reason that I have chosen figure 51 as the onset of the development, for it marks the point from which stylised variations of theme 1a begin in earnest, thus initiating a change in thematic process. Further, the termination of theme-1a variations (initially through a brief variation of 2a at figure 84) marks the closing stages of the development, ultimately heralding the onset of the recapitulation at figure 92.

Example 8.5 Symphony No.4 (i) – Theme 1a Variations during Development

Theme 1a

Musical score for Theme 1a, measures 1-6. The score is written for two staves (treble and bass clef). It begins with a dynamic marking of *ff* and a *ritardando* (rit.) marking. The melody is characterized by a series of eighth notes and quarter notes, with some triplet markings. The bass line consists of a steady eighth-note accompaniment.

Variation 1: Polka

Musical score for Variation 1: Polka, measures 51-477. The score is written for two staves. It begins with a dynamic marking of *p ma marcato* and a tempo marking of $\text{♩} = 108$. The melody is more rhythmic and dance-like than the theme, featuring a mix of eighth and quarter notes. The bass line is a steady eighth-note accompaniment. The variation ends with a dynamic marking of *f* and a *p* marking.

Variation 2: Fugato

Musical score for Variation 2: Fugato, measures 63-580. The score is written for two staves. It begins with a dynamic marking of *ff* and a tempo marking of *Presto* $\text{♩} = 168$. The melody is highly rhythmic and features a complex, driving eighth-note pattern. The bass line is a steady eighth-note accompaniment.

Variation 3: March

Musical score for Variation 3: March, measures 76-719. The score is written for two staves. It begins with a dynamic marking of *ff*. The melody is characterized by a strong, rhythmic march-like quality, featuring a mix of eighth and quarter notes. The bass line is a steady eighth-note accompaniment.

Variation 4: Waltz

Musical score for Variation 4: Waltz, measures 80-779. The score is written for two staves. It begins with a dynamic marking of *ff* and a tempo marking of $\text{♩} = 184$. The melody is characterized by a waltz-like quality, featuring a mix of eighth and quarter notes. The bass line is a steady eighth-note accompaniment.

Therefore, these variations not only subdivide the 'development' into four stylistically distinct sections, but the outer limits of this variation process also delineate higher-level structure. As each variation has a character distinctly foreign to the symphony (and, indeed, to the Symphony as a wider genre), events between figures 51 and 92 seem to disrupt the overall sonata scheme. Indeed, as Fairclough notes, issues set up in the exposition are suspended while this variation process unfolds (Fairclough, 2006:127). This is Shostakovich at his most Mahlerian, using popular stylistic idioms to expand his symphonic landscape. Importantly, this represents an inversion of traditional thematic process: the development (such as it is) is organised into variations; the exposition (which might ordinarily contain variations of the main theme) is largely developmental. However, this is not to suggest that the development merely consists of melodic blocks. Rather, several stylistic variations overlap, creating a degree of organic evolution through this phase. To an extent, therefore, variations work together, not least in their cumulative climactic shape.

The use of variation process in Symphony No.5 (i) is important, but once again it is simplified in comparison to the Fourth: where No.4 uses four variations, No.5 uses one. Further, the march variation in the Fifth is more thoroughly integrated with the overall thematic directionality of the development: it sits at the apex of a systematic exchange of melodic and accompanimental components of themes:

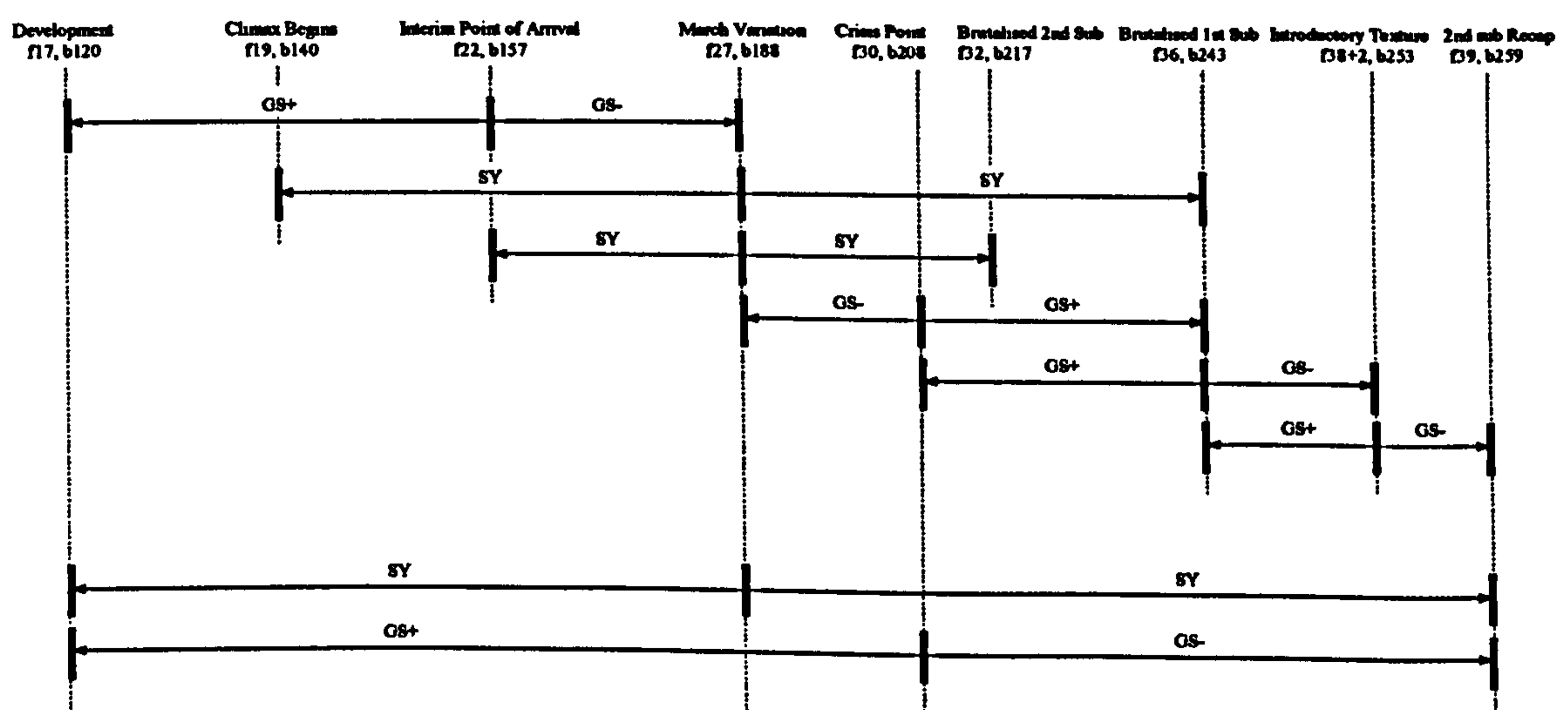
- (i) f17 – first-subject melody with second-subject accompaniment;
- (ii) f27 – march variation of first subject;
- (iii) f32 – second-subject melody with first-subject (or, rather, introduction) accompaniment.

The evolution of these stages is organic, wherein developmental processes of cellular isolation and re-working, textural stratification, harmonic instability, and rhythmic

(ostinato-like) insatiability unify the entire passage. Like the Fourth (or, rather, as its opposite), the development is differentiated from the thematic processes in other formal sections; in this case, the basic theme-and-extension method used in the exposition. Moreover, the logic of this three-stage progression further highlights the figure-32 statement of the second subject as a turning point within the development/recapitulation, thus confirming its global proportional function (see Example 8.2). So, a familiar principle emerges: variation is a crucial part of the thematic process in both the Fourth and Fifth Symphonies, and both works employ external stylistic models as part of that technique. However, in the Fifth, variation functions integrally to the sonata process, while in the Fourth it is more disruptive.

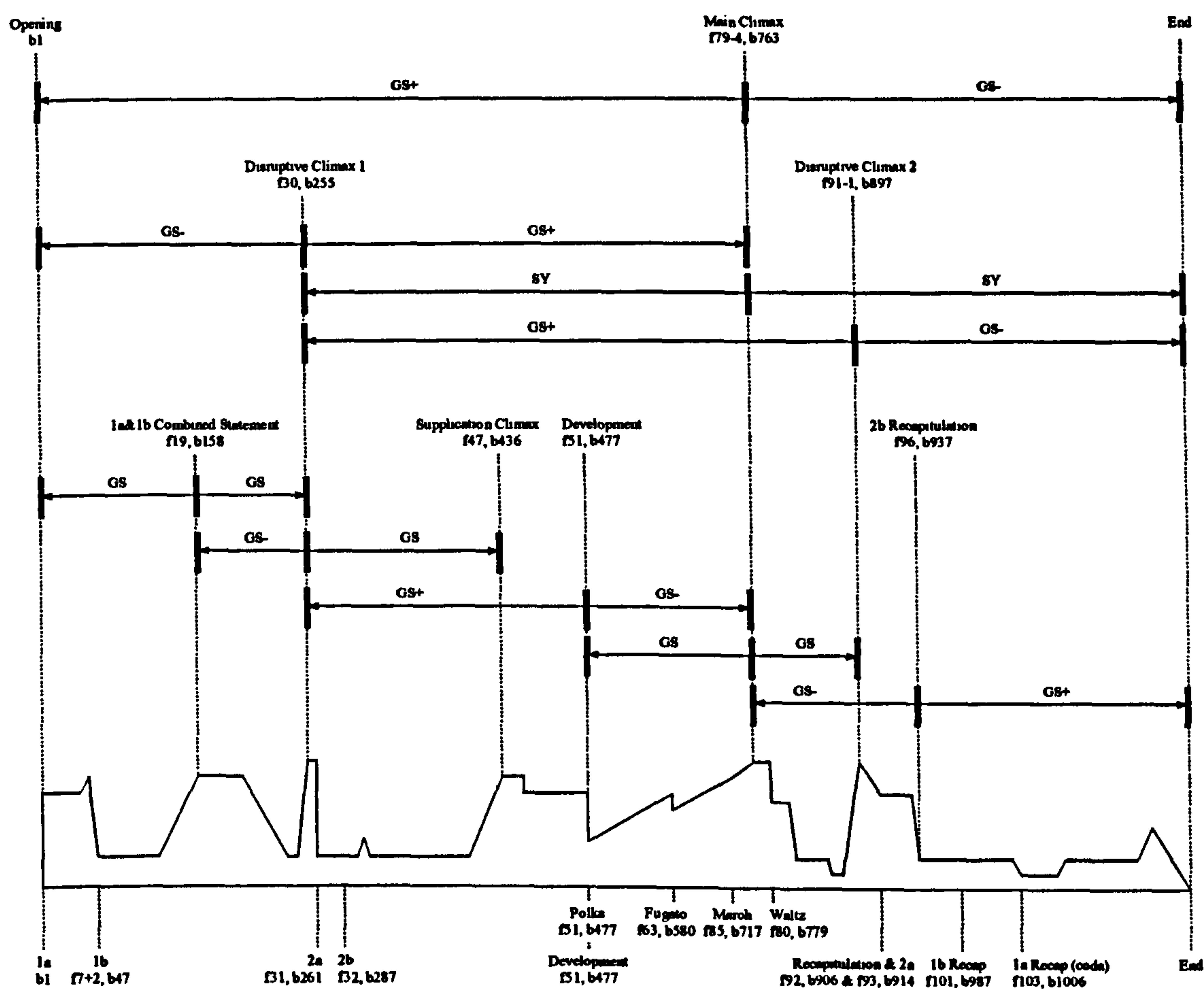
The differing form-content connection between the two works is once again highlighted, as emphasised and confirmed by the proportional distribution of events in their developments. Example 8.6 charts the phased development-recapitulation of the Fifth, and reveals not only the integration of the march variation into a series of cumulative proportions that inhere momentum, but also shows a higher-level proportional order involving the SY placement of the march and the GS+ placement of the crisis-point. No such proportions connect variations in the Fourth.

Example 8.6 Symphony No.5 (i) – Proportional Distribution of Development



Climactic Interaction

If the connection (or disconnection) between form and content stems from the thematic organisation of the Fourth and Fifth, then it is rendered most perceptible in the interaction between form and climactic shape. As shown in Example 8.7, there is a balance in the Fourth between those climaxes that support the sonata scheme and those that are used deliberately to disrupt it.

Example 8.7 Symphony No.4 (i) – Climactic Shape

In the development, for instance, the four discrete variations are unified as an overall wave of climactic growth and decay, lending some degree of continuity to the block-

like, stylised variations. As such, the highest peak, which occurs at the climax of the march after figure 79, falls precisely at GS+ within the movement as a whole.⁶

The climactic scheme is further aligned with sonata process in the recapitulation, where the reversal of themes is echoed and supported by a similar reversal in climactic level: where 1a was once *ff*, it is now *pp*; where 2a was *p*, it is now *f*. This SY exchange of markings has a significant impact upon the way in which formal resolution is achieved, for the once violent 1a is now recast in a more ambivalent tone (one commentator has gone so far as to describe this as the 'emasculatation' of 1a (Longman, 1989:33)), while the once timid and rhythmically unstable 2a is now asserted over the regular (and tonally stable) march-like accompaniment that once supported 1a. This stylistic reversal is crucial in the negation of the earlier, untenable thematic hierarchy: as Fairclough has noted, if 1a were to be restated as in the exposition, it is impossible to conceive how Shostakovich could have presented 1b, 2a and 2b in a suitably resolute fashion (Fairclough, 2006:119). Orchestration and climactic shape are fully integrated here with thematic process and form.

However, these relationships do not constitute a full rationale for the climactic shape of this movement, for several other climaxes intrude into its large-scale formal plan. In the exposition of the first thematic group, for instance, a logical progression occurs, wherein 1a and 1b both enter (marked *ff* and *p* respectively), move to a point of climax (at figures 5 and 19 respectively), then both drop away during a transition section in preparation for the next theme (1b after figure 7; 2a at figure 31). But this pattern is broken at figure 30, where there is a dramatic and unexpected *fff* flare-up,

⁶ Longman sites figure 91 as the main climax (Longman, 1989:13), yet it is neither the loudest, nor longest, nor the most concertedly prepared.

lasting 5 bars. This disruptive climax is extraneous to the first thematic group, whose climactic scheme reaches resolution earlier at figure 24; if anything, its content is related to the perfect-fourth figure of theme 2a. What is clear is that this climax intrudes without warning, playing no structural role within the sonata process. A similarly disruptive climax begins at figure 90: here too the climactic shape of the development seems to have reached conclusion, and this new outburst interjects unexpectedly, although this time with greater structural function as it brings about the louder level needed for the recapitulation.⁷

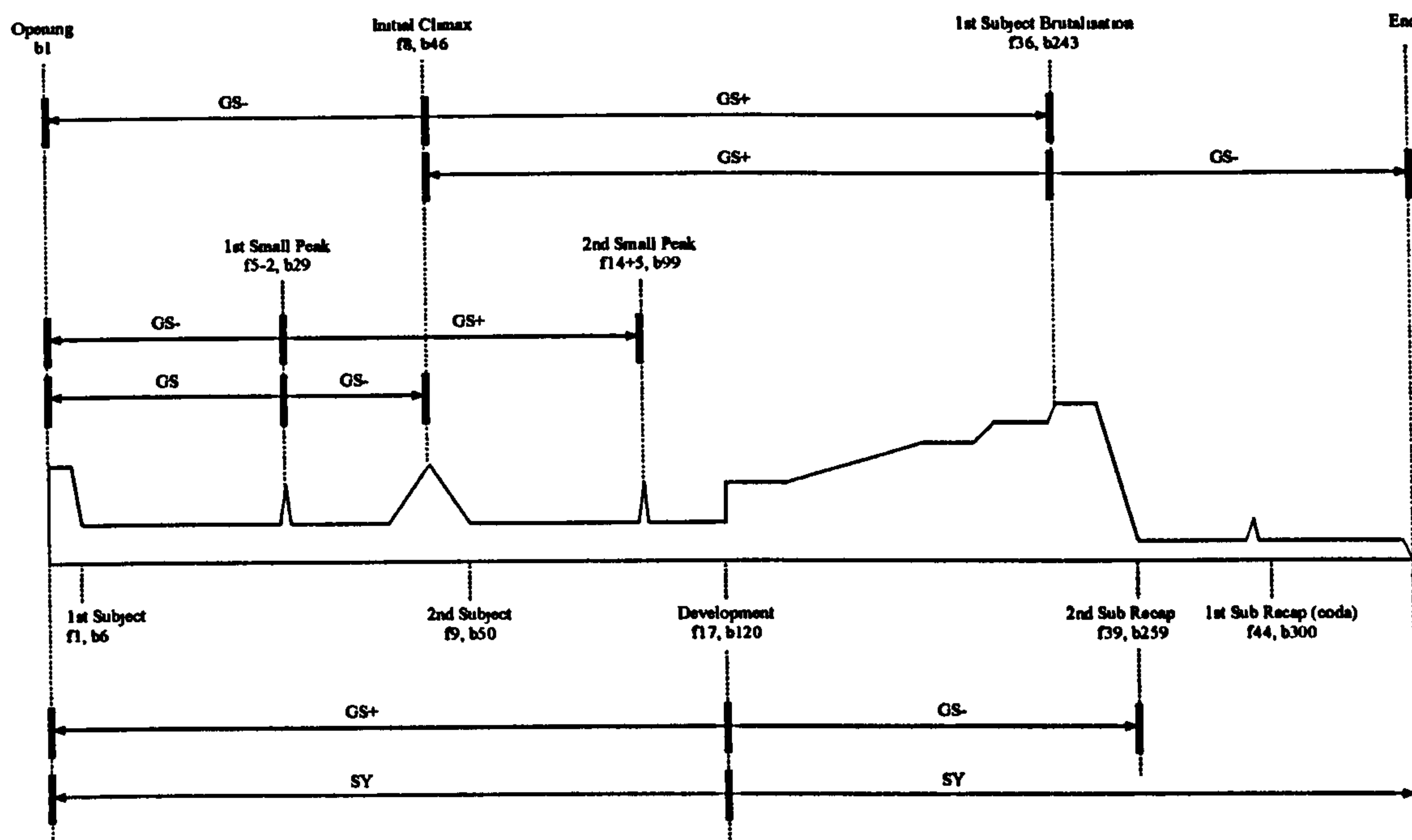
As shown in Example 8.7 above, these two disruptive climaxes – the two other loudest moments in the movement – interact proportionally with the main climax of figure 79, offering a balanced distribution that prepares and recalls this peak. Further, there is a series of cumulative proportions that link consecutive peaks within the overall climactic shape, offering a degree of momentum through wave-like evolution. This is the only such cumulative proportional scheme that functions across the entire movement; no such construction links points of division within the sonata process. Crucially, the proportional unfolding of these climactic peaks is distinct from the main sonata structure: content – presently in the guise of climactic outbursts – functions outside of form.

As might be expected, a different situation emerges in the Fifth; a glance at Example 8.8 reveals significantly less complexity within the overall climactic shape. To an extent, drawing such a comparison could be misleading: given that the first movement of the Fourth is some 11 minutes longer than that of the Fifth, one would expect a relative increase in activity in order to sustain interest. Yet there are several

⁷ The supplication climax of figure 47 might similarly be described as disruptive, but this disruption is thematic rather than climactic: despite the external theme, this moment has been prepared for some time through a gradual crescendo, so its peak here comes as no surprise within the climactic scheme.

connections with the Fourth: both begin loudly and end quietly; both have loud recapitulations; both have waves of climactic growth and decay.

Example 8.8 *Symphony No.5 (i) – Climactic Shape*



However, what is different in the Fifth is that the bulk of its climactic activity occurs in a single wave. There are prior and subsequent peaks, but unlike the case in the Fourth, these outbursts are quieter than the loudest climactic region (although they do, like the Fourth, unfold proportionally). Moreover, climactic shape evolves concurrently with the sonata process. As shown in the diagram, the main climactic wave is precisely aligned with sonata-form divisions, commencing at the onset of the development and ending in tandem with the recapitulation of the second subject, and return of the tonic major. As such, the fused development–recapitulation of the thematic structure is consolidated (and, in part, brought about) by the climactic shape. Consequently, climactic growth and decay is held in the same proportions as the formal architecture (shown in the lower part of Example 8.8): the integration of parameters is projected through by single background proportional scheme. Also

shown in the diagram is the proportional significance of the brutalised first subject. As mentioned above, in accordance with the sonata model, this moment 'should' be the point of recapitulation: both the first subject and the primary tonic return here. By simultaneously casting this as the highest climactic peak, Shostakovich both undermines its capacity for stable resolution and also fuses the development and recapitulation as a single, larger process to offset the exposition.

The isolation of the development–recapitulation as the primary region for climactic growth is not brought about purely through volume: this feature is further reinforced by orchestration. In particular, several instruments are retained solely for this section, including all the heavy brass (trumpets,⁸ trombones, tuba), percussion and piano, which not only differentiates this section from the exposition and latter stages of recapitulation, but also offers greater potential for tension and dynamism. Horns are the only brass instruments to play elsewhere, being of particular importance in the initial climax (figure 8). As shown in Example 8.8, this teasingly un-climactic climax anticipates the main climactic peak (figure 36) and is proportionally placed to prepare that point; preparation is both timbral and proportional. There is a connection with the Fourth in this respect, for there too an initial climax (the figure-30 outburst) proportionally prepares the main peak, but in that case a subsequent peak after the main climax served to confuse the situation. Whereas clarity of form is essential in the Fifth, no such situation exists in the Fourth.

⁸ Two *pp* trumpets are used in the coda, but their function there is timbral and stylistic rather than climactic.

Linearity and Tonal Centres

There are relatively few points of tonal stability in Symphony No.4 (i) for a movement of its length. Instead, a melodic style prevails in which linear voice leading and thematic manipulation are the most controlling aspects of pitch organisation; diatonic vertical harmonies are rarely allowed to take firm hold. The first presentation of theme 1b, for instance, soon moves beyond its initial (hint of) F major to a tonally unstable environment (see Example 8.9).

Example 8.9 *Symphony No.4 (i) – Linearity of Theme 1b*

The linear texture is contained, though, by the transposed restatement of the theme in the fourth bar of figure 8. This balance of free modal voice leading and cellular manipulation proves to be the driving force for most of this movement – a technique forged in Shostakovich's earlier style, and particularly in the Second and Third Symphonies.

If the type of tonal hints observed in Example 8.9 were charted throughout the movement, a key scheme would emerge that includes all twelve chromatic pitches at some point. However, there is one unambiguous tonal centre – C minor – which prevails in the exposition and recapitulation of theme 1a, the recapitulation of theme 2a, and in the final cadence of the movement. This is the only key that is fully

established through significant longevity and a lack of surface chromaticism, and the only one that appears regularly, thus it assumes unambiguous authority as the tonic. However, there is no unequivocal foil to C minor, although there are frequent hints at A as a tonal centre. A is the first note in the work, and as Example 8.10 demonstrates, the opening scalar descent of an octave does little to prepare C minor at figure 1. Instead, the tonic enters with an awkward jolt, exerting superiority through tub-thumping rather than cadential motion. A is therefore left unresolved; it does not represent an independent tonal force but acts as a kind of ‘irritant’ to the overall tonic. As successive instances reveal in the Example, this irritant function continues; A always appears as a subsidiary to C, either as a melodic focus, or in preparation for one of the two disruptive climaxes.⁹

The foreground significance of A has some degree of structural function, for it is in that (major) key that theme 2a initially appears, before returning in C minor in the recapitulation; A is also presented as the root note at the onset of the development.¹⁰ Yet in neither case is this pitch allowed to establish itself as a fully stable tonal centre, and this undermines its potential for background structural significance. So while A is an important tonal area, its lack of stability as an independent region in part undermines the perceptibility of the overall sonata form. This may contribute towards the regular disagreement between commentators (and listeners) over the formal subdivision of this movement. Further, that the irritant function of A persists to the closing bars of the movement (see Example 8.10) implies a lack of resolution, leaving the music wanting, rather than closing issues down entirely. The symphony, after all, has a good deal more to come.

⁹ See also Fairclough, 2006:137ff.

¹⁰ F is additionally hinted at in the opening bars through the scalar descent in the upper line. This too has a degree of structural consequence in its use for theme 1b (see Example 8.9) and 2b into figure 33.

Example 8.10 Symphony No.4 (i) – A as a Tonal Irritant to C

Opening (Introduction and start of 1a)

Allegretto poco moderato ♩ = 92

Combined Statement of 1a and 1b

Move to first Climactic Disruption

Theme 2a

[31] ♩ = 108

Development (Variation 1: Polka)

[51] ♩ = 108

Move to second Climactic Disruption

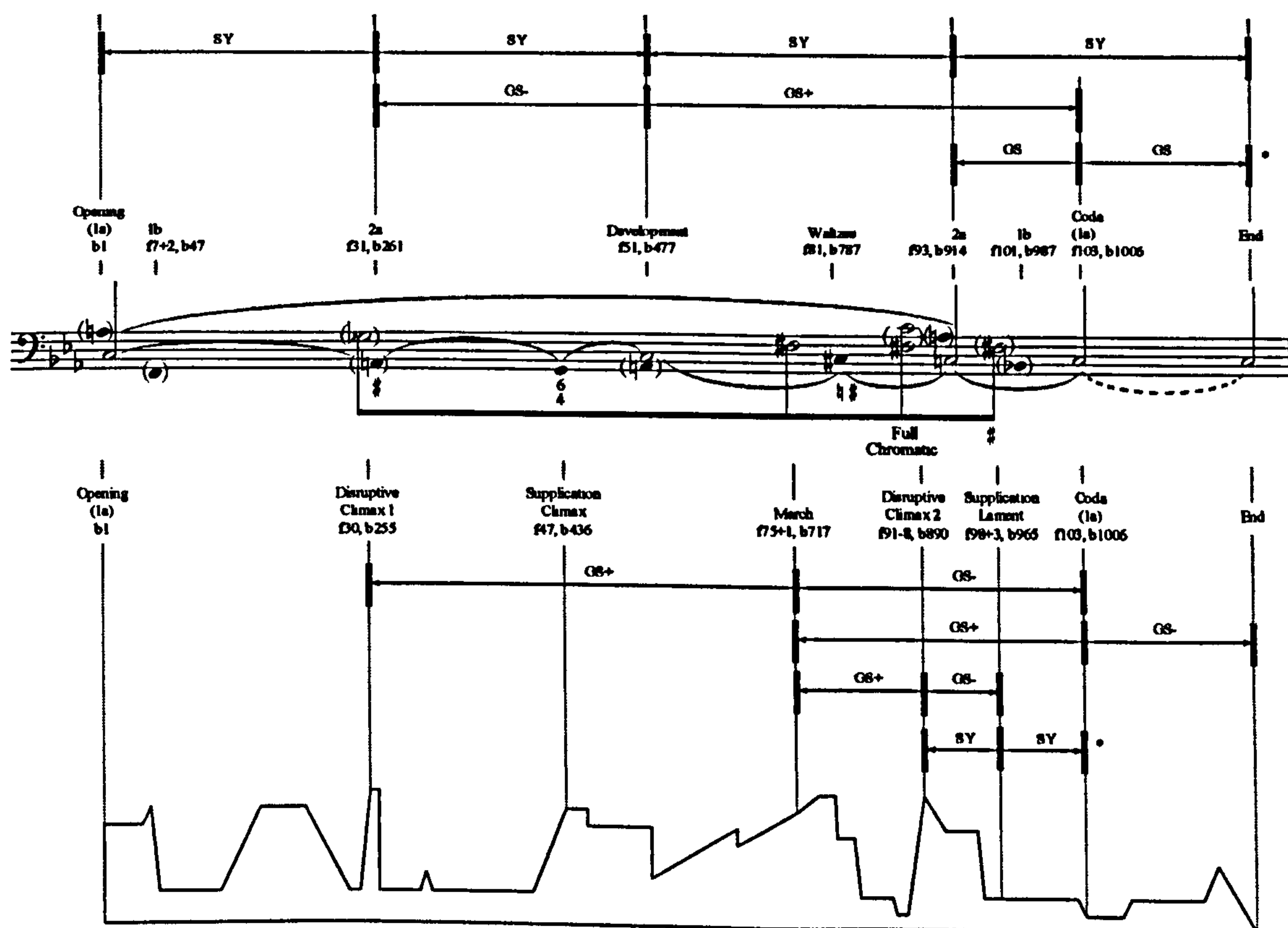
[90] ♩ = 69

Final Bars

[109] *p* < *fff* *p* < *fff* *morendo*

The function of F^\sharp/G^\flat is also important to the overall tonal scheme, particularly at those moments of thematic and climatic disruption noted earlier. Not only is this duplex used prominently in both disruptive climaxes (see Example 8.10: it is the principal melodic note in the first, and the root note of the second), but it also acts briefly as a tonal centre for the supplication lament (figure 98). The sonata process is therefore disrupted by aspects of three distinct and interlocking parameters: external thematic material, climactic outbursts and duplex regions. Further, F^\sharp plays a crucial role in approaching the main climax of the movement, appearing as a pedal point for 38 bars from figure 75; its function is akin to that of a dominant for the eventual climax. The instability of the duplex is retained in each of these instances. Example 8.11 charts the main keys of the movement, revealing a two-part proportional scheme: relationships that distribute C and A as the primary tonal (and sonata) argument, and those that control F^\sharp/G^\flat as the unstable and disruptive duplex tonic.

Example 8.11 *Symphony No.4 (i) – Distribution of Tonal Scheme*



By contrast, in Symphony No.5, tonal stability is the prevailing norm: the first and second subject expositions and recapitulations are rooted in stable tonal areas, while several elements of the development are similarly confined to particular regions. The unambiguous structural function of tonality is a significant difference here from the Fourth, and no doubt represents a simplification in compositional language. Although linear counterpoint continues to play an important role, it is confined to particular passages rather than constituting the textural norm. Nevertheless, this sparsity means that when such contrapuntal passages do dominate – for instance, for the transition into the march of figure 19 (the final stage of which is transcribed in Example 8.12) – the effect is highly dynamic, propelling the music towards points of tonal stability.

Example 8.12 *Symphony No.5 (i) – Linear Transition to Stable March*

182

f *cresc* *f cresc*

27 *Poco sostenuto* ♩ = 126

poco stringendo *f* *f*

Of course, the same process occurs in the Fourth, but the effect there is different: constant unstable motion does not create the same goal-oriented expectations of the Fifth. Consequently, when points of stability do come about in the Fourth they have a significant impact, but one that is born as much out of surprise as expectation: consider, for instance, figures 84 or 101. In the Fifth, we see the return to a more traditional, goal-oriented conception of linear counterpoint.

As in the Fourth, a single, overall tonic – D – prevails in Symphony No.5 (i). This tonic is used frequently, particularly in the recapitulation, and there is no duplex tonic to undermine its centrality. But, once again, an early event proposes an alternative tonal region that is explored extensively throughout the movement. As shown in Example 8.13, D[#]/E^b performs that function here, as the music cadences into this tonal region prior to the establishment of the primary tonic.¹¹ Like its counterpart, A, in the Fourth, D[#]/E^b is disruptive: it is an unstable note in the mode, and one could easily conceive of a more diatonic version of the opening phrase that eliminated this pitch altogether.¹² However, there is a significant difference here: whereas in the Fourth, A is an irritant that subverts the tonic, in the Fifth, D[#] is more carefully integrated into the overall voice leading such that the cadence from an unstable C[#]–G tritone to the tonic D–F is prolonged through an interim move to D[#]–F[#]. Linearity is again an important feature, but it is used in a more goal-oriented fashion, moving purposefully towards the eventual D minor tonic stability.

¹¹ The enharmonic spelling is important here: initially the D[#] resolves on to E; later, it functions as the flattened supertonic in the absence of an unaltered E. But in both cases D is the goal as the primary tonic: the link therefore subsists.

¹² This idea was suggested by David Fanning in a paper given in November 2004 entitled ‘Why is Shostakovich’s music so hard to understand?’ It is also discussed by Hussey, 2003:12.

Example 8.13 Symphony No.5 (i) – Use of Flattened Second

Opening: Introduction Theme

Moderato $\text{♩} = 76$

1

5

f *p* *dim*

(b II) V I

First Subject

6

10

p

Equivalent Upper Pentachords
on D then Eb

(b II) V I

Second Subject

11

15

p *p espress*

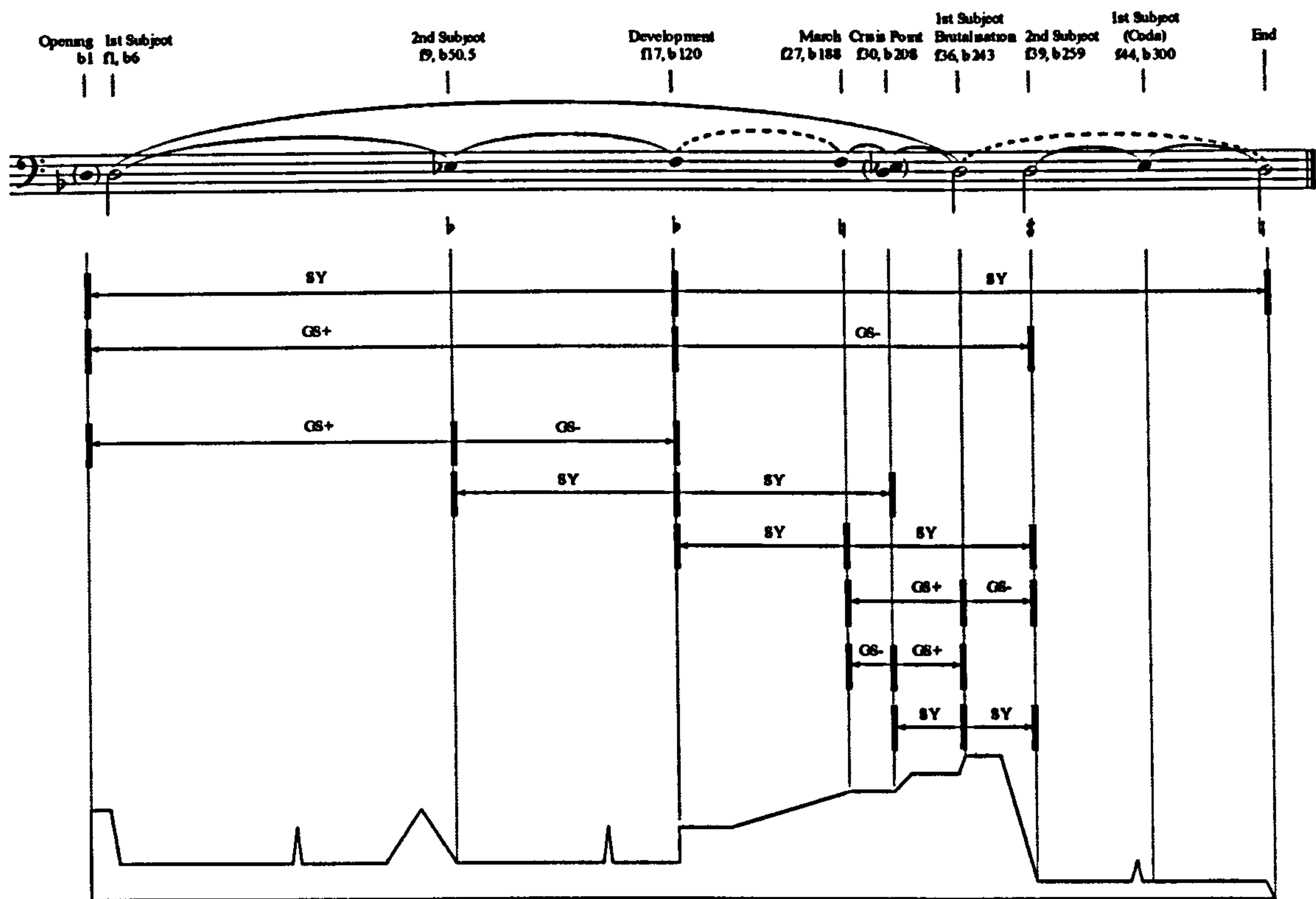
Crisis Point ³⁰

208

The status of $D^{\#}/E^{\flat}$ as 'integral to', rather than as 'irritant to', the tonal structure is consolidated further in the exposition of the first subject. Here, not only does the melodic pentachord focus explicitly upon E^{\flat} , but the extension of that theme clearly moves through that harmonic area on its path towards the primary dominant: see Example 8.13. Moreover, when the pentachord returns, it is transposed up a semitone, such that the main theme can be presented over an E^{\flat} root. In comparison to the tonally alien A of Symphony No.4 (i), here, $D^{\#}/E^{\flat}$ has far greater potential for stability, and, indeed, this is realised in the second subject, wherein E^{\flat} minor constitutes the unambiguous key in which this theme is cast. So, a similar process occurs in these movements, wherein an early harmonic disruption precursors the tonal region of the second subject. But in each case, the way in which this key is used – or, rather, the way form and content interact – differs significantly, as the Fifth conforms to a more traditional conception of tonal organisation. The path of $D^{\#}/E^{\flat}$ towards eventual resolution is one of the primary dramaturgical features of its sonata process, and one that ascribes particular significance to its simultaneity with D minor at the figure-30 crisis-point (again, see Example 8.13)¹³ *en route* to the D-based statement of themes in the recapitulation.

If the tonal scheme of Symphony No.5 (i) is plotted (see Example 8.14), its linear evolution becomes clear, with F emerging as a third significant tonal centre. The use of the relative major within a minor-mode sonata scheme is to be expected, but its retention until the development (rather than its introduction for the second subject), and its appearance firstly as an altered minor mode (with $\flat 2$) prior to its eventual (Lydian) major presentation in the march variation, are significant personalisations of the traditional sonata principle.

¹³ See Fanning, 1995:11ff for more discussion of this moment.

Example 8.14 Symphony No.5 (i) – Tonal Scheme

The notion of form as internal process is important here, as archetypal key schemes are modified in order to accommodate specific thematic idiosyncrasies: E^b has a particular role to play. The SY placement of the development is further reinforced through its use of this F: the apex of a scalic arch, whose ascent incorporates the crucial E^b , and whose descent resolves to the stable D major of the second subject.¹⁴ Interestingly, the coda contains a second, smaller arch, briefly moving to E minor for the final statement of the first subject. That motion all but resolves the earlier tension between D and E^b , replacing the latter as a diatonic supertonic. However, the E^b returns fleetingly at figure 46: like the Fourth, there is more of this symphony to come. Importantly, integrated tonal linearity creates a significant degree of directional momentum here, unlike the more sporadic C–A associations of the Fourth.

¹⁴ See also Mishra, 2008:370ff.

Overall, the tonal scheme of the Fifth is aligned precisely both with its thematic form and its climactic contour. As such, the thematic and tonal opposition set up in its exposition are resolved tonally and climactically through the combined development–recapitulation; the same shape is projected within each parametric dimension. That consecutive moments in the tonal scheme are linked by cumulative proportions (as shown in Example 8.14) further confirms the extent to which a single, unified directionality is the driving force behind structural evolution here. Like the climactic contour and tonal scheme, these proportions also home in towards the second subject recapitulation at the figure 39. This kind of interaction between parameters is markedly absent in the Fourth, wherein parametric contradictions are fundamental to that work’s dramaturgy. In the Fifth, unification and interaction ensure a focused evolution, and, consequently, a simpler overall form.

A Soviet Artist and a Creative Answer: Reassessment and Maturity

Shostakovich described the Fourth Symphony as the Credo of his creative work (Fairclough 2006:229); this proclamation implies a level of satisfaction that has led Fairclough to suggest that,

...at the time when Shostakovich composed the Fourth Symphony...he had good cause to believe that it actually fulfilled – rather than defied – a significant number of his colleagues’ suggestions as to what a Soviet symphony in the age of socialist realism should be.

(Fairclough, 2006:xix)

Certainly, there is evidence to support this claim, not least in the inclusion of recognisable stylistic models, with its Mahlerian (and Sollertinskian) connotation. So

if a broad definition of formalism is accepted, such as ‘art for art’s sake’, or general bourgeois inapproachability, then Shostakovich surely had reason to expect a degree of acceptance. Yet, as described in Chapter 2, the notion of formalism was deliberately vague, and could denote, amongst other things, the separation of form and content, or an unnecessary level of formal complexity. In this way, the potential dangers of the Fourth are easier to comprehend, leading commentators such as Hakobian to the conclusion that ‘In 1936, such a work had no chance to escape accusations of “formalism”’ (Hakobian, 1998:171).

Yet both critics agree on the importance of the partial separation between form and content in Symphony No.4 (i): Hakobian describes the movement as an ‘enormously enlarged sonata [form] with numerous and “extra” insertions’ (Hakobian, 1998:170), while Fairclough concludes that ‘the first movement deliberately sets up a form/content dialogue, where [certain] “content”...is located outside the essential “form”’ (Fairclough, 2006:139).¹⁵ And this has been seen regularly in the present investigation: thematic, climactic, tonal and stylistic parameters are used to disrupt the underlying sonata model; this is consistently reflected in the proportional schemes therein. The consequent complexity is a feature Shostakovich seems to have recognised all too well: Glikman recalls Shostakovich commemorating the 38th anniversary of the ‘Muddle Instead of Music’ article, saying,

After ‘Muddle instead of music’, the authorities tried everything they knew to get me to repent and expiate my sin. But I refused. I was young then, and I had my physical strength. Instead of repenting, I composed my Fourth Symphony. (Glikman, 2001:194)

¹⁵ Similarly, Gasparov observes that outwardly traditional features ‘stand in stark contrast to the choppy compartmentalization of its narrative’ (Gasparov, 2005:174).

But that defiance was short lived: actions *do* speak louder than words, and, as this chapter has demonstrated, a new level of integration between form and content is fundamental to the directionality of the Fifth. Here, thematic process, tonal evolution and climactic contour are all integral to the sonata process, projecting clarity rather than complexity. As Kay has observed, Symphony No.5 (i) is ‘a much more balanced movement; there is more continuity of material and this is distributed over the whole time-span with more assurance and calculation’ (Kay, 1971:32).

Nevertheless, it is misguided to describe this change in compositional style in such absolute terms as those exemplified earlier, for there are significant connections between Symphonies No.4 and No.5. Both employ thematic opposition and tonic-based tonal resolution as crucial aspects of the sonata process; both derive large-scale points of tonal conflict from initial melodic events; both use climactic shape to project a single overall peak, and both support that peak with additional climaxes; both use external style models as part of their important variation processes, and both contrast and integrate these variations within a linear, developmental process. And, crucially in the context of the present thesis, both make consistent use of proportional distribution in the containment of those events – proportions that are directly comparable in some instances, such as the SY development, or the placement of second-subject entries about that axis. There is a continuity of technique here that consistently leads to manifestations of similar principles in both symphonies: this is not the type of reinvention that takes place in the music of composers such as Schoenberg or Pärt. Rather, it is the way in which enduring techniques are reconsidered and re-applied that brings about the complexity-to-clarity evolution

between the Fourth and Fifth, and, in particular, how these techniques contribute either to the disruption or unification of form.

There can be little doubt that the Fifth marked a modification in Shostakovich's musical language – a change that is inextricably linked to the political imperatives of the time. So for commentators such as Huband to conclude that 'the Fifth Symphony evolved from the earlier symphonies' (Huband, 1990:16) also seems insufficient in the light of this investigation. As discussed in Chapter 2, while Symphony No.1 emphasises the constructive potential of form, the Second and Third Symphonies instead explore content in a freer and more theatrical manner. So in the Fourth we find a logical and chronological development from these earlier works, through the synthesis of formal and theatrical strands. As Gasparov has noted, this was no doubt a turning point for Shostakovich (Gasparov, 2005:162). Yet the type of form/content dialectic and disjunction explored in the Fourth, and its consequent potential as the future direction of Soviet symphonism in general, is completely abandoned in the Fifth.

In fact, it could be argued that the logical successor to Symphony No.4 is therefore not No.5, but certain later-period works such as the No.13, for it would be some quarter of a century later before Shostakovich once again set content in dialogue with form in such a constructive manner. Consider, for instance, the diverse character narrations and subsequent styles in Symphony No.13 (i), the disruptive fugue from figure 143 in the finale, or the additional restatements of the main theme of the first movement at figures 47 and 114. In each case, the poems themselves (or, rather, the content) drive a change in formal direction, and in each, these moments interject

within what had been a fairly logical architecture.¹⁶ Interestingly, the Thirteenth was the first work Shostakovich wrote after the 1961 première of the Fourth; whether this is coincidence or more directly relevant is unclear, but the connection is tantalising. Consequently – and as logical descendants of the Fourth and Thirteenth – the formal novelty of the Fourteenth, or the disruptive function of the *William Tell* quotation in the Fifteenth, each have a clearer precedent. It is therefore to these later works, and in particular to Symphony No.14, that the next chapter will turn.

But this is not to deny the quality and value of the intermediate period: undoubtedly some of Shostakovich's most enduringly successful works (such as the Fifth, Eighth and Tenth) were composed during this time; part of that success no doubt resulted from the greater degree of clarity in musical argument here.¹⁷ And here is the paradox in this situation: as Fanning has observed, 'the greatest music *can* be written under the greatest political pressure' (Fanning, 2001a:295, my emphasis). Quoting Hölderlin's famous verse 'Where there is danger, salvation also grows', Hakobian similarly remarks that,

Being constrained to compromise, to come to terms with the blood-thirsty spirit of the epoch, the composer managed to pull through by creating a masterpiece [Symphony No.5] – perhaps, the greatest and most unquestionable one in the whole of his heritage.

(Hakobian, 1998:177)

This is surely the most remarkable and inspiring aspect of this transition: a response equally experienced by those at the première of the Fifth. As one attendee recalls,

¹⁶ One might argue that the first movement of the Seventh uses this technique, but here programmatic concerns control the majority of structural choices. This could hardly be described as the same type of 'intellectualism' seen in the Fourth and Thirteenth.

¹⁷ Gasparov, for instance, notes the simpler polarisation of 'the worlds of the meditating self and the outward evil' in the period from the Fifth to the Tenth (Gasparov, 2005:183).

Many of the listeners started to rise automatically from their seats during the finale, one after the other. The music had a sort of electrical force. The thunderous ovation shook the columns of the white philharmonic hall, and Evgeny Mravinsky lifted the score high above his head so as to show that it was not he, the conductor, or the orchestra who deserved this storm of applause, these shouts of 'bravo'; the success belonged to the creator of this work.

(quoted in Wilson, 2006:151)

With such a subtle, yet fundamentally significant, change in compositional process – a move from form/content disjunction to form/content integration – Shostakovich secured his future; the eventual acceptance of the Fifth by the authorities completed his rehabilitation. Crucially, the Soviet artist survived, and not with a weakened language, but with a flourish of creative maturity.

Chapter 9

Zeniths and Zeitgeists – Symphony No.14

In a 1969 letter to Isaak Glikman, Shostakovich confided of his work in progress that ‘for the first time in my life, I really do not know what to call one of my compositions’ (Glikman, 2001:159). Shostakovich was describing what was ultimately to become his Fourteenth Symphony, and elaborated that ‘it cannot be called an oratorio, since an oratorio is supposed to have a chorus, and mine doesn’t. It does have soloists though...it shouldn’t really be called a symphony either.’ And Shostakovich was by no means the only person to express this doubt. Ottaway, for instance, describes the Fourteenth as ‘really an extended song-cycle...symphonic in designation only’, later stating that it is ‘not in any meaningful sense a symphony’ (Ottaway, 1978:9&61).

There is good reason for this confusion. Despite its symphonic title, Symphony No.14 is a work in 11 movements, each of which sets a different poem selected from four poets: movements i–ii by Garcia Lorca; iii–viii by Apollinaire; ix by Küchelbeker; x–xi by Rilke.¹ As such, it is a significant departure from Shostakovich’s previous symphonies, for although there is precedent in the use of multiple poems in his Thirteenth, these were all written by the same Russian author. Furthermore, the Fourteenth is by all accounts chamber music in timbral and textural simplicity: it is set without wind or brass, and instead requires just 19 string players and a small selection of (subtle) percussion. But with two solo voices present throughout, it is this vocal dominance with its textual presentation that controls the

¹ Some are complete settings, others extracts.

evolution of each individual song. The song-cycle implications of this format are clear without even contemplating specific content.

The work also betrays the influence of its dedicatee, Benjamin Britten. Shostakovich first met Britten in 1960 (Fay, 2000:251), and as their friendship grew, so did their mutual respect for each other's music; several commentators have observed connections between their work and their aspirations.² Given its dedication, the Fourteenth becomes definitive of this relationship, and Roseberry notes several parallels with Britten, including particular soundworlds (use of double bases, rising fourths, Lydian modality, two-part writing), orchestrations, and the absorption of dodecaphonic elements (Roseberry, 1995:244ff). Importantly, prior to the inception of the Fourteenth, Britten completed several large-scale vocal works and song-cycles, including his (at-times symphonic) *War Requiem*, Op.66 (1961), *The Songs and Proverbs of William Blake*, Op.74 (1965), and *The Poet's Echo*, Op.76 (1965). The last of these may be particularly relevant given its extended use of chromaticism and its use of texts by Pushkin.³ It seems probable that the Britten connection played a role in shaping aspects of the Fourteenth – its song-cycle organisation and its use of dodecaphony – as Shostakovich heard significant amounts of Britten's music around that time (Roseberry, 1995:231).

² See Roseberry, 1995:229–53 or Kovnatskaya, 175–89. Roseberry, for instance, emphasises 'their commitment to a socially 'useful' aesthetic...their shared, deeply private, almost Chekhovian sensibilities, and the impact of Civil War, Revolution and two World Wars on their outlook...the breadth of their "Bach to Offenbach" eclecticism, the fundamental conservatism that stood behind an apparently modernistic start to their careers, the importance of their 'applied' work for theatre and cinema, of certain shared and openly acknowledged musical influences from the past (Mahler and Berg!). More particularly there is a striking common attachment to baroque stylisations (especially passacaglia and fugue), a rich mixed-modal and tonally ambiguous language...a pronounced degree of motivic obsessiveness, and the crucial importance to their musico-dramatic work of the art of thematic transformation' (Roseberry, 1995:232).

³ Shostakovich's work is notable for its use of non-Russian poets; this stands in stark contrast to those texts of earlier symphonies. Only Küchelbeker was Russian by birth, and was a fellow student of Pushkin's; upon the completion of the Fourteenth, Shostakovich sent Britten a portrait of Anton Del'vig – the poet to whom Küchelbeker's text refers (Roseberry, 1995:229).

However, the Fourteenth is a ‘Symphony’ – a designation that Shostakovich clearly considered carefully – and to dismiss this as an empty title is to neglect an underlying dynamism in the work and, indeed, the progressiveness of its creator. Interestingly, in his ‘Preface to the Première’, Shostakovich stated that the ‘music unifies [the 11 songs] in four symphonic movements’, grouping the work in the form i–iv, v–vi, vii–viii, ix–xi.⁴ Even at this late stage in his life, Shostakovich apparently felt the need to conform, and this disclaimer-like revelation – a subdivision absent in the actual score – aligns the work with a more standard notion of symphonic form,⁵ although, as will be seen, its simplicity is often undermined by the music. In the Fourteenth, Shostakovich wrote – relative to his own norm – his most un-symphonic symphony, yet also (arguably) his most interesting, stating to Glikman that, ‘The Fourteenth Symphony...seems to me a turning point in my work in that everything I have written for many years now has been in preparation for it’ (Glikman, 2001:160ff). A symphonic zenith, more meaningful than the Fifth due to its internal, rather than external, motivation. As Hakobian has noted,

Unlike most other large-scale works by the composer, [the Fourteenth was] created by a free man, one burdened neither by political pressures nor by the voluntarily assumed mission of the ‘artist-citizen’.

(Hakobian, 2004, 163)

To understand Shostakovich’s conception of symphonism at this point in his life, and in such a progressive work, is therefore vital in assessing his creative evolution within this new freedom.

⁴ From the preface of the 1980 Collected works Vol.8 (1980:iii).

⁵ And certainly with respect to Aranovsky’s paradigm, discussed in Chapter 2.

Words and Music

In his introduction to the Fourteenth, Shostakovich remarks that,

In part, I am trying to polemicise with the great classics who touched upon the theme of death...[Death] awaits all of us. I don't see anything good about such an end to our lives and this is what I am trying to convey in this work. (Fay, 2000:261)

Whilst, as Hakobian notes, direct reference to death is not made in all 11 movements (Hakobian, 2004:178), it is a theme that nonetheless recurs with such consistency that it provides a poetic reference point throughout the work.⁶ The notion of a diversified unity – a fundamental aspect of symphonic thought, discussed in Chapter 4 – already takes shape. Further, as shown in Example 9.1, it is possible to group the poems according to their content, an issue Shostakovich must have contemplated in considering their order.

Example 9.1 Symphony No.14 – Poetic Content

Movement	Poetic Content	Groups
i. 'De Profundis'	Death as natural and peaceful force.	A. Opposition of peaceful/malevolent death.
ii. 'Malagueña'	Death as malevolent, omnipresent force.	
iii. 'Loreley'	Love's destructive power.	B. Death caused by love.
iv. 'The Suicide'	Unnaturalness of suicide.	
v. 'On the Alert'	Inevitability and unnaturalness of death.	C. Inevitability of death, and the futility of Love.
vi. 'Look Here, Madame!'	Futility of love in the face of death.	
vii. 'At the Santé Jail'	Christ as Everyman with no hope of resurrection.	D. Death as absolute.
viii. 'Zaporozhye Cossacks' Reply to the Sultan of Constantinople'	Even the worst tyrant deserves drugs to heal his ills.	
ix. 'O Delvig, Delvig!'	Art can allow immortality.	E. Hope in creativity, but eventual resignation to death's totality.
x. 'The Poet's Death'	An understanding of the world can only exist in life; death negates creativity.	
xi. 'Conclusion'	Death as all-powerful and inevitable.	

⁶ Interesting, the theme of death features regularly in the work of Britten, not least in the *War Requiem*. For further details, see Roseberry, 1995:251. For other interpretations, see Mishra, 2008:278ff.

So, for instance, 'Loreley' tells the story of a woman driven to suicide, while the next movement reflects upon the unnaturalness of suicide, with first-person, female narration from beyond the grave. One cannot help but sense a connection, even if it is just proximity that creates this effect.

Considering such relationships reveals five discrete groups, each a pair, with one final epilogue, or 'Conclusion', as the poem is entitled. Of course, this is a subjective reading; there are other avenues of understanding and grouping that are equally possible,⁷ but it does conform largely to Shostakovich's subdivision noted earlier (the difference being his fusion of the first two groups). So while these poems were (obviously) not originally conceived as a set, their assimilation in the Fourteenth allows significant potential for both artist and listener to imbue new meanings based on their juxtapositions. Of significance here is the way in which the music confirms or denies any sense of collective narrative; the extent to which movements and movement groups relate to one another is fundamental to any large-scale symphonism.

First, however, it is important to consider the ramifications of a series of independently conceived poems upon any overall unity. The most apparent musical manifestation of this comes in the lack of specific thematic cross-connections between movements (or even groups of movements). In fact, the only direct repetition between multiple movements involves the restatement of opening material in 'The Poet's Death'. There is an additional resonance to the first movement at end of 'The Suicide', which makes oblique reference to the opening's G minor/B^b major sonority: see Example 9.2.

⁷ For instance, Hakobian links movement groups to the requiem mass in the form i–ii (Requiem/Kyrie); iii–vi (Sequentia); vii (Offertorium); vii–ix (Sanctus/Benedictus); x (Agnus Dei); xi (Libera Me): see Hakobian, 1997:191ff.

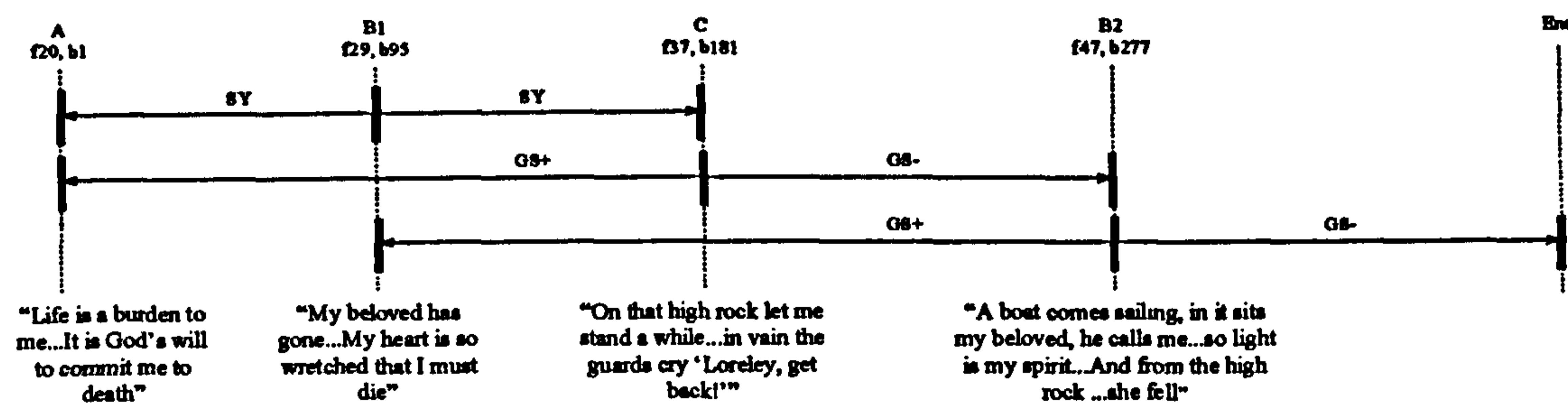
Example 9.2 Symphony No.14 – Thematic Connections**Symphony No.14 (i & x) - Opening Theme****Symphony No.14 (iv) - Closing Cadence**

In the absence of other specific links, these connections take on structural significance, and it is interesting that ‘The Suicide’ begins at GS- relative to ‘De Profundis’ and ‘The Poet’s Death’. This relationship also serves to highlight a poetic connection between these movements: after the relative positivity (and major tonality) of ‘O Delvig, Delvig!’, the restatement of material from ‘De Profundis’ in ‘The Poet’s Death’ returns the listener to the darker sonority of the opening soundworld. Any sense of hope in the power of creativity is short-lived.

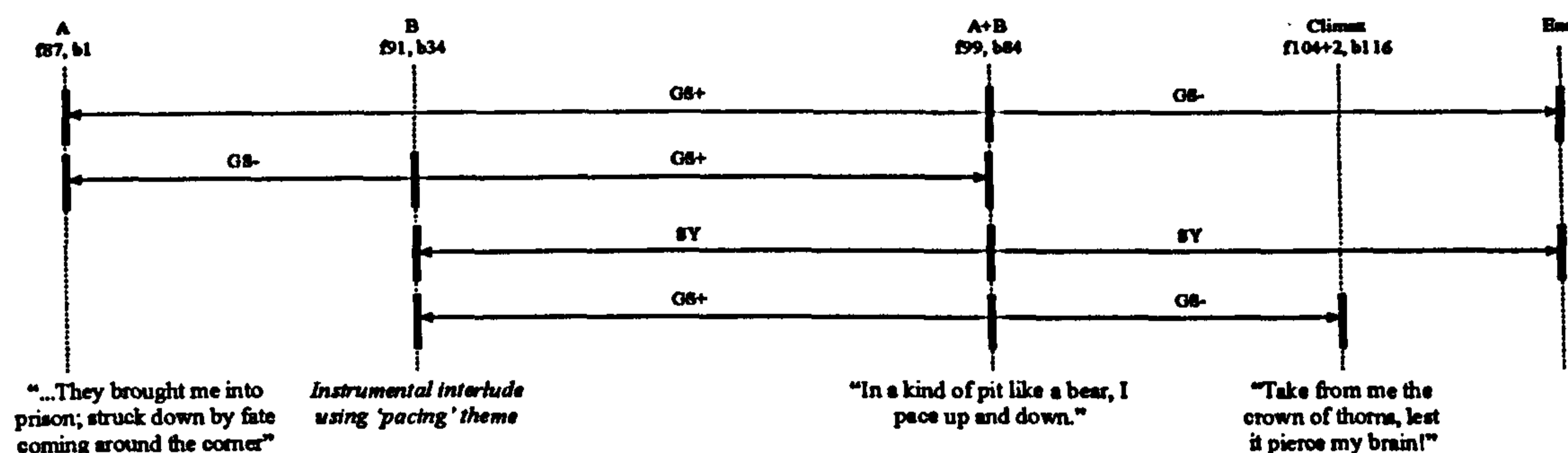
The close relationship between text and music is, of course, crucial in the Fourteenth, with each poem playing a vital role in the evolution of that movement. In ‘Loreley’, for instance, there are four main vocal sections, each defining a different stage in the narrative: Loreley’s misery is introduced; it is because her lover has gone; she commits suicide; she is dead. As shown in Example 9.3, the onsets of each of these sections form cumulative proportions across the movement, reflecting the gradual unfolding of the narrative.

Example 9.3 Symphony No.14 (iii & vii) – Content-Specific Forms

Symphony No.14 (iii) – 'Loreley'



Symphony No.14 (vii) – 'At the Santé Jail'



In particular, there is a thematic link between figures 29 and 47, which both employ the same melodic line in their reference to Loreley's lover. These are termed B1 and B2 in the overall form; the GS+ link between them is of particular importance. However, the textural setting for these references differs significantly. The first mention is in the context of Loreley's anguish, and is thus presented over the fraught and unstable accompaniment of the opening section. However, when this theme returns at figure 47, her anguish is relieved as she takes her life; the theme is recast here with new clarity and simplicity in a tonally stable E^b major.

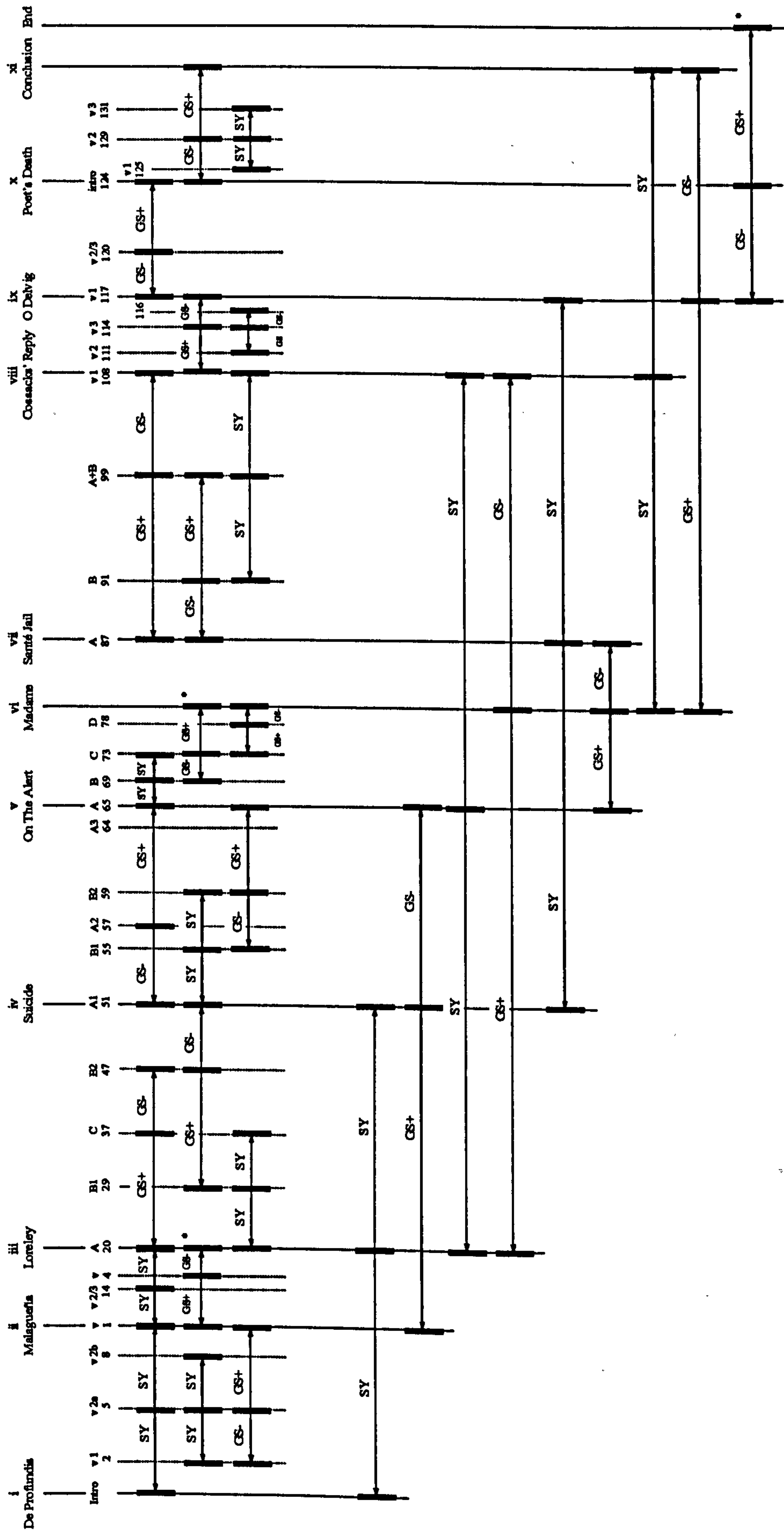
By contrast, 'At the Santé Jail' unfolds with a proportional scheme that reflects the differing textual priorities of this poem. Here, two ideas – one vocal, one instrumental – are in initial opposition. Figure 99 synthesises elements, as the prisoner explains the programmatic significance of the previous instrumental section: he is 'pacing up and down'. As such, this moment is pivotal in understanding how different elements fit together in this movement, and, as shown in Example 9.3, this is

reflected not only through its GS+ placement, but also in its axial role for all other proportions. Further, the placement of the climax is related to textual content, falling during the line, 'Take from me the crown of thorns, lest it pierce my brain!' Again, this is distributed around the pivotal figure-99 synthesis point.

There is a clear link, then, between the textual content of poems and their consequent musical setting. Importantly, this link is not just one of word painting (although that is certainly an aspect), but has structural consequences: the direction of each poem controls the unfolding of the music, meaning that each movement is necessarily specific to its particular text in formal organisation. That each poem is so diverse in both form and content therefore renders each song thoroughly distinct in formal (and hence proportional) evolution. But as shown in Example 9.4, not only does each song unfold with a unique proportional plan, but each movement successively unfolds within a dynamic system of cumulative proportions.⁸ There is no background proportional balance here as in other symphonies, but rather a succession of local, cumulative proportional links between movements, again differentiating this work from its predecessors. Structural disintegration, and its consequent move towards song-cycle form, is therefore strongly implied in the background organisation: this feature no doubt contributed to Shostakovich's indecision (and, indeed, to subsequent critics' concerns) over the symphonic designation of the work.

⁸ Intra-movement labels such as A or B in Example 9.4 exist solely with respect to the movement in which they appear; they do not delineate inter-movement thematic relationships.

Example 9.4 Symphony No.14 – Intra-movement Forms; Inter-movement Links



However, Shostakovich was clear on one issue, as he stated to Glikman: 'While the choice of poems may appear to be random, it seems to me that the music gives them a unity' (Glikman, 2001:160). But just what is this unity, or rather, from where does it derive? Whilst the dynamic layout of Example 9.4 explains a degree of connective energy between movements, it does not imply any sense of wholeness, for this proportional scheme has no logical point of conclusion. And neither is self-containment and completion a thematic issue, as previously observed, nor is it a formal one, given the programmatic autonomy of each individual movement. Instead, this sense derives, at least in part, from its novel soundworld.

Timbral Textures and Textural Timbres

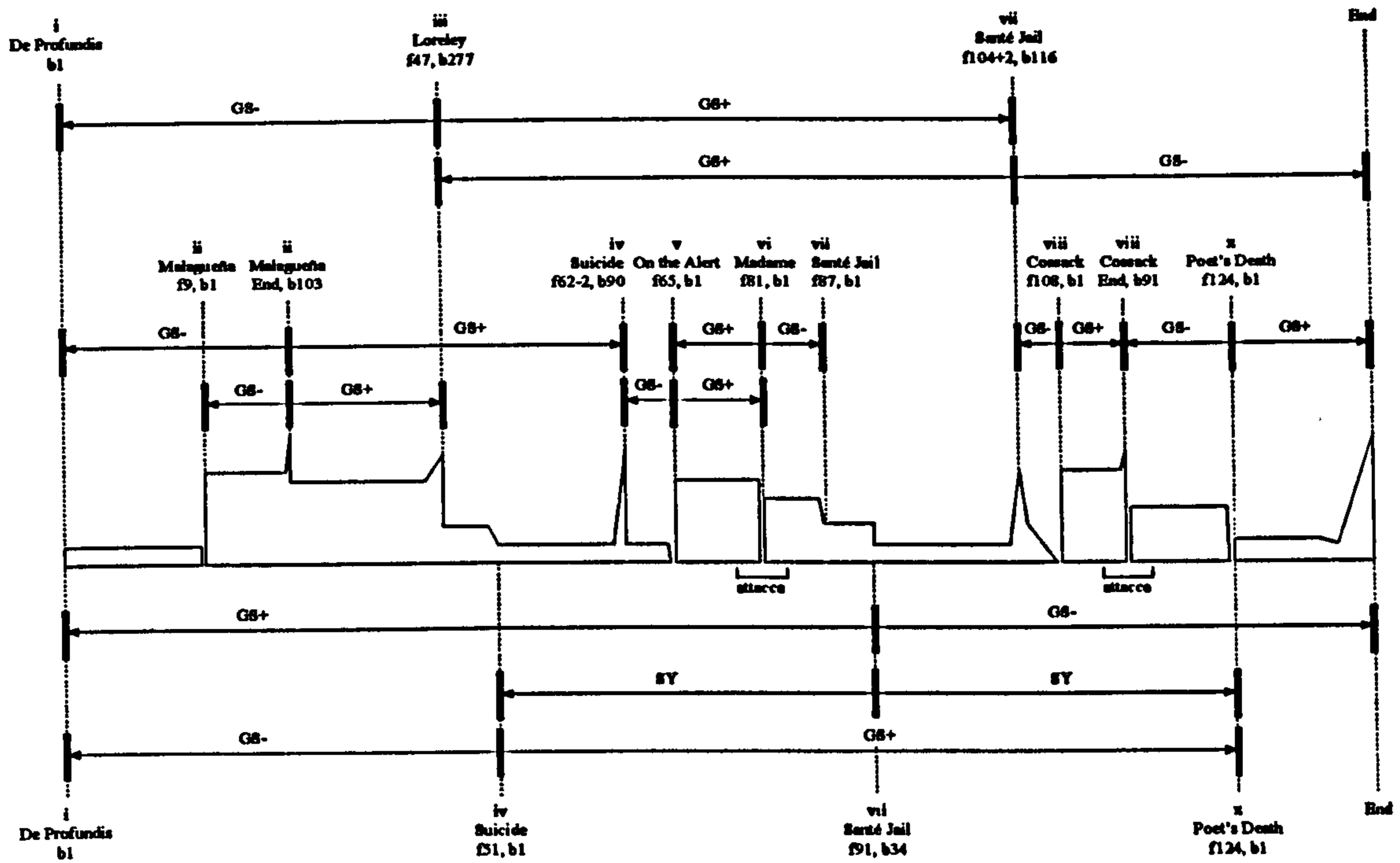
The Fourteenth makes a concerted move into the realm of chamber music with its intimate orchestration and (solo) vocal immediacy. This peculiarity is enough to create a degree of continuity within the work, particularly given the recurrence of certain gestures, such as the similar endings of the second and eleventh movements, or the tubular bells in 'Loreley' and 'The Suicide'. And another point of continuity involves the textural simplicity that so often prevails. As such, horizontal textures composed sometimes of just two lines (or, on occasion, even one) create not only a new simplicity in the amount of information presented, but also a particular soundworld in which introversion rather than extroversion prevails. Of course, this technique is by no means new to Shostakovich, but it is used here with such consistency that it is defining of the work, creating a unity that fuses aspects of texture and timbre into a characteristic sound.

Further, this textural thinning impacts upon the projection of harmony, as inner voices – which traditionally carry a harmonic function – are often removed. This results in a symphony in which tonality is regularly undermined, as harmonies are not brazenly asserted, but subtly suggested. The consequent sparsity of sound, and its consistently dark ambience, is a vivid (and logical) projection of the subject matter exposed, allowing moments of tonal clarity and textural fullness such as ‘O Delvig Delvig!’ to break through the icy surface with confident independence. The structural gravitas of such moments is given heightened significance, then, with ‘O Delvig Delvig!’, for instance, marking both a moment of hope in its textual content, and also the onset of section five in Example 9.1.⁹

This is not to say that the symphony is without timbral change. As shown in Example 9.5, principal peaks (shown in the upper part of the diagram) and troughs (shown below) both employ independent proportional schemes in their distribution across the movement. As such, climaxes in the third and seventh movements create an overall background balance, within which local fluctuations are enclosed. Also of importance is the GS+ placement of the figure-91 instrumental theme in ‘At the Santé Jail’. This is a moment of distinction within the work as a whole, functioning as by far the longest (and, initially, quietest) instrumental episode. Its GS+ placement not only serves to emphasise its abnormality, but also acts as a pivot for other climactic troughs.

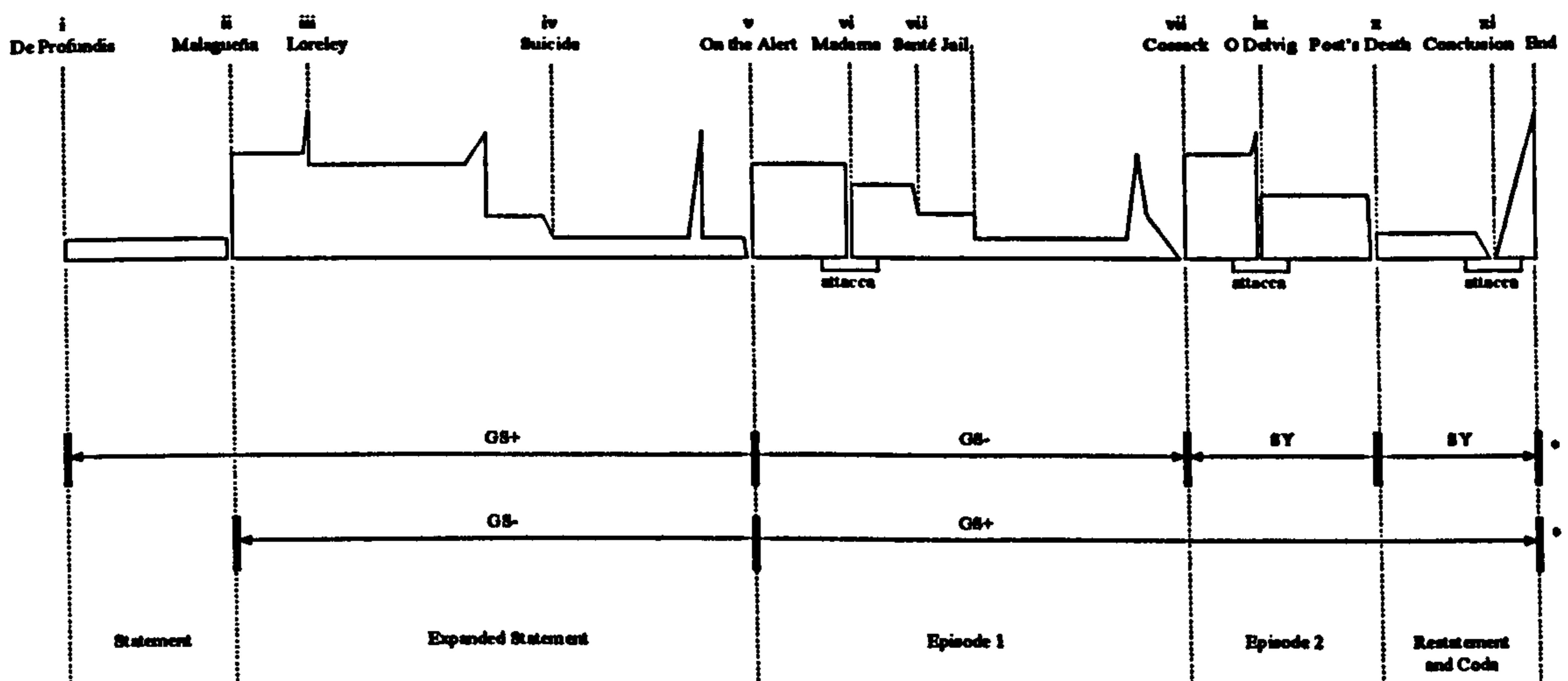
⁹ Other examples include the tonal clarity of figure 47 in ‘Loreley’, or figure 76 in ‘On the Alert’.

Example 9.5 Symphony No.14 – Global Climactic Shape



Analysis of the climactic contour also reveals the extent to which movements segue into one another. As such, five independent blocks of sound emerge, which, as shown in Example 9.6, unfold proportionally.¹⁰

Example 9.6 Symphony No.14 – Segue Groups



¹⁰ Although, interestingly, the accuracy margin here is regularly lower. This marks a significant deviation from Shostakovich's norm in the precision of background points of division, and will be taken up later in the chapter.

Interestingly, this subdivision (one of the most immediate in the aural experience) largely contradicts both the poetic subdivisions of Example 9.1 and Shostakovich's own groupings in his preface. Clearly, climactic contour and segue groups are designed to undermine other musical elements, reinforcing the difference and dynamic between parametric levels.

Timbrally and texturally, and hence stylistically too, the Fourteenth is unified not only by a continuously dark soundworld, but also by its climactic contour and the proportional schemes that distribute essential moments in that evolution. However, this timbral unity is neither all-encompassing (in fact, it directly contradicts certain other parameters), nor especially symphonic when considered in isolation. Clearly symphonic aspects of this work must also lie in other spheres; in order to trace their origin and function, it is necessary to consider events at a local level.


Diversified Unity: Pitch Content in 'De Profundis'

One of the most immediate elements in Symphony No. 14 (i) – and indeed the work as a whole – is its consistent use of a particular intervallic cell.¹¹ As shown in Example 9.7, this shape has two important resonances: first with the *Dies Irae* melody, significant given the subject-matter of the Fourteenth, and second with Musorgsky's *Songs and Dances of Death*, a work Shostakovich pointed to as an inspiration for his symphony (Glikman, 2001:160). Of particular importance is the ubiquity of this cell throughout 'De Profundis': almost all of this movement can be reduced in some way to this intervallic shape.

¹¹ Some of the analysis from this and the following subsection is based on my 2003 MA thesis entitled *The Diversification of a Unity: Shostakovich's Symphony 14*.

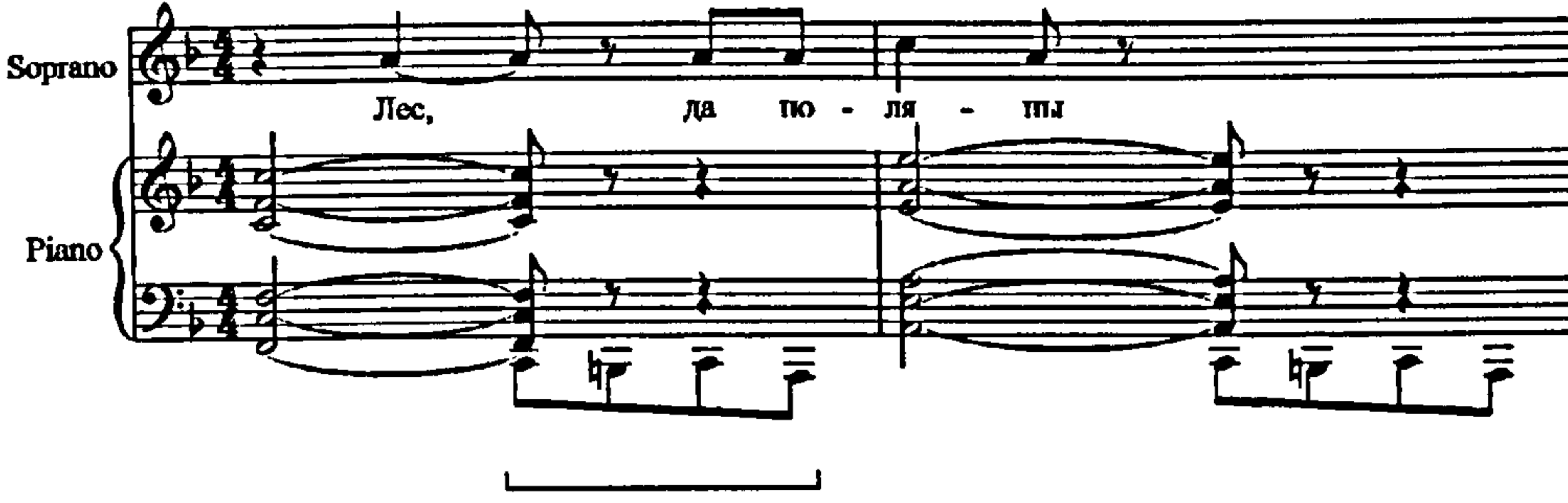
Example 9.7 Symphony No.14 (i) – Derivation of Primary Cell

Opening of standard *Dies Irae* melody



Di - es i - rae

'Трепак,' from *Songs and Dances of Death* Musorgsky




Soprano

Лес, да по - ля - тил

Piano

'De Profundis' from Symphony No.14 Shostakovich



As shown in Example 9.8 overleaf, the introduction can be understood as a combination of several features. First, it is clearly derived from the *Dies Irae* cell, such that bars 1, 4, 8 and 10 each state this shape at different levels of transposition. Further, these successive presentations are linked by manipulations of the cell, including the reordering of its components. As such, the entire opening phrase grows gradually out of the *Dies Irae* cell, creating a single organic line. However, as shown, the way in which this development occurs creates a second means of organisation: the complete line constitutes two dodecaphonic rows. Whilst this process by no means constitutes serialism, it corresponds with Shostakovich's late adoption of non-strict dodecaphony, repeating pitch classes freely, and allowing the chromatic collection to be revealed gradually rather than stated as an explicit self-contained formation. Further, whilst correspondences clearly exist between the two rows, this results from the intervallic manipulation of the *Dies Irae* cell, rather than a specific serial process.

Example 9.8 Symphony No.14 (i) – Opening Material

Adagio ♩ = 126

pp

Original

Cellular Derivation

Resultant Rows

Row 1

Row 2

(no E in Row 2)

Tonal Implications

①

V

Example 9.8 also reveals a third level of organisation through the tonal implications that persist despite intervallic and dodecaphonic manipulation. As shown, points of stability are ambiguously cast in minor-third pairs – at the opening, for instance, it is possible to hear the phrase as rooted either in B^b major or G minor.¹² But those pairs move through a cycle of major-third related centres – G/B^b–B/D–E^b/G^b– allowing successive entries of the cell to be presented at one of these three levels of transposition. This cyclic harmonic organisation strikes a balance between motion – there is a continuous evolution of stabilities – and stasis – those stabilities offer a three-part, SY partitioning of the octave. Cyclic motion is, in theory, an endless process, and so lacks an ultimate directionality; its use in a work that is in many respects a song *cycle* is a significant projection of that principle.¹³ However, the introduction finally breaks this cycle through its setting upon D, possibly implying a dominant with respect to the opening (also implied) G minor. There is a synthesis from this early stage, then, between three different systems of pitch organisation:

- (i) intervallic manipulation of the *Dies Irae* cell;
- (ii) resultant dodecaphonic collections;
- (iii) motion towards points of tonal stability.

No single system is in complete control (tonality is implied; dodecaphony is non-strict; cellular reworking does not fully create momentum), but rather the interaction of all three offers a sense of diversified unity.

As the music moves into the first vocal entry at figure 2, this three-part interaction is maintained. Example 9.9 shows the continued importance of the *Dies*

¹² This is an important Russian technique: see Taruskin, 1997:133ff.

¹³ Another example of a middleground harmonic scheme that moves in a major-third cycle can be seen in Symphony No.5 (i) during the second subject: see Hussey, 2003:16. Also, motion via cycles of thirds was seen in Chapter 2 in the background key schemes of Symphonies No.1, 6, and 9.

Irae motif, which now forms the basis of both solo and accompanimental lines. Total dodecaphony is not used for this phrase, allowing a degree of modality to penetrate the surface soundworld, through the absence of particular pitch classes. But again there remains an underlying tonality that moves between middleground points of stability (in this case from B minor to D^b) in order to contain lower level intervallic and pitch-class manipulation. Also significant is that these tonal centres are stabilised through tritone resolution – a feature defining of Shostakovich’s modal language. Here, the resolution into bar 19, for instance, tonicises the D^b through standard tritone-to-third voice leading ($C-G^b$ to D^b-F).

Example 9.9 Symphony No.14 (i) – Beginning of Verse One

[2] *pp ma maestoso* [3]
 Сто го-ря-чо-в-то-б-лен-ных сном ве-ко-вым ус-ну-ли глу-бо-ко под су-хой зем-ле-ю.
 13 *pp* *p espress*

Cellular Derivation

Resultant Collection
 Near-complete chromatic Absent pitch classes

Tonal Implication

It is not until the second verse that the listener experiences something new intervallically. As shown in Example 9.10, along with an accompaniment figure that continues to explore the *Dies Irae* cell, a new focus upon the interval of a fourth is introduced in the vocal line. This therefore contrasts with the previous third- and sixth-based material of the primary motif. Its first entry falls near to GS+ within the movement, and is used for the climax of the poem: 'Here crosses will be erected for them, so that people will not forget them'.

Example 9.10 Symphony No.14 (i) – New Intervallic Content

45

Intervallic Collections as a Background Dialectic

This distinction between collections based on in-filled thirds (as derived from the *Dies Irae*) and those concentrating instead upon open fourths is an important feature of the symphony as a whole. As Hakobian observes, many of the collections used in the Fourteenth can be categorised in this way (Hakobian 2004:176ff), and as the work unfolds certain movements tend to develop a stronger reliance upon one or the other of these options. This observation leads him to conclude that,

Generally speaking, [fourth-based rows] are connected with the topoi of cold indifference, of monstrosity, and of the meaninglessness of

death, and [third-based rows] with the topoi of living human emotions:

grief, sorrow, compassion.

(Hakobian 2004:178)

The opposition of interval types offers not only a connection between musical and poetic content, but it also has a structural significance. Example 9.11 transcribes several passages from movements two to four, revealing an unambiguous bias in each case to either third- or fourth-based collections.

Example 9.11 Symphony No.14 (ii–iv) – Isolation of Interval Types

Symphony No.14 (ii) 'Malaguña' - Fourth-based Collection

10

Смерть при-шла!

Symphony No.14 (iii) 'Loreley' - Third-based Collection for Recitative

Кбе-ло-ку-ройкол - ду-ньо изпри - ройн-ско-го кра-я шли муж - чи-нытол-пой,отлюб - ви у - ми - ра-я.

Symphony No.14 (iii) 'Loreley' - Fourth-based Collection for Arioso

32

Да - же вид мой вну - ша - ет мне мы - сли о смер - ти.

Symphony No.14 (iv) 'The Suicide' - Third-based Collection

31

Adagio ♩ = 160 *pp*

Три ли-ли-и, три ли-ли-и Ли-ли-и три намо-ги-ле мо-ей без крес-та,

In the third movement, this process is extended by subdividing collections internally according to their textual (and textural) arrangement, with third-based formations used primarily for recitative passages, but arioso sections more often employing fourths.

As the symphony continues, a new direction in the treatment of differing interval collections unfolds. As shown in Example 9.12, the fifth movement initiates a phase of simultaneous presentation of interval types.

Example 9.12 Symphony No.14 – Grouping of Movements by Interval Type

	Third-based Collections	Fourth-based Collections	Simultaneous Collections
I. Opposition	i. 'De Profundis' iii. 'Loreley' (recitative elements) iv. 'The Suicide'	(i. 'De Profundis', in verse 2) ii. 'Malagueña' iii. 'Loreley' (arioso elements)	
II. Development 1			v. 'On the alert' – 3 rd -based vocal, 4 th -based accompaniment vi. 'Look Here, Madam!'
III. Development 2		(vii. 'At the Santé Jail' – f91 episode)	vii. 'At the Santé Jail' viii. 'Cossacks' Reply' – 3 rd -based vocal, 4 th -based accompaniment
IV. Resolution	x. 'The Poet's Death'		(ix. 'O Delvig, Delvig!' – tonal implications of 3 rd and 4 th) xi. 'Conclusion' – simultaneous duet

In particular, movements five and eight assign collections primarily to either vocal or accompanimental parts, whilst the sixth and seventh movements each fuse previously distinct elements into collections that draw freely from both formations. Within the seventh, however, the instrumental episode of figure 91 returns to fourth-based collections, providing a degree of local opposition. So, whilst movements one to four set up a dialectical opposition between their interval collections, the fifth to eighth

explore potential means of interaction, organised into two symmetrically-conceived stages. As such, this phase develops earlier ideas by fusing opposites.

From the ninth movement, a final stage occurs in the evolution of this intervallic dialectic – one that offers three different forms of resolution. First, the new tonal clarity of ‘O Delvig, Delvig!’ initially subsumes any potential focus upon isolated interval types, generating fusion through a common higher function: both thirds and fourths¹⁴ are crucial in the projection of triadic tonality. This resolution of intervallic opposition is short-lived, however, as ‘The Poet’s Death’ instead returns to the third-based soundworld (and precise restatement of material) of ‘De Profundis’. This cyclic link, complete with its consequent intervallic restatement, is also significant in its lack of a central digression to fourth-based formations. In this respect it differs from ‘De Profundis’, asserting the structural superiority of thirds over fourths as a means of resolution. But there is one final part of this resolution process: in ‘Conclusion’, Shostakovich once again synthesises both intervallic groups. Further, the vocal material here is presented in the form of a duet between both soprano and bass – the only time both soloists are heard simultaneously in the entire work. As shown in Example 9.13, this texture allows the combined presentation of collections not only in the accompaniment (through the careful voicing of chords), but also within the vocal lines, with the soprano focusing on in-filled thirds, and the bass on fourths.

¹⁴ Or, rather, fifths as the inversion of fourths. Shostakovich explores this link earlier in the work; at the opening of ‘On the Alert’, for instance, initial fifths are clearly linked to the fourth-based soundworld of previous material, as opposed to those third-based elements.

Example 9.13 Symphony No.14 (xi) – Final Synthesis of Collections

133
Moderato ♩ = 69

Soprano: Все - влас - тна
Basso: смрть. О - на на стра - жс и в счасьт - я час.

The initial dialectic of interval types presented in the first movement therefore serves as a germ cell for the entire work. This opposition is explored in different ways and on different levels, akin to the Russian Doll effect, as the symphony unfolds. In the absence of regularly returning thematic material between movements, this process creates a degree of unity across the work as a whole, functioning in part as a substitute for the thematic or tonal dialectic that might be expected of the symphonic genre. In particular, the four-stage subdivision of Example 9.12 takes on a familiar shape: a large-scale exposition of opposition; an interim (two-stage) process of development through different types of interaction; a final phase of resolution that explores various forms of completion. So whilst the work is not specifically a large-scale sonata form, it seems to borrow from that principle, allowing a degree of traditional thinking to underpin the progressiveness of the eleven-movement form. Further, this four-part form intersects both with the poetic subdivision of Example

9.1, and with Shostakovich's subdivision of the symphony, quoted earlier. Whilst it is unclear whether Shostakovich was referring to the intervallic structure, there is a similarity here that is strikingly precise.

Dodecaphony and Serial Process

Dodecaphony is an important aspect of the Fourteenth Symphony, and one that characterises its musical language as part of Shostakovich's late style. The chromatic collection is highly pervasive across the work, not just as a melodic construction (although certainly it is in this guise that it functions most regularly), but also in harmonic (see, for instance, figure 136), transitional (figure 40), vertical (figure 61), and climactic (around figure 46) structures. In fact, there are too many examples to list here. However, as observed in Chapter 6, Shostakovich's use of 12-note chromaticism rarely constitutes the sole means of pitch organisation, but is more often synthesised with other systems or associations. So, just as Example 9.8 revealed a dodecaphonic line that results from intervallic manipulation, a similar technique frequently prevails elsewhere in the symphony. The first three extracts in Example 9.11 above, for instance, all use 12-note rows, but each retain their respective dependence upon third- or fourth-based interval content.

Dodecaphony thus offers Shostakovich a particular soundworld – a sonority defined by 12-note chromaticism rather than any other modal collection. But this does not mean that rows are without structural significance: consider, for instance, the returning xylophone ritornello in 'On the Alert', wherein each presentation retains the same 12-note row, or the returning 11-note row of movement eight.¹⁵ However, in

¹⁵ Despite its 11-note construction, this row operates in a similar way to the complete chromatic here.

such examples the row takes on a thematic role just like any other non-dodecaphonic unit; their chromatic constructions again function simply to characterise their soundworlds. As such, dodecaphonic organisation is of secondary importance, and supplementary to structural function: when rows return, it is because the entire *theme* has returned. Further, with the exception of the large-scale restatement of 'De Profundis' in 'The Poet's Death', rows are not restated across movements, reinforcing the subdivision of the Fourteenth into 11 individual songs.

Nevertheless, there are moments when Shostakovich does engage with serial process; at these points his dodecaphonic language becomes functional as well as aesthetic. In 'At the Santé Jail', for instance, the instrumental interlude of figure 91 is a fugue, based upon the transformation of a series of 12-note rows, the opening of which is shown in Example 9.14. The structural organisation of this passage (and not just its surface soundworld) therefore results from the transposition of rows, revealing more clearly the influence of serial techniques than previous examples.¹⁶ However, even here, such manipulation has no long-lasting consequences: aside from the brief return of the theme at figure 99, these rows are not used again either in this movement or anywhere else in the symphony. As such, they remain a local feature, linked with a particular part of the text – this is the 'pacing' theme, seen in Example 9.3. Thus dodecaphony is once again isolated as a foreground sonority, and does not perform any higher-level structural function.

¹⁶ There are several other instances of this process: see (amongst others) figures 10–12, 48, or 87.

Example 9.14 Symphony No.14 (vii) – Serial Transformation

34 [91] Row 1 at P^0
 pp

[92] Row 1 at P^7
 pp

Row 2 at P^0

Row 3 at P^0

[93] Row 1 at P^6
 pp

Row 2 at P^7

Row 4 at P^0

Row 2 at P^6

Row 3 at P^7

Main Theme from [87]

Whether strictly serial, or freely dodecaphonic, the complete chromatic collection functions with a high degree of localisation. The only structural significance of rows is their continued emphasis upon intervals either of thirds or fourths: a feature again noted by Hakobian (Hakobian, 2004:176ff). But this is a feature long since established in the work, and one that additionally operates in the absence of dodecaphony. As such, it is this intervallic dialectic that is essential, with total chromaticism just another method in the creation of opposition. Nevertheless,

Tonal Organisation

The Fourteenth Symphony, on the whole, is tonally conceived music. So whilst it embraces more modernist aspects of pitch organisation than earlier works, it remains grounded in an ultimate hierarchy of pitch content. However, this tonality is far from consistent and clear in its control of local events. Returning to Example 9.8 above, it was established that beneath the surface-based cellular manipulation and dodecaphony of 'De Profundis' lies a tonal organisation. To summarise, each point of stability is cast ambiguously in minor-third related pairs, and these pairs evolve via a major-third cycle: $G/B^b - E^b/G^b - B/D - G/B^b - E^b/G^b$. By the end of the phrase, the focus upon D, akin to a structural dominant, breaks this cycle and allows a retrospective re-prioritisation of G over B^b . Indeed, it is in G minor that the movement as a whole ends, assigning eventual functional superiority to this key.

As shown in the upper part of Example 9.16, these major-third related points of centricity are composed out over the course of 'De Profundis' such that each vocal entry begins in either one of the primary tonics – G or B^b – or in one of the major-third-related areas of E^b and B.¹⁷ The distribution of these entries creates a stable background balance that hinges in particular upon the SY placement of verse 2.

¹⁷ As an additional connection, the initial B^b of figure 6 could be heard either as a tonic, or as the dominant to the voice's E^b in the following bar; both centres are shown in Example 9.16.

Example 9.16 Symphony No.14 (i) – Tonal and Formal Interaction

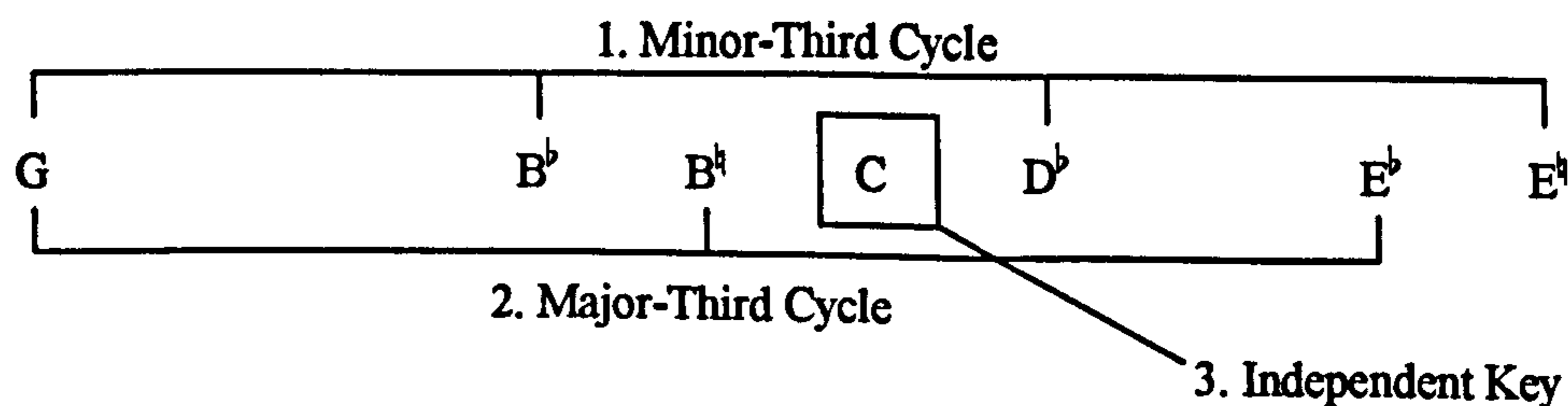
Shostakovich places varied repetitions of the opening instrumental theme between vocal entries. These unfold more dynamically in terms of their formal distribution (see the lower part of Example 9.16), and expand upon the initial G/B^b ambiguity by successively moving through the minor-third cycle: $G/B^b-B^b/D^b-E-G$.¹⁸ Tonal motion is therefore set up through the simultaneous evolution of two harmonic cycles: the first through major thirds in the voice, the second through minor thirds in the accompaniment. The cyclic implications of the opening bars are thus composed out throughout the first movement, and again offer non-focused motion due to the potential endlessness of cyclic evolution. Yet both cycles have one centre in common – G – generating a degree of hierarchical dominance; the coincidence of both cycles upon this tonic at the end of the movement brings about tonal closure.

¹⁸ Whilst the fourth instrumental entry is set over a D pedal at figure 7, this centre clearly functions as the dominant of G . It also plays upon the B/D ambiguity of the opening from bar 54.

Another important tonal centre in 'De Profundis' is the C major that is used prior to figure 6 (see Example 9.17); this constitutes one of the most stable tonal centres of the movement. Yet C belongs neither to the major-third nor minor-third cycles, and so functions as a point of alternative resolution outside the main tonal argument.

Example 9.19 Symphony No.14 (i) – C major as Independent, Unexpected Tonic

So whilst the tonal scheme of 'De Profundis' may at first appear random through its multiplicity of key centres – G–B^b–B[♯]–C–D^b–E^b–E[♯] –¹⁹ these can be separated into 3 distinct bands: (1.) minor-third relations to G; (2.) major-third relations to G; (3.) C major as independent key.



¹⁹ Not to mention the dominant-like Ds and F[♯] that act as additional pedal points.

The cyclic relationships of the first 12 bars are thus projected into the tonal scheme of the movement. In fact, these seven tonal centres constitute the main points of stability not only in 'De Profundis', but also throughout the entire symphony.

The constant cellular manipulation and dodecaphonic processes of surface activity throughout the Fourteenth Symphony result in a linearity that creates consistent tonal ambiguity. Consider, for instance, the opening of the third movement, 'Loreley', which does not reach a point of tonal centricity until figure 27, over one minute into the movement, and even here it is only fleeting.²⁰ As such, when points of tonal stability do come about, they function with heightened significance both aurally and structurally – a feature discussed in some detail in Chapter 4. As shown in Example 9.18, these moments of tonal centricity directly employ those keys used in its first movement, 'De Profundis'. Further, these centres can once again be separated both harmonically and proportionally into groups: the G–B^b–D^b–E minor-third cycle, the G–B–E^b major third cycle, and C, as an independent interjection.²¹

Example 9.18 also reveals a further subdivision of the minor-third cycle into two sub-groups: proportions that connect the main centres of G and B^b, and those that contain D^b and E. This split, whilst it may appear arbitrary, is again related to 'De Profundis', wherein the primary tonal ambiguity concerns the vital G–B^b pair; D^b and E are introduced later as extensions to that cycle.

²⁰ In fact, the first consistently stable tonality is not achieved until figure 47, some 4½ minutes into the movement.

²¹ For ease of visualisation, the staff containing the tonal scheme has been reproduced twice. This allows the independence of proportional schemes allotted to each group to be viewed more clearly.

Regarding the first group of G and B^b, this represents the primary tonal dialectic of the symphony, and is proportionally focused upon the axial function of the B^b for the instrumental fugato of figure 91.²² The opposition of G and B^b persists over the course of the work, as neither element obtains long-lasting stability; the work finishes in neither of these regions. Instead, it is left to the tenth movement, 'The Poet's Death', to offer a sense of tonal return. But even here, Shostakovich presents only a restatement of that dialectic, not its resolution: the opening of 'The Poet's Death' is comparable to the beginning of 'De Profundis', and there is a similar link between figures 8 and 133. The cyclic implications of this process are significant given the formal ambiguity of this work: a feature that reinforces a song-cycle (rather than symphonic) conception. This understanding leaves the eleventh movement to function as an epilogue to the main tonal argument, with recourse to neither G nor B^b. However, as noted earlier, the programmatic subtext offers a rationale for this organisation, with its eventual negative resignation to death. The musical embodiment of this idea in the form of an unresolved tonal ambiguity is thus comprehensible.

The second group of keys – D^b and E – is used more sparingly than the main tonal dialectic between G and B^b, and has its own proportional distribution. As shown in the second part of Example 9.18, these keys are focused in particular upon the SY placement of figure 76. Importantly, D^b and E are duplexes respectively to G and B^b, and yet, paradoxically, these keys are used for some of the most stable tonal moments in the entire work – the end of 'Loreley' and the whole of 'O Delvig, Delvig!'. This seems a deliberate play upon Shostakovich's normal use of duplex tonal regions, such

²² As mentioned earlier, this is a memorable textural moment in the work, and is consolidated here through the placement of a crucial axis point in the tonal scheme.

that it is the duplex tonic, and not the primary tonic, that is given stable precedence. But it is precisely their externality from G and B^b that allows this stability without compromising the large-scale tonal dialectic of these primary keys. Consider, for instance, the implications of setting such a concerted tonal movement as 'O Delvig, Delvig!' in G major: this would surely promote this key as superior to B^b, resolving the carefully controlled ambiguity elsewhere. Also of importance is the significance of D^b at the very end of the symphony. Whilst the final chord is fundamentally a non-tonal, eight-note cluster, it employs D^b in its upper voice and F in the double basses, perhaps hinting at an underlying reliance upon D^b first inversion (as duplex to G) at the very end.

The third part of Example 9.18 charts the distribution of the major-third related keys of G, B and E^b, as derived from the opening of the work. These centres are used sparingly and as points of contrast; they are proportionally focused upon the G major of 'Look Here, Madam!' as an axis point. The B minor at the opening of the final movement is particularly important, following the focus upon G and B^b in 'The Poet's Death'. This move is directly comparable to the first vocal entry in 'De Profundis', wherein the initial G–B^b ambiguity of the instrumental introduction eventually gives way to B minor at figure 2. Again, procedures set up in the first movement continue to be reworked over longer durations of the symphony.

Finally, the fourth part of Example 9.18 observes the placement of C as a stable interjection within the major- and minor-third related key scheme. Aside from the consistent use of C major in 'Malagueña', this key appears more sparsely than other tonal regions, and only for briefer durations.²³ Further, its appearances often correspond with moments of textual resolution, such as for the death of the soldier at

²³ In 'The Suicide', it is offered only as an initial hint and never stabilised as it is elsewhere.

the end of 'On the Alert', or the end of the day in the conclusion of 'At the Santé Jail', again reinforcing the link between text and music. This alternative tonic is therefore disruptive within the main ambiguity associated with G and B^b, and their minor- and major-third extensions. It is proportioned according to its own independent distribution scheme.

So, points of tonal centricity in the Fourteenth are largely derived from the middleground keys of its first movement, which, in turn, derive from the introduction: the Russian Doll-like projection of local events imbues a significant sense of unity to the work. Further, these centres adhere to the same separation of elements as seen in 'De Profundis'; cyclical organisation is present not just in the song-cycle implications of the work's form, but also as a tonal phenomenon. The self-containment of proportional schemes used to distribute these groups of keys reflects and reinforces this differentiation. And, the completion of these proportions, which in some cases extend over the entire duration of the symphony, further integrates potentially disparate elements of the work into a larger symphonic whole.

An Un-Symphonic Symphony? – Zeniths and Zeitgeists

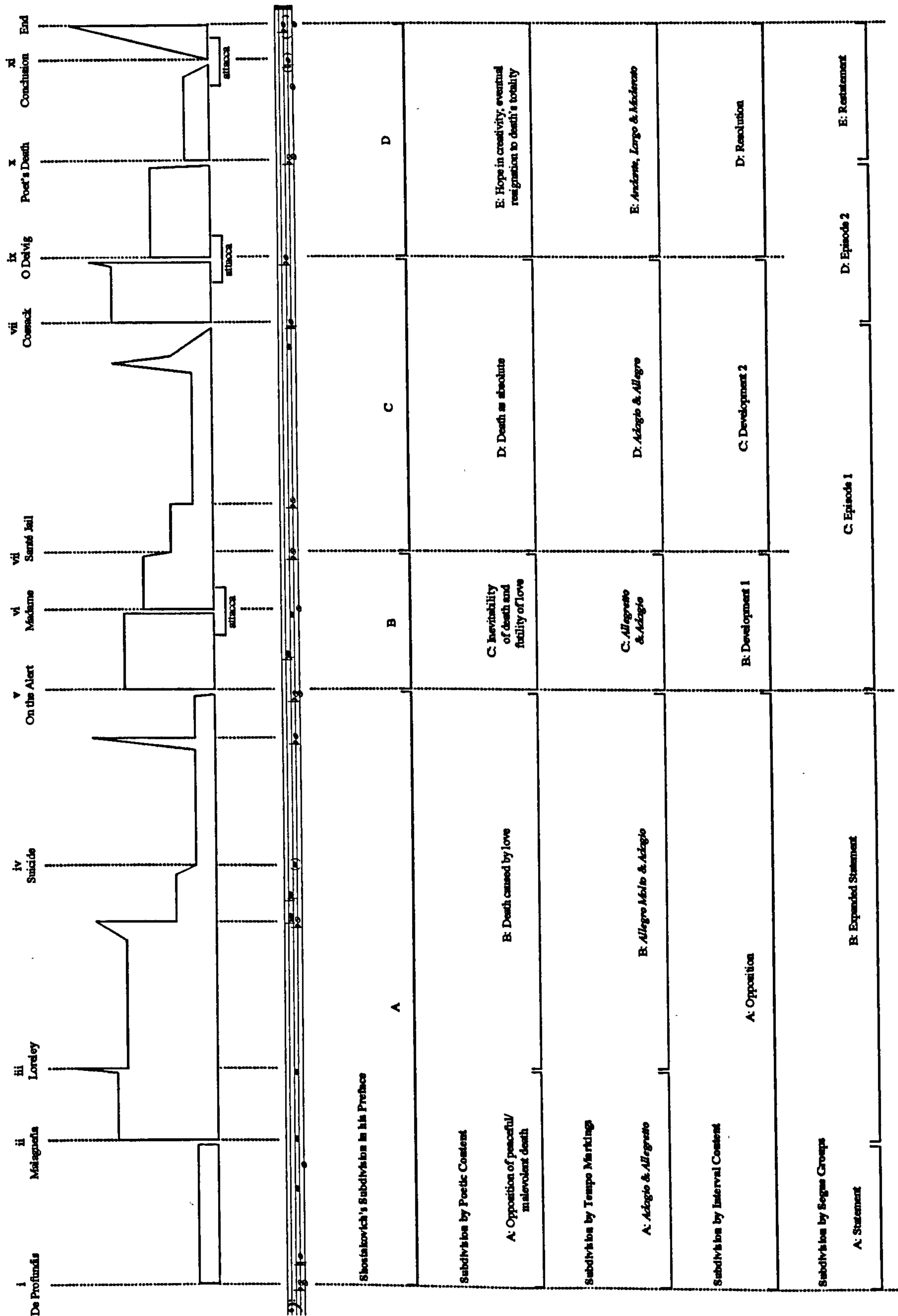
Pitch organisation is an essential dynamic force in the Fourteenth. And given the self-contained nature of each individual song, both poetically and formally, the diversification of pitch content from 'De Profundis' also acts as the primary tool for long-range integration. Moreover, the opposition of intervallic, dodecaphonic and tonal elements, and the way in which this opposition evolves over the course of the work, contributes significantly towards its inherent symphonism. When combined with the timbral and textural consistencies explored earlier, it becomes clear why

Shostakovich believed that his music unified the potentially disparate poems and, indeed, why he decided upon its symphonic designation. The concepts of a small cellular idea (the *Dies Irae* theme) growing into an entire work, of opposition and synthesis, of a proportionally unfolding climactic scheme, and of an evolving (and proportionally distributed) tonal argument, all point towards Shostakovich's long-established symphonic technique.

Further, the relative independence of each of these parameters conforms closely to the Russian Doll model that is so significant within Shostakovich's symphonies. Each dimension thus unfolds with an independent proportional scheme, yet interacts with other dimensions at crucial moments in the work. Example 9.19 overleaf brings together principal parametric dimensions in order to reveal points of coincidence and, in particular, means of subdivision.

Whilst critics such as Longman have observed that 'attempting to straightjacket the structure into a conventional [four-movement] mould...is not altogether supported by other details of movement linking or musical material' (Longman, 1989:356), most parameters correspond neatly with Shostakovich's four-section subdivision: poetic content, the symmetrical pairings of tempo marks (and hence stylistic content), and the dialectic between third- and fourth-based interval content all unfold remarkably closely with this scheme. In particular, all coincide at the point of division between the fourth and fifth movements – a significant moment in the work given the cadence that ends 'The Suicide', and its cyclic link with the opening: see Example 9.2 above.

Example 9.19 Symphony No.14 – Interconnection of Parametric Dimensions



However, it is interesting that this four-part subdivision – or even just the point of division between ‘The Suicide’ and ‘On the Alert’ – is in no way proportionally distributed with respect to the start and end of the symphony. There is not one proportional link between these sections despite the coincidence of parametric dimensions. As such, this absence contrasts significantly with *all* the other symphonies, which always make use (at least partially) of some form of background proportional distribution. Indeed this is a crucial aspect of Shostakovich’s technique, for the completion of these high-level proportional systems has the capacity to reinforce a sense of totality, and indeed balance, across an entire work. Consequently, the outward differentiation of the Fourteenth, and Shostakovich’s lack of initial commitment to the title ‘Symphony’, is in part borne out through the inward lack of proportional distribution of this four-part background model. In the context of Shostakovich’s norm as elucidated by the present thesis, this is quite un-symphonic.

Further, the segue groupings of the movements undermine this subdivision, as they phase across potentially distinct sections. Given the immediacy of this parameter in the music, the effect of such incongruence is significant. Yet this technique is not alien to Shostakovich, with incongruent soundworlds and movement segues used regularly to undermine formal clarity, as seen in Chapters 2 and 5. In fact, in the Fourteenth, the textual, melodic and formal discontinuities between movements are sufficiently pronounced to offset any disruption caused by *attacca* markings. Instead, the most significant disruption to the four-part model is the constant phasing both of climactic peaks and troughs, and, in particular, of the unfolding tonal scheme. These dimensions each employ independent proportional systems, and they never coincide with the four-section divisions with any axial significance. Again, therefore, the

notion of a background structure that is proportionally balanced is undermined. However, each of these parameters (and in particular the tonal evolution) is balanced in its own terms, as shown in Examples 9.5 and 9.18. So whilst proportionally balanced completion does not occur within the four-part subdivided form, it nonetheless prevails in each of these independent layers.

There is no doubt that the Fourteenth is the most unconventional of Shostakovich's symphonies. Given its novelty of form, the influence of Britten, and the enthusiasm with which Shostakovich described the work – ‘...everything I have written for many years now has been in preparation for it’ (Glikman, 2001:160ff) – one could easily describe the work as some sort of zenith in Shostakovich's symphonic career. This is not to undermine earlier achievements: as self-contained entities, works such as the Eighth or Tenth are arguably more successful in their evolution from antagonism to resolution. Yet in the Fourteenth, Shostakovich created something quite different: a work that is at once intimate and expansive. Its directness of communication has a new level of clarity – partly the result of the text, partly the reduced forces – that offers a sense of connection with its composer. However, it is also a work whose existence can be linked directly with its predecessors, through their shared techniques and aesthetic. The Fourteenth is a symphony because it has large-scale ambition, both in subject matter and musical process. In realising that ambition, Shostakovich drew upon many techniques from his earlier symphonies.

But at the same time this work is different from the other symphonies, and not just in its outward 11-movement construction. Despite his four-part disclaimer-like rationalisation, Shostakovich deliberately challenges this model by breaking down not only its clarity, but also its proportional balance. However, this factor is a logical

extension of the creative process: the work came first, its title decided later. By definition, this implies that Shostakovich did not set out to write a 'Symphony', but rather *found himself writing* a symphony. And this, in turn, implies that he had a clear idea about what a symphony actually is. Therefore, as well as observing its outward differences, it is vital to comprehend the similarities with its predecessors. In this respect, cellular diversification, tonal evolution, proportional distribution, the supportive or disruptive function of soundworld, and, ultimately, the Russian-Doll nesting of structural levels and parametric dimensions define not only this work but his approach to symphonism in general.

Several of Shostakovich's colleagues have affirmed that during the most oppressive Stalinist years Shostakovich 'would very probably not have wanted to make radical changes in his musical language; neither would he have [wanted to] become an avant-garde composer' (quoted in Nikolskaya, 2004:151). The preservation of those techniques listed above, and in particular the retention of a clear background tonality, certainly goes some way in supporting this notion. And yet the Fourteenth is undeniably atypical relative to his earlier symphonies, not just in its partial use of serialism, but primarily in its resolute move away from any archetype model of the symphony.

Further, this conception did not come about overnight; it evolved from the significance and influence of Asafiev's views on symphonism during Shostakovich's formative years. And it may have been reignited as part of the connection observed at the end of the previous chapter, such that the form-content separation of the Fourth is re-established in the Thirteenth. The move to the Fourteenth is therefore a logical one, with content becoming all-controlling relative to an external symphonic model.

Although it cannot be ascertained whether this was Shostakovich's intended direction, *pace* his 'Symphonic Credo' – certainly Britten played a significant additional factor later in Shostakovich's life – one can only imagine in what direction he would have travelled had the Fourth–Thirteenth–Fourteenth connection been realised in the 1930s. For all his earlier public denouncement of modernism, it was unambiguously to this arena that he turned in his later work, surely revealing significant underlying musical affections. Shostakovich is often identified as a representative of the contemporary Russian Zeitgeist – a barometer for outward Soviet acceptability in music. When this Zeitgeist changed to one of greater artistic freedom, Shostakovich, spurred by non-Russian influences, soon explored new possibilities. The manifestation of this change in the Fourteenth thus discloses its significance within Shostakovich's symphonic career.

Chapter 10

Conclusions

– Composer, Performer and Listener Perspectives

The inherent sense of energy in Shostakovich's music is undeniable. This thesis has revealed that energy results not simply from surface phenomena or extra musical connotations: it is situated in every dimension of the music. So while rhythmic ostinati, extrovert orchestrations and lengthy periods of climactic growth certainly contribute, energy is also rooted at deeper structural levels. Local unstable-to-stable voice leading, the way in which material is diversified, middleground and background tonal evolution, the use of form, the proportional distribution of material, and the way in which timbre and climactic contour support or disrupt other parameters all have the capacity to bring about energy within different layers of the music. But, crucially, the coming together of these layers – their Russian Doll-style nesting – controls the overall evolution of energy. What is more, that nesting process is at times highly precise in the projection of a single idea – an intervallic cell, a harmonic progression, a disruptive event – across multiple structural and parametric levels of a work. The integrative potential of these processes is essential to the creation of a single, symphonic argument, and the uniqueness of each work.

The analysis of energy has allowed significant light to be cast upon Shostakovich's highly considered musical language: there are connections and processes here that are often overlooked in favour of surface descriptions and subjective readings. Further, its observation has allowed insight into wider issues of style and context. In particular, the way in which Shostakovich's language evolved at certain moments in his career offers a new perspective upon commonly discussed

themes. A sense of energy is as fundamental a part of Symphony No.1 as it is of No.15, representing its enduring significance. Yet modifications in his compositional technique at different times – the transition between the Fourth and Fifth, or the novelty of the Fourteenth – demonstrate the flexibility with which Shostakovich manipulated and updated his musical language whilst remaining loyal to certain core principles. And there are other possibilities for future investigation that have not been considered here: do the findings of this thesis hold true for other genres such as his string quartets or operas? If so, are there differences in the way energy evolves in these works?

Rather than diversify into these other (extensive) issues, it is important instead to reflect further upon the implications of the thesis as it stands. Of the two primary contributors to energy considered throughout –Yavorskian pitch organisation and proportional impulse – the latter raises the most questions, and warrants significant additional examination. The majority of this chapter will therefore concentrate on this matter, rather than considering any further aspects of harmonic language.

On a purely mathematical level, proportional distribution exists in this music: following the methodology of Chapter 1, the data is reproducible. But my reading of that data, and the assertions that I have subsequently made about the music, entails a series of implications within the semiological tripartition of intention, transmission and perception. First, what do these findings say about the composer? Second, what are the implications for the way in which this music is performed? Third, how, and to what extent, can listeners perceive proportions? Each of these questions could be a thesis in its own right, so what follows only opens up issues, rather than closing them down; more research is needed in these areas. At this stage, this chapter therefore

remains largely speculative, but this speculation is essential in order to provide a theoretical framework within which to contain the empirical findings of the thesis.

Composer Intentions: A Biographical Perspective

The logical place to begin this discussion is by addressing the obvious question: did Shostakovich *intend* to use SY and GS (or, in fact, Yavorskian voice leading) in such a precise manner? The short answer is: there is no short answer. As far as I am aware, there is no definitive evidence in the form of preserved calculations or written plans; should this be discovered at a later date, however, it would hardly be surprising, given the consistency evinced by his proportional schemes. At present, we must speculate upon the range of source materials currently available. And here is where the problems begin, for the political climates that evolved during Shostakovich's lifetime often made free and frank communication extremely difficult. Further, if the periods in which a rejection of 'formalism' are taken into account, it is little wonder that there is no documentary evidence for the use of such cerebral systems, if they were applied deliberately and overtly.

In fact, Shostakovich rarely discussed any aspects of his music in technical detail, and when he did, his approach was largely descriptive rather than analytical. Of the finale to the First Symphony, for instance, Shostakovich wrote in 1925 to Yavorsky that,

I have no recapitulation...the development ends with the expanded and transformed main theme. After that, the secondary theme goes into F minor. This theme is conceived rather gloomily and it is interrupted by a small three-note phrase on the timpani and then by a repetition of this

small phrase by flutes and clarinets...Perhaps, I was describing this to you in vain, because you don't know the finale at all and it's difficult to understand from words what it includes.

(quoted in Bobykina, 2000:19)

Later, Glikman recalls Shostakovich having stated that, 'I don't like engaging in analysis and conversation about works I have heard, and I'm not good at it. All I do is listen to music that is presented to me. I either like it, or I don't. That's all.' (Glikman, 2001:201). However, this disregard for technical analysis – 'talking about eggs' as he famously japed (Fanning, 1995:1) – contradicts other evidence. In fact, Shostakovich's life was full of contradictions, originating largely in the careful balance he maintained between the public and private dimensions of his world. When combined with his capacity for understatement (and occasionally overstatement) and the sort of personality that sought 'habitually [to tailor] his words to the understanding of whomever he was addressing' (Fanning, 1998:272), it can be difficult to accept even Shostakovich's words as demonstrative of his innermost beliefs. So Glikman's recollection above cannot be taken as absolute: Shostakovich was knowledgeable of an extensive and diverse amount of music; his engagement frequently went beyond levels of affection. To this extent there are many testimonies. For instance, regarding his teaching methods, Karen Khachaturian recalls that, 'As a rule, the class started with each of us playing some of our own music, which Shostakovich then analysed very thoroughly' (quoted in Wilson, 2006:213). Nevertheless, regarding his own music, Shostakovich was guarded over technical details. As Glikman recalls, Shostakovich felt, 'These ought, in his view, to remain private to the composer' (Glikman, 2001:277n51). For such a man to describe openly the use of SY or GS

distribution would therefore be out of character, irrespective of the political implications of such potentially 'formalist' tendencies.

Yet this thesis has demonstrated that Shostakovich's music *is* highly detailed in many other respects: the careful links between form and content observed in Chapters 4, 7 and 9 offer the clearest examples. That he adopted serial elements later in his output not only demonstrates his willingness to engage with other (Western) means of compositional control, it also reveals his comfort in working with a degree of systematisation. Further, here is a man who fastidiously recorded football results (Wilson, 2006:420), made regular sporting bets (often against his own team!), was obsessively punctual and lived a life of carefully controlled routine.¹ Each of these elements reveals a numerical propensity. This is all circumstantial, and these details are not offered as serious evidence, but they do offer snapshots of a composer capable of thinking in precise numerical terms.

Given this propensity, it is not surprising to find that many of his draft manuscripts are covered in mathematical workings, an instance of which is shown in Example 10.1 overleaf. Again, this is circumstantial, as it is unclear to what these numbers refer: this is an early draft of Symphony No.2 (bars 12–25), and it is difficult to correlate these numerical workings with the final product. And, of course, they may have nothing to do with the music at all. If they are related to the Second Symphony, few of the calculations in this example correlate with any bar or figure numbers in the final score, and no group of proximate markings form GS relationships.

¹ For instance, see Ikonnikov's account of Shostakovich's daily routine at the Ivanovo Retreat (quoted in Wilson, 2006:223).

There are, however, several symmetries and near-symmetries in the calculations. It is interesting, therefore, that the finished version of this draft contains several foreground SY systems at this point, with a surface sonority of chaos that is built from 3-bar units repeated consistently and in various levels of phase with each other; there are no significant GS relationships in the score here. So, the final version *is* constructed rather mathematically, given the careful manipulation of cellular units and small phrases. Indeed, Shostakovich's music often operates in this way, wherein underlying systems of repetition or variation control an evolving surface. I do not wish to read too much into this, but given the extent of the calculations in Example 10.1, and the often mathematical findings of this thesis, a link may at least be theoretically possible. Clearly there is much research to be done in this area.

However, it is possible that these calculations have nothing to do with the music. For here again is Shostakovich in self-contradiction: his musical language projects a surface of approachability and conformism, yet beneath that surface lies careful and at times highly detailed processes; he openly rejected 'systems', such as his early dismissal of serialism, yet later embraced these techniques; he denounced analysis yet, by all accounts, had the most precise and analytical ear in his circle; and crucially, the musical evidence suggests precise and consistent proportional systems, but there is as yet no evidence to support their intention. To resolve these contradictions may be impossible, and indeed may be of detriment to the interest that surrounds both the man and his music. Those who call for documentary evidence in support of proportional observations (see Livio, 2002:47) will be disappointed, for such unambiguous confirmation (or verification) is unlikely to be obtained given Shostakovich's guarded and often misleading self-representation.

But this absence does not invalidate the analysis. To re-consider the Second Symphony from a different perspective, here is a work that ends unambiguously in B major. Now, this key could have been conceived as an inherent part and ultimate goal of the thematic content, it could have been *pre-conceived* as part of the overall tonal direction, or it could have grown organically as the compositional process progressed. But should such an issue concern the analyst (or, indeed, listener)? The symphony *does* end in B major; to consider its compositional inspiration would be both digressive and speculative. Rather, it is the way in which this key functions within the symphony that is interesting and relevant, both to the analyst and the listener.

The question 'did Shostakovich intend to use proportions?' is therefore a similar red herring: proportional relationships *can* be found here, whether or not they were intentional. Further, part of the significance of SY and GS ratios is their ubiquity in the natural world and their capacity to be used *without* intention in the man-made world. We perceive these ratios continuously, but their perception is rarely conscious. For instance, if we look at an animal such as a bird, we do not specifically enjoy its symmetry, but part of its beauty (and, indeed, functionality) may lie in that property. As such, it is conceivable that composers might employ SY and GS unintentionally.³ I am inclined not to believe that Shostakovich consciously thought to himself, 'I need another bar here', but rather *felt* a sense of balance or imbalance. Just as the observer subconsciously feels SY in a bird, so too might the composer in his music. Of course, there are instances where proportions are clearly contrived, such as the repeated passacaglia in Symphony No.8 (iii), but in the majority of cases it is quite possible, and even probable, that Shostakovich did not calculate SY and GS

³ The apparently-unintentional presence of Golden Section in many sonata form movements by Mozart, Haydn and Beethoven, as identified by several commentators (see, for instance Sidorowicz, 1981), may provide an unconscious aural model in the musical domain for later composers.

but rather intuited these proportions on a more subconscious level. This also constitutes a strong argument to employ an accuracy margin (as described in Chapter 1) when analysing these proportions. To expect events to fall *exactly* at SY or GS implies intentional design; intuitive design is more likely to be as variable in accuracy as our perception of these ratios.⁴

In the absence of concrete evidence for or against intention, a more subtle question would be: ‘What does the presence of SY and GS tell us about the composer?’. And here significant insight can be found, for this thesis reveals above all a sensitivity towards the concepts of balance and imbalance – of stasis and dynamism. As a foreground feature, this has been widely noted,⁵ but the process of proportional distribution transfers this principle into the structural domain, wherein the unfolding of time is carefully balanced (or imbalanced), notionally impacting upon the perception of stasis and dynamism. The principle of energy therefore concerns the way in which structures of differing levels and parameters balance against each other.

And this issue of balance is something we can be sure Shostakovich *did* consider. For instance, his self-critical – and, given its context, probably ironic – evaluation of Symphony No.10 makes constant reference to this issue:

[The second] movement is perhaps too short, especially considering that the first, third and fourth are quite long...Apparently another movement is needed which, together with the short second movement, would possibly balance out the structure of the whole work...In the finale the introduction is rather lengthy, although when I last heard this

⁴ As described in Chapter 1, our ability to perceive temporal absolutes is far from precise; see Dorfman, 1986:74ff.

⁵ See the range of quotations that opens Chapter 1.

introduction I thought that it fulfilled its conception and compositional function and more or less balanced out the whole movement.

(quoted in Fanning, 1988:77)

Interestingly, in the finale, the point of division between the slow introduction and the main *allegro* falls at GS- in the entire movement to within 5 seconds, according to the score.⁶ This is remarkably revealing, for Shostakovich's perception of balance is linked to a particular instance of proportional distribution. Whether or not GS was deliberately intended, its *result* clearly was.

This specific view of the way in which sections should balance one another – both in duration and in character – is made clear by Shostakovich's broader statements regarding compositional process. In particular, he affirms his unwavering sense of the total work:

I always feel the 'initial form'. It is always completely clear to me what should be the beginning, the middle, and the end of a composition, and where moments of tension and release belong. The work does not yet manifest itself aurally, but somehow in its 'timbral' aspect...I also sense the 'complete intrinsic form', independent of its embodiment.

(quoted in Gruber, 2004:35)

Maxim Shostakovich corroborates this assertion, recalling how his father would conceive a work in its entirety before committing it to paper (M. Shostakovich, 1990:411). There is a process of large-scale thinking here that again reveals an awareness both of balance and of evolution. For structures to form patterns of SY and GS proportions is therefore indicative of this thinking. And whether or not that

⁶ This equates to roughly three bars earlier than absolute GS-. However, this is working on the premise that the *allegro* first subject begins in bar 69. If figure 153, with its faster tempo, is taken as the point of division, then the margin is reduced to within 3½ seconds, or roughly one bar.

process constituted a deliberate application of mathematical ratios, underlying proportional relationships contribute significantly towards the careful sense of order and balance, or of disorder and imbalance.

We can thus conclude that the presence of proportions, above all else, reveals a level of precision in the manipulation of balance and energy at multiple structural levels and within multiple parametric dimensions. Here is a composer whose work does not communicate simply through surface phenomena and clichés (*pace* Boulez), or through extra-musical messages and subtexts. It additionally projects precise internal processes of structural and stylistic consequence that demonstrate a significant degree of sophistication.

Shostakovich was regularly derided from within Russia during his lifetime for writing music that was too intellectual. Yet, ironically, the *opposite* criticism was often levelled at him from outside, often due to a lack of correlation between his work and the modernist mainstream of the West. As Whittall observes, “‘Twentieth century’ can be made into a problematic ascription if the issue of works which are claimed to be chronologically “in” but not aesthetically “of” that century is brought into the argument’ (Whittall, 1999:9). A useful analogy is with Brahms, who incurred similar derision from the Wagnerian circle. Yet today, Brahms is viewed in full relief, and his achievements, although different from Wagner’s, can be given equal validity. Like Brahms, Shostakovich continued to find novelty and expressive potential in forms and harmonic systems of the past. Over time, Shostakovich’s legacy will continue to transform until, hopefully, an epitaph is agreed that balances traditional aspects of his style with a fuller understanding of that novelty, and, crucially, one that strikes a balance between the extra-musical dimensions of his music and the

compositional sophistication demonstrated through his Russian Doll-like manipulation of energy.

Performer Transmission: A Practical Perspective

Given the ubiquity of proportional relationships, it is fair to conclude that they form an integral part of Shostakovich's music, irrespective of intention. However, our ability to perceive these distribution patterns is dependent upon the way in which the music is transmitted, and in particular (regarding duration) upon the choices of tempi. Of course tempo does not only have implications upon duration – it also affects style, character and impulse at a local level, in an immediate manner. However, tempo is a variable that can radically alter the sense of balance within a work, having a significant impact upon any proportional system.

To begin, it is useful to consider briefly Shostakovich's approach to tempo, in order to shed light upon his concept of durational balance. After all, if Shostakovich did intend a specific form of proportional balance, we might assume that he would have been particular in its communication. However, here again we immediately find Shostakovich in self-contradiction, for there is a significant amount evidence both for and against the specificity of his tempo markings. On one hand, the symphonies consistently employ remarkably precise indications: *Largo* ♩ = 46, for instance, for the opening of the Second, rather simply *Largo*. Clearly, care and attention is paid to this detail. Yet, on the other hand, several markings are beyond the realm of practicality, despite their specificity: to perform semiquavers in the second movement of the Tenth

at the indicated speed of *Allegro* ♩ = 176 is surely beyond even the most capable musicians.⁷

Shostakovich's recorded comments upon this issue are equally contradictory. To Glikman, for instance, he condemns a performance of *Katerina Izmailova*, observing, 'It is obvious that nobody currently in the Stalinslavsky-Menirovich-Danchenko Theatre pays the slightest attention to the letter of the musical score' (Glikman, 2001:183). He expresses similar views regarding Gusman's conducting of his Eleventh Symphony: 'Being a creative person he felt obliged to alter tempi and dynamics all over the place, resulting in a mostly very bad performance' (Glikman, 2001:74). Glikman later recalls Shostakovich stating that, 'What is written with the pen cannot be scratched out with an axe' (quoted in Wilson, 2006:142), while Valentin Berlinsky, cellist of the Borodin Quartet, recollects that Shostakovich, having forgotten his score at a rehearsal, remarked, 'all the same, I'll try to play some parts of it from memory to give you an idea about tempos' (quoted in Nikolskaya, 2004:163). However, regarding tempo marks in the Second Piano Trio, Shostakovich stated to violinist Yakov Milkis, 'You know, take no notice. I use this rickety old metronome...But you, as a musician, should just play as you feel the music and take no notice of those markings, take no notice' (quoted in Wilson, 2006:354). Alan George, violist of the Fitzwilliam Quartet, similarly confirms that Shostakovich made no comments upon tempi when he attended their rehearsal for the British première of the Thirteenth Quartet in 1972.⁸

⁷ One might posit that this is a misprint; the piano arrangement of this movement is marked ♩ = 116, while Shostakovich and Weinberg's recording starts at ♩ = 174–6. Moshevich thus suggests the orchestral score may be correct, but with the wrong durational value (Moshevich, 2008:476).

⁸ I am grateful to Alan George for discussing this issue with me.

Somewhere between these extremes lies conductor Evgeny Mravinsky's account of his collaboration with Shostakovich for the première of Symphony No.5:

Initially I could get no information about the tempo indications in the Fifth Symphony. I then had recourse to cunning. During our work together I sat at the piano and deliberately took incorrect tempi. Dmitri Dmitriyevich got angry and stopped me, and showed me the required tempo...The tempi were soon fixed with metronome markings and transferred into the score...[However] the long life of the symphony has in itself brought about essential changes to the tempi that we marked down at the time. (quoted in Wilson, 2006:155)

Clearly Shostakovich did have in his mind a rather precise imagination of a work's tempi. Even Milkis' recollection above implies that material was conceived in a specific tempo, with the 'rickety old metronome' used to confirm Shostakovich's precise imagination.⁹

However, the extent to which Shostakovich insisted upon this specificity apparently fluctuated, not least within his own performances. Two recent studies of this issue offer detailed accounts of tempo variation within Shostakovich's performances, both with respect to the score, and between different recordings of the same work.¹⁰ Fanning, following the earlier work of Moshevich, concludes that 40% of Shostakovich's recordings adhere roughly to the opening marking of the score, while 45% are slower than indicated, and 15% faster (Fanning, 2008:328). Further, Fanning observes significant internal variety within a work, and reveals a particular

⁹ Indeed, Mravinsky's recollections similarly imply that specific metronome markings were set in stone only at a later stage in the process, but nonetheless reveal both Shostakovich's particular preferences, and his desire to avoid the potential for poor performance.

¹⁰ See Moshevich, 2008:474–9, and Fanning, 2008:325–49.

frequency of (unmarked) long-range *accelerandi* in Shostakovich's performances (Fanning, 2008:332–43).

For instance, Example 10.2 reproduces Fanning's summary of Symphony No.10 (i), as performed in its piano duet version by Shostakovich and Mieczysław Weinberg.¹¹

Example 10.2 Symphony No.10 (i) Piano Duet – Shostakovich's Recorded Tempi

Figure Nos.	Op	4 ⁹	5	14 ¹⁶	17	24	29	32 ¹⁶	35	37	40	47	56	57	65	68
Markings in Piano Score	96	108			120		108						104	120	96	
Markings in Orchestral Score	96	108			120	108									96	
Shostakovich's Recorded Tempi	76	80	108	116	126	152	92	112	120	152	144	152	88	138	80	108
Structure	Intro.	1st Subject		2 nd Subject		Development				Recapitulation			Coda			

Clearly, there is significant deviation here, of a level sufficient to disrupt certain proportional relationships. Interestingly, however, Shostakovich's interpretations continue to express the overall structural shape of the tempi in the score(s), speeding up for the first and second subjects, and slowing for the development and recapitulation. The difference manifests itself primarily in his fluctuations about the given markings, with each section often beginning slower than indicated, but ending faster, as evinced in Fanning's notion of long-range *accelerandi*.

As such, Shostakovich's tempi almost 'cancel each other out' at a higher structural level, leaving variances to exist more locally. Consequently, the overall proportions of the movement are maintained. As observed in Chapters 1 and 5, a pivotal moment in Symphony No.10 (i) is figure 47, which sits at the apex of the fused development and recapitulation, constitutes the highest climactic peak, and reintroduces the essential F⁴ in its tonal scheme (as related to the opening bars).

¹¹ Taken from Fanning, 2008:341.

According to the score, this moment falls at GS+ in the movement to within 6 seconds; Shostakovich's recording preserves this proportional relationship to within a 20-second margin, despite his local variations in tempi.¹²

This is not to suggest that this recording provides a reference point for performance; as Fanning states,

To infer from any composer's recordings how the music 'should', 'must' or 'was intended to' go is another thing altogether, since the very act of recording is contingent on so many potentially non-ideal conditions. Even in hypothetically ideal circumstances, recording serves only to fix one among numerous valid interpretative viewpoints at a given moment in time. To find excellence in any composer's recording of their own work is therefore never tantamount to holding it up as a model. (Fanning, 2008:327)

Rather, I would suggest the present example confirms Christopher Rowland's comment that, 'Shostakovich's widow Irina and son Maxim have confirmed that the composer took great pains over choosing his metronome marks' (Rowland, 1982:15). For despite Shostakovich's departure from his own markings, deviations seem nonetheless considered in their correlation with broader patterns in the score, and while his variations inevitably break down certain local proportions, crucial relationships are maintained.

¹² In the context of a 21-minute recording, this discrepancy continues to fall within the +/-1.5% accuracy margin.

For other interpreters of this music, it would therefore seem that Shostakovich's recordings do little to unpack the ambiguities expressed by his own comments. Clearly the balance between composer intention and performer interpretation is an issue that saturates all musical transmission, and to diversify here into a full discussion of this matter is beyond the scope of this thesis. In the present context, though, it has particular significance, for the communication of proportional distribution clearly relies upon a degree of performance accuracy with respect to the score. This could be interpreted as somewhat absolutist: the proportions only 'work' if the music is performed in a certain manner. And this position holds some validity, as the tempo markings of the score represent a set of compositional decisions on Shostakovich's part. Importantly, as this thesis has demonstrated, these tempi are not isolated, as they articulate more than local diversities. Rather, they are integral to an underlying structural framework that results from multi-dimensional proportional relationships. These connections, in turn, give rise to important perceptual effects. To break down proportional distributions may therefore be to eliminate part of the music's inherent energy.

But, as Fanning observes, and as I would agree, a call for strict adherence to the score would imply not only an 'arrogance of presuming to know and to be able to reproduce the composer's "way", but also the assumption that there is any such thing in the first place' (Fanning, 2008:332). Indeed, we as listeners want and expect a degree of variation between performances. So, to assert that Shostakovich's symphonies – works that have the capacity to communicate differently to different people – should be played 'exactly' as the score states, would undermine their diverse

and enduring appeal; different performers will interpret 'exact' elements of the score as much as any other parameter, and as they would for any other composer's work.

However, these positions are not mutually exclusive, as there is significant room for manoeuvre, in several respects. First, the zone principle of accuracy adopted throughout this thesis is intended to negotiate a path between the extremes of strict conformity and absolute creative freedom. As such, in addition to allowing a flexible means of calculation, accuracy margins also articulate the lack of specificity with which listeners are able to perceive temporal distributions, particularly over such extended durations as an entire symphony. *Total* precision is therefore unnecessary in order to communicate long-range proportional connections, allowing a significant margin for performance variation. Second, the Russian Doll effect ensures that energy exists at multiple structural and parametric levels. Any local variances may therefore be subsumed by larger scale proportional systems. Conversely, longer-range connections are articulated locally by foreground harmonic and rhythmic directionality, thus maintaining a degree of stasis or dynamism that can, in part, function independently of higher-level formations. Third, and as connected to the previous issue, Shostakovich's own recording of the Tenth attests to the possibility of preserving certain proportional relationships in spite of significant departures from the score.

I am therefore not advocating absolutism. Instead, I simply suggest that performers should be aware of the interconnectedness of Shostakovich's structural systems; any interpretative decisions they make concerning tempi should be sensitive towards the role of this parameter within the structural domain of large-scale balance

and imbalance. In this respect, an interpretative flexibility can be achieved that is nonetheless grounded in the proportions of the score.¹³

At a local level, such an awareness could result in the foreground emphasis of particular moments within the proportional scheme. For instance, one might ensure that axis points are suitably articulated at the surface, with any *crescendi*, *ritardandi* or *rubato* – themselves methods of surface interpretation – used carefully to pace these points of arrival. Or, as another example, if an axis point were one of several climaxes, it could be given particular emphasis relative to others – an obvious example being the first movement of the Fourth, as discussed in Chapter 8. More importantly, however, is the way in which performers might ensure the communication of large-scale structural balance. Ironically, despite the precision that Shostakovich encodes into his temporal schemes, performances of this music have a tendency to be extremely diverse, to the possible detriment of both the proportional relationships between structural and parametric levels, and the consequent evolution of energy.

It is useful at this stage to consider a particular example: the finale from Symphony No.5. Here is a movement that has caused a great deal of controversy – is it an unmitigated submission to Soviet idealism, or is it an ironic and cutting refutation of those same values?¹⁴ Each listener will have his or her own answer to this question, but the way in which the music is performed will impact upon this decision. Regarding the recapitulation of theme A (from figure 120) and its eventual move to climax, there are some remarkably diverse realisations of this moment,

¹³ Fanning, for instance, observes a similar issue in the Eighth String Quartet, stating of its third movement that 'Strict adherence to Shostakovich's metronome markings reinforces continuity by making the third movement's prevailing quaver motion identical with the second's prevailing crotchets' (Fanning, 2004:89).

¹⁴ See Taruskin, 1995: 17–56, or Barsova, 2000:79–98.

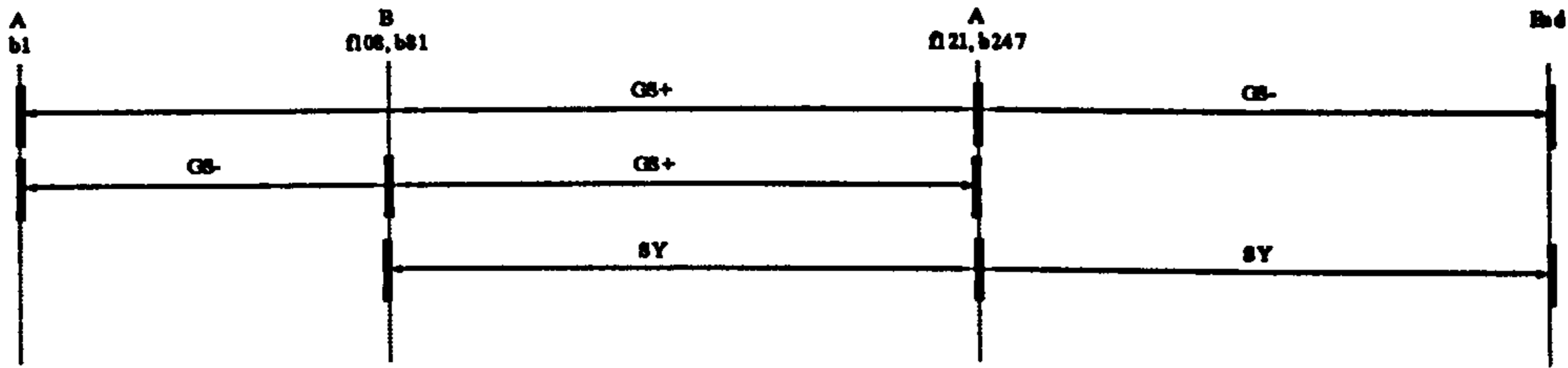
despite a marking of $\text{♩} = 100\text{--}108$. Bernstein, for instance, in his 1959 recording with the New York Philharmonic, takes this passage at an astonishing $\text{♩} = 210$, getting faster still by the end of the movement. Irrespective of the proportional implications of such a change, this is a bold statement about what this music means. In a 1967 interview, Bernstein describes his perception of the triumphalism that ends the finale as ‘hollow’ when compared with the symphony as a whole.¹⁵ His choice of tempi may be the interpretative manifestation of his impression, as his performance sprints through the conclusion of a 50-minute symphony in less than two minutes – according to the score it should take closer to four minutes. Such a deviation from the score inevitably undermines the balance of the work; that may have been Bernstein’s desire, in order to intensify the lack of sincerity of the conclusions, and there is no doubt that his interpretation has proved popular amongst audiences. Yet, this thesis has demonstrated that there are certain relationships in this music – relationships that are reproduced over different rates of time within different structural levels – that will only withstand a certain degree of manipulation before they break down entirely. And while Bernstein may have intended that breakdown, his interpretation does not allow the communication of these relationships and processes.

Example 10.3 overleaf compares five recordings of this movement with a theoretical realisation of the score. First, it should be noted that there are some four minutes’ difference (!) between the shortest (Bernstein) and longest (Rostropovich) recordings. This is easily enough to affect the overall sense of balance and energy in the music, not only at a local level, but also across the movement (and, indeed, the symphony) as a whole.

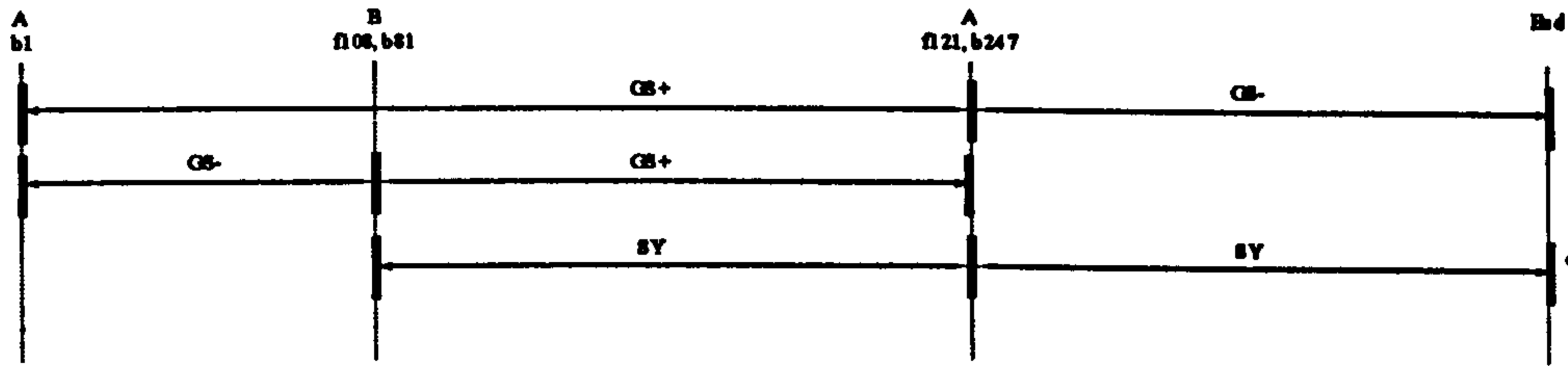
¹⁵ See Bernstein’s BBC interview with Humphrey Burton, 1967.

Example 10.3 Symphony No.5 (iv) – Performance Differences

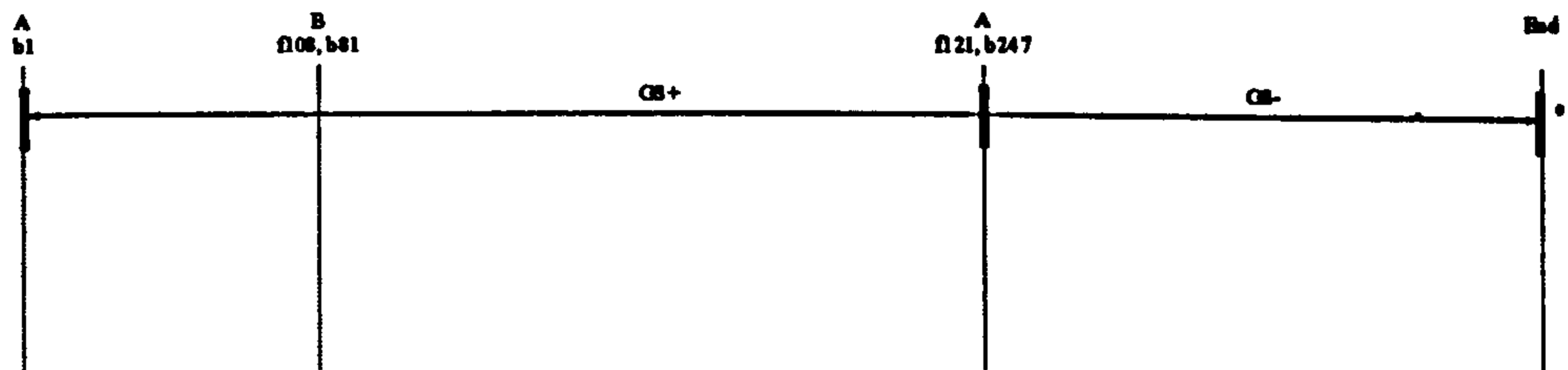
Score (DSCH New Collected Works)



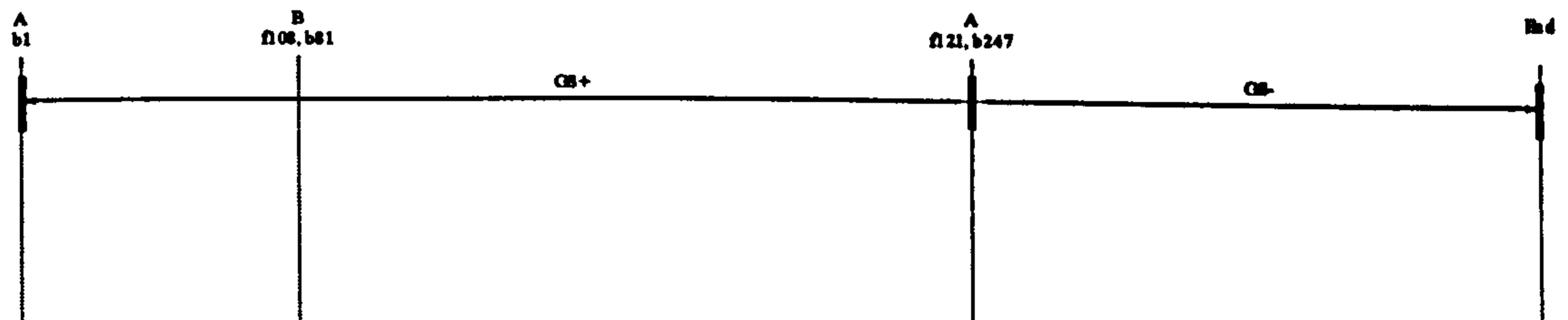
Barshai, WDR Sinfonieorchester (Brilliant Classics, 6275-3)



Mravinsky, Leningrad Philharmonic (Eloston, 0809274673220)



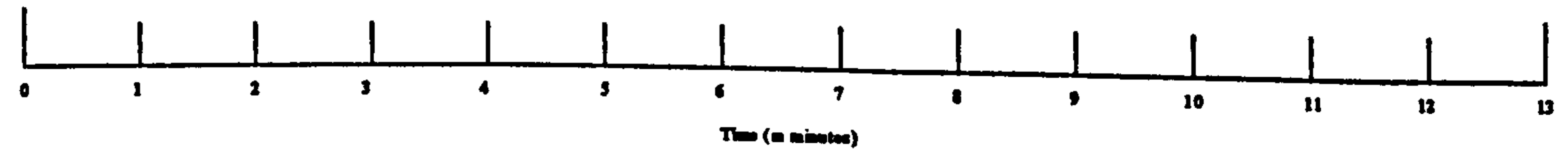
Rostropovich, London Symphony Orchestra (LSO Live, LSO0058)



Previn, Chicago Symphony Orchestra (HMV Classics, HMV 5 86764 2)



Bernstein, New York Philharmonic (Sony Music Entertainment, 874646184127)



Of the five performances, Barshai comes closest to the score, communicating all three underlying proportions, while Mravinsky and Rostropovich preserve just the highest level of GS+ balance, following, in both cases, a faster opening tempo than marked (and, hence, earlier placement of theme B). The Rostropovich recording is particularly interesting, for despite the generally slower presentation of the entire movement, he maintains this crucial proportion, preserving (within the Finale, at least) an overall sense of GS balance. By contrast, both Previn and Bernstein, through their faster tempi, break down all proportional systems in favour of a greater sense of local urgency and disruption. This is not to say that Barshai's recording is 'the best', but rather that it is the most faithful to Shostakovich's score, in terms of preserving the full network of proportional interactions and subsequent balance. It is interesting that of the five recordings, the three conductors who worked with (and were friends of) Shostakovich – Barshai, Mravinsky and Rostropovich – are those that adhere most closely to the proportions of the score, probably under the advice of its composer.¹⁶

However, confidence in this assertion cannot be absolute, for (as noted above) Shostakovich himself often changed his own metronome marks. To this end, the finale of the Fifth is doubly interesting, for it has been published in two different versions regarding the final tempo marking from figure 131: in 1939 and 1961 editions, this section is marked at $\text{♩} = 188$, while 1947 and 1956 editions are marked $\text{♩} = 184$.¹⁷ The most recent DSCH Collected Edition determines that this section should be taken at $\text{♩} = 184$. This highlights an important problem, for despite the specificity

¹⁶ As discussed earlier, Mravinsky premiered the Fifth Symphony in close collaboration with Shostakovich. Barshai premiered the Fourteenth, whilst Rostropovich – Shostakovich's long-standing friend and pupil – was the soloist for the premières of both Cello Concertos (of which he was also dedicatee).

¹⁷ All four editions were therefore published during Shostakovich's lifetime. See notes in the New Collected Works, Vols.5 and 20.

of Shostakovich's scores, there are several discrepancies between editions. And clearly this makes a significant difference – a potential discrepancy of some 45 seconds depending upon the marking that is adopted. Performance variation of the degree seen in Example 10.3 therefore has some justification, for the same ambiguity is encoded into the two versions of the score. Nevertheless, this does not account for the difference in tempi at figure 120 as shown in the diagram, so there remains a high degree of performer variation alongside the choice of edition.

There is no clear reason as to why such a discrepancy between scores should exist: possibly Shostakovich changed his mind; possibly he heard a performance that changed his mind; possibly it was a simple publication mistake. Of importance here is the fact that such a difference impacts significantly upon the proportions of the movement; those relationships shown at the top of Example 10.3 only exist if the slower tempo is followed. This in itself would not be enough to suggest that $\text{♩} = 184$ is the preferable tempo, but it does consolidate other evidence, not least the fact that Mravinsky – the conductor of the première, who, as noted above, initially selected his tempi in consultation with Shostakovich – follows this slower pace. Further Maxim Shostakovich has stated a similarly belief that the correct marking is $\text{♩} = 184$ (M. Shostakovich, 1990:410).

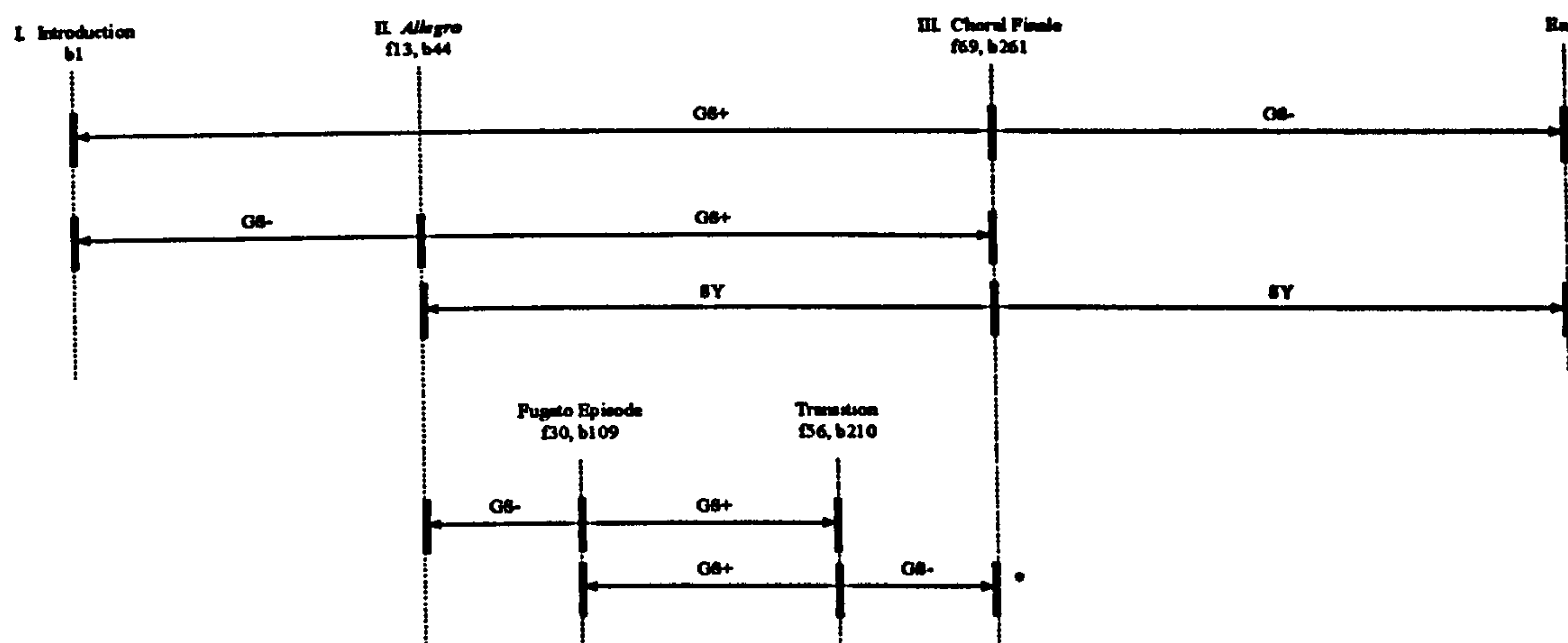
What I am suggesting, then, is that proportional relationships in the symphonies can have a practical application in performance, as they can be used as supporting evidence in such decisions. And there are several examples of this sort: for instance, there are contradictory tempo markings for figure 63 in Symphony No.3 (of which the faster $\text{♩} = 126$ creates overall SY balance at figure 52), for figure 219 in Symphony No.4 (where $\text{♩} = 100$ allows a GS distribution of climaxes), and for the

second and third movements of the Sixth (of which the faster opening speeds produce the most precise proportions across the entire Symphony). In each case, one solution prevails as a means of increasing the accuracy of proportional relationships. So, whilst it might be argued that tempo discrepancies between editions invalidate the possibility of proportional analysis, I suggest the contrary: the consistency with which proportions exist elsewhere (in works without such discrepancies) offers a model for use in problematic cases.

Further, on the rare occasions where specific metronome markings are absent in a score, it is possible to use the principle of proportional distribution to infer a possible local tempo. This may seem rather subjective, but it is grounded in the frequency of proportional relationships elsewhere. For instance, Symphony No.2 uses a marking of *Moderato* from figure 58 to the end of the work, yet no specific metronomic speed is indicated. The previous *meno mosso* of figure 56 is marked $\text{♩} = 100$, and the transition to figure 58 is prefigured by a *ritardando*. A potential solution, then, would be to re-establish the $\text{♩} = 100$ tempo, given the continuity of material between the two sections. However, this is often not the case in performance, and indeed does not allow any background proportional scheme in the symphony as a whole. Nevertheless, there are undoubtedly focal moments in the work – in particular, the entry of the choir at figure 69, as introduced by the first sounding of the siren, is the point towards which the music has been moving since its inception. Further, the first *Allegro* of figure 13, which emerges out of the previously tumultuous introduction, represents the onset of the main musical argument of the symphony, providing an anticipatory point of division up to the first entry of the choir.

If the *Moderato* of figure 58 is taken at approximately $\text{♩} = 85$, then the scheme of Example 10.4 allows Shostakovich's typical proportional distribution of these events.

Example 10.4 Symphony No.2 – Hypothetical Background Proportions



This may seem like false logic, but the result clearly conforms to surface events: the music *is* moving towards the figure 69 axis point, and there *are* successive stages that lead towards this moment. Placing these events as shown in Example 10.4 not only reinforces their significance, but also conforms to Shostakovich's own norm when specific tempi are given; this type of proportional plan has been seen regularly in this thesis. The choice of $\text{♩} = 85$ is also supported by further evidence: although his *Moderatos* vary in metronome mark throughout the symphonies, they average out to this speed,¹⁸ and indeed several significant recordings – not least those of Barshai and Rostropovich (whose links with Shostakovich have been mentioned) – adopt roughly this pace for the finale.

Proportional analysis can therefore offer significant practical guidance through its intellectual insight. Whether in terms of pacing and shaping, or in the resolving of

¹⁸ The opening of the Twelfth, for instance, indicates *Moderato* $\text{♩} = 84$, while the Fifth and Tenth respectively begin *Moderato* $\text{♩} = 76$ and *Moderato* $\text{♩} = 96$. Each represents the primary tactus.

score-based ambiguities, it has the capacity to provide an internal, musical perspective; proportional systems recur with such consistency that they can be considered as part of that interpretative process. This is not to suggest a call for conformity and uniformity in performance, but simply an awareness that the tempi indicated in the score offer a particular proportional integration between structural and parametric levels, generating energy from those multi-dimensional relationships. Decisions concerning tempi are thus crucial not simply for the sake of attempted authenticity, but as a means of preserving and communicating those links. Without them, certain aspects of this music's energy could be diminished, altered, or even lost altogether.

Listener Perception: An Aural Perspective

Musical communication is not a uni-directional process: it relies as much upon listeners decoding the information they receive as it does upon compositional encoding and performance interpretation.¹⁹ It follows that energy will be communicated differently to different listeners, depending upon a range of factors, including (amongst others) experience, level of engagement, state of mind or listening style. To argue that audiences will always experience Shostakovich's music in a certain way would therefore be as confining as those political readings explored earlier. Nevertheless, interpretation is directed through Shostakovich's particular sound signals, so it is possible and appropriate to speculate upon the way in which listeners might decode this music, and, in particular, to consider in more detail how, and to what extent, proportional distribution can be perceived.

¹⁹ See Nattiez, 1990:16–28.

To begin, it is important to re-emphasise that we do not necessarily *think* in proportions, but rather we *feel* them. In other words, their perception is largely a subconscious process, as we do not consciously rationalise SY and GS units under normal conditions. Nevertheless, we perceive proportions constantly – visually and aurally – despite our being essentially unaware of their presence. If the analysis presented in this thesis seems mathematical and abstract, this does not necessitate that its aural effect be similarly removed and intellectual. As Cook states,

It is not necessary to have a reflective (that is, 'theoretical') knowledge of the patterns of grouping and hierarchical organization that are appropriate to a given musical style...Now this is of course equally true in the case of language. Natural language users may have no reflective awareness of the syntactical organisation of their language. Nevertheless they have an internalised knowledge of this organization; the structural units of syntactical theory are, to some degree at least, psychologically real in the sense of corresponding to the perceptual processes involved in speech perception. (Cook, 1990:83)

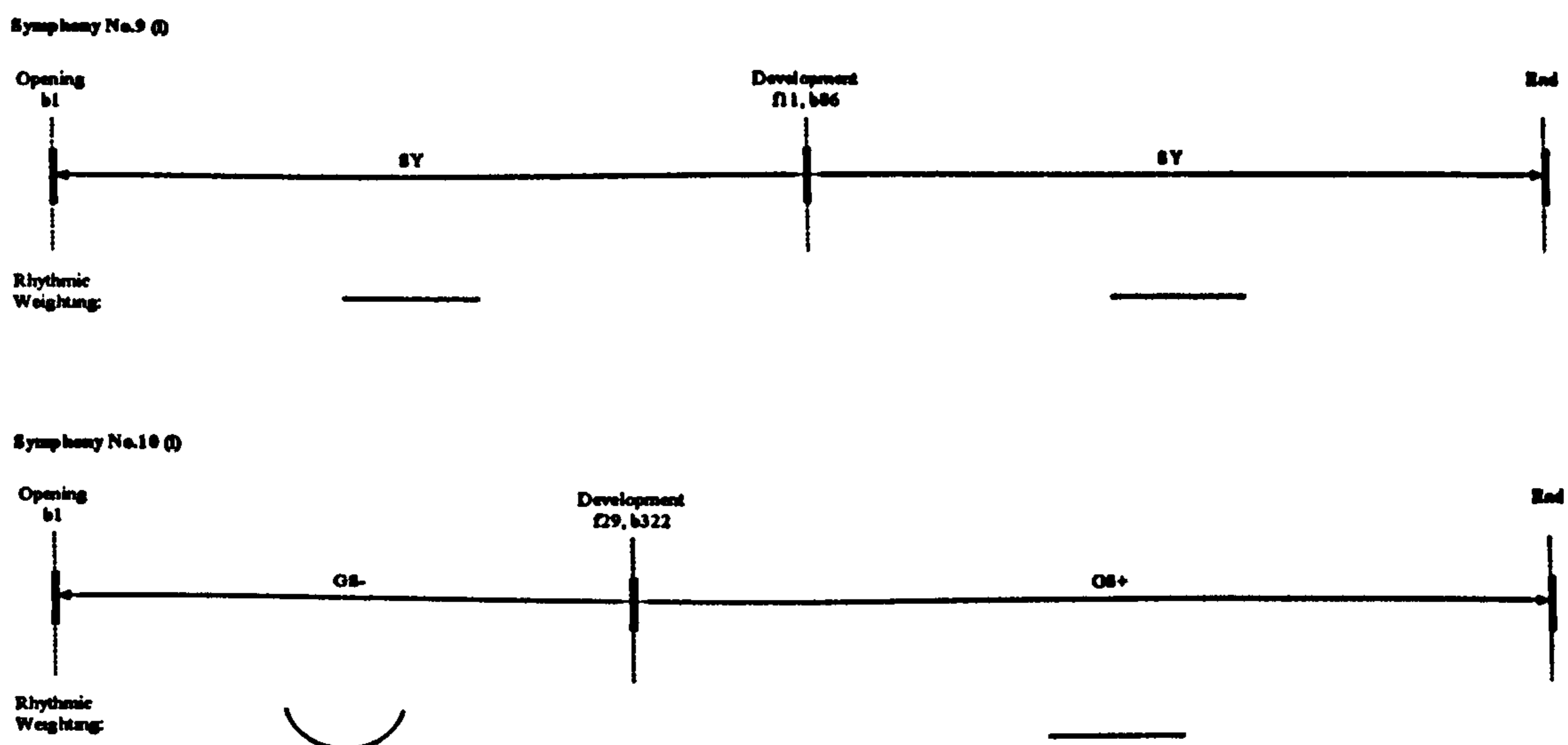
Given the ubiquity of SY and GS in the natural world, it is logical to assume that we might respond to their presence in music in a similarly subconscious manner, and in a way reflective of their natural contexts and functions. The differing effect of these two ratios is thus raised once again. As noted in Chapter 1, the principal function of SY is the generation of equality. However, in music, temporal equality does not necessarily imply equality within other parameters: the second half of a symmetrical structure is generally not a mirror image, meaning the total structure is never a pure palindrome.²⁰ Rather, musical SY is more often a case of equivalence, to

²⁰ Of course, there are exceptions, for instance in the work of composers such as Webern.

the extent that the second half balances the first in a more abstract, temporal manner.²¹ GS, by contrast, is *imbalanced*, as its two parts are of differing lengths, deliberately creating inequality. However, this inequality is a particular form of imbalance, and one that is as similarly controlled (and controlling) as SY. The primary difference between these two systems, then, is their establishment of equal or unequal stress within a two-part impulse.

Example 10.5 offers an instance of this difference by comparing the first movements of the Ninth and Tenth Symphonies.

Example 10.5 Symphonies No.9 (i) & No.10 (i) – High Level Rhythmic Impulse



As discussed in previous chapters, both have a clear point of division for the onset of their developments and both have some degree of phase process back into their recapitulations. However, despite these similarities, the combined development–recapitulation *feels* very different in each work: the Tenth is more expansive than the Ninth, particularly given its greater timbral and tonal range, and its more convoluted phasing back into the recapitulation. There is a sense of imbalance in the Tenth

²¹ Interestingly, the word 'symmetry' derives from the Greek word *συμμετρος*, which literally means 'commensurate with another' or 'in due proportion' (Liddell & Scott, 2002:761).

between the exposition and the combined development–recapitulation that places particular stress upon the second part. By contrast, the Ninth presents a more balanced structure, neither part of which receives particular emphasis.²²

This raises another important issue: balance does not result simply from durational ratios, but is also dependent upon content; consider, for instance, the possibility of perceiving accurately SY or GS in John Cage's 4'33'' (I). So if the first half of Symphony No.9 were performed *ppp* and the second half *fff*, then the sense of durational balance would be undermined by its content. Our ability to perceive proportional distribution is dependent upon a close interconnection between form and content. Indeed an example of this process breaking down was seen in Chapter 7, regarding the balanced distribution of stylistically *imbalanced* movements in the Sixth Symphony. The perception of SY and GS is therefore not dependent solely upon durational subdivision, but also relies upon what happens within that period of time: melodic, rhythmic and harmonic completion being the obvious possibilities at a local level. Further, accuracy margins in that perception must change relative to this relationship. It is of significance, then, that Shostakovich pays the highest regard to the relationship between form and content, as seen throughout this thesis. SY and GS structures frequently consolidate other processes, presenting an integrated musical argument, whose unity stems from this interaction. A climax, for instance, is important wherever it is placed, but to place it at GS within a self-supporting system provides an even greater focus.

So, conversely, SY and GS are not a prerequisite for effective musical communication; clearly there is extensive repertoire that is successful without

²² One can rationalise the difference between a GS- and GS+ partitioning similarly as a function of stress and weighting.

recourse to proportional distribution. But as Rogers concludes of GS, 'they do trigger a particularly efficient integration of parts. The appeal is not necessarily to beauty but to solidarity' (Rogers, 1977:156).²³ This is an important distinction, and one that returns to the discussion of SY and GS in Chapter 1. We tend to consider proportional distribution as an aesthetic issue, but it has equal (if not greater) significance in its structural function – the SY shape of birds and their consequent ability to fly; the GS packing of seeds within plants to make best use of available space. In a broader context, then, what proportional distribution offers is a sense of integrated wholeness: objects achieve completion as a result of these systems. Of course in music this completion is defined by a range of musical parameters, but, crucially, can again be consolidated by higher-level proportional schemes simultaneously coming to an end.

I will not digress into a full discussion of psychological perception, for reasons both of space and necessity; the importance of wholeness and completion has been considered extensively elsewhere, both in general terms,²⁴ and as applied to proportional distribution.²⁵ However, there are several aspects that warrant closer examination relative to energy in Shostakovich's work. In particular, proportional completion only occurs at certain moments, and, as Meyer notes, 'the mind...is continually striving for completeness, stability and rest' (Meyer, 1956:128). Just as unstable harmony creates a sense of motion up to its point of resolution, so too SY and GS systems generate motion towards points of completion. Motion and energy

²³ The concept of 'solidarity' here refers to the efficiency of a GS packing or tessellation system. As a musical concept, it has an interesting analogue in Lerdahl and Jackendoff's 'well formedness rules' and 'preference rules', wherein possible grouping systems are reduced according to the preferences of experienced listeners, often in terms of architectonic coherence: see Lerdahl and Jackendoff, 1983:9.

²⁴ For instance, see Meyer, 1956:128–56, or Sloboda, 1985:151–93.

²⁵ See dissertations on this topic by Rogers, 1977, or Dorfman, 1986.

thus result from this path towards resolution, through evolving patterns of expectations.

As we listen to music, we do not hear isolated sound events: rather, we group these into successively larger units. This Gestalt principle is conditioned by several laws that attempt to explain how this process occurs. One example, The Law of Good Continuation, states that 'A shape will, other things being equal, tend to be continued in its initial mode of operation' (Meyer, 1956:92). In a symmetrical 8-bar phrase, therefore, by roughly the fifth or sixth bar we will have a clear expectation (and subsequent desire) of how and when that phrase will end, because, 'As we listen to a particular musical work we organise our experience and hence our expectations both in terms of the past of that particular work...and in terms of our memories of earlier musical experiences' (Meyer, 1956:88). Interestingly, Asafiev came to a similar conclusion, stating that, 'People instinctively compare the "features" of music as it transpires and remember similar, frequently repeated complexes' (quoted in McQuere, 1983:226). This is not to say that these expectations will necessarily be realised, but rather that, 'the ultimate and particular effect of the total pattern is clearly conditioned by the specificity of the original expectation' (Meyer, 1956:26). The confirmation or denial of these expectations will therefore contribute to the prevailing sense of resolution.

Example 10.6 considers how listener expectations might evolve during the main theme from Symphony No.10 (iv). Three temporal snapshots are shown in order to reveal how the perceptual present, musical memory and future expectations evolve as one complete process.

Example 10.6 Symphony No.10 (iv) – Evolving Expectations

The image shows a musical score for Example 10.6, Symphony No. 10 (iv) – Evolving Expectations. The score consists of two staves, with the first staff in treble clef and the second in bass clef. The music is marked with a piano (*p*) dynamic. The score is divided into three sections by vertical dashed lines, each labeled 'SY' (Structural Unit). The first section is from bar 69 to the first 'SY' line. The second section is between the first and second 'SY' lines. The third section is between the second and third 'SY' lines. Below the score, three numbered points describe the state of expectations and memory at different stages:

1. At the onset:
No precise expectations
Perceptual present
2. By the Third Bar:
Musical Memory
Limited voice-leading expectations
Perceptual present
3. By the Sixth Bar:
Musical Memory
More precise durational expectations, due to potential SY phrase structure
Perceptual present

Horizontal arrows indicate the duration of 'Musical Memory' and 'Perceptual present' for each section. The 'Perceptual present' duration increases from the first to the third section, while 'Musical Memory' spans the entire duration of the first two sections.

In particular, as further progress is made into the phrase, expectations grow exponentially relative to the perceptual present; expectations are realised as the SY prospects of the phrase are followed through. Nevertheless, when this phrase is repeated, it is extended in order to break down those expectations – expectations that have now been reinforced by the SY realisation of the first presentation. This has clear implications for the way in which momentum *accumulates* throughout the listening process (itself a process of accumulation).

As noted above, when compared to SY, GS instead offers a particular form of *imbalance* relative to an initial impulse. It is for this reason that GS is more often associated with dynamic rather than static effect. However, its ubiquity in nature means we are similarly sensitive to this ratio – upon its completion we can experience an equally satisfying sense of resolution, but one that is, retrospectively, significantly more focused upon its *asymmetrical*, or rather GS, point of division. SY is a crucial grouping law of Gestalt psychology; GS is its antithesis, offering inequality rather than equality, imbalance rather than balance, and dynamism rather than stasis. The presence of *both* SY and GS in the symphonies therefore allows a constant dialectic between these effects, ensuring that the music never becomes predictable or facile. Indeed, evolving expectations ensure that both can create a degree of forward motion.

This notion of expectations therefore reveals another important issue regarding the perception of proportional structures, and one that is regularly used to condemn this form of analysis: that its comprehension is necessarily retrospective.²⁶ For instance, it might be claimed that we can only appreciate what occurred at GS+ after a section has finished, so it is impossible to feel motion up to and away from this point during the music. Now there may be some truth in this claim, but only, I suggest, for

²⁶ For example, see Livio, 2002:187.

the first listening of a work, and only then for isolated, individual proportions. In fact this is true of every other musical parameter, as we struggle to assess the significance of new events without a clear understanding of their eventual goal. However, the first listening of a work is a different process to all successive experiences, and as we become familiar with a piece, we begin to listen in a more goal-directed manner, as its limits become predefined.²⁷ Repeated listening is therefore essential in the perception of proportional schemes, for it allows a spatial model of the entire work to develop in our memory against which we can compare the immediate musical experience.

But there is a problem with this claim, for directionality and balance are readily perceptible in this music: repeated listening is *not* necessary for their communication. There are several reasons for this fact; the first refers back to earlier observations regarding expectation, wherein a section does not need to have finished in order for the listener to construct a mental, hypothetical realisation of its direction. In Example 10.6 above, the SY organisation of the original impulse can be intuited roughly by its sixth bar, providing the listener with a model against which to compare the actual material. This type of pattern matching is crucial in generating directional expectations, for it functions without recourse to an exact memory of the phrase.

Most importantly, proportions rarely exist in isolation in Shostakovich's music; the Russian Doll effect ensures that individual proportional links are frequently supported by additional, nested relationships. In a sense, therefore, each time we 'zoom in' on a particular passage, we encounter another series of more local-level, nested proportions, and at the lowest level there exists tritone-led voice leading. Even Example 10.6 could be further subdivided into smaller SY units nested within

²⁷ And, as discussed above, the sensitivity of performers towards SY or GS relationships will impact upon the projection of motion to and away from crucial axis points, which, by implication, may affect our ability to perceive that directionality.

the global shape – each 4-bar unit could be subdivided into two 2-bar units, each of which are further sub-divisible. Each level thus generates its own directional impulse, meaning that energy can be experienced over shorter time-spans. And this ensures that part of the pattern-matching process involves comparing SY and GS dimensions across different structural levels, with the close link between form and content regularly allowing local proportions to act as a template for longer-range connections. So although higher-level proportions are necessarily perceived retrospectively, lower-level relationships pass more quickly, allowing the listener to assimilate and reassess relative proportions, and to construct expectations of broader structural shapes. Energy is therefore consolidated through the interaction of multiple proportional systems, so it can be perceived *during* the listening process.

As noted in Chapter 1, there are three forms of interaction that appear most frequently throughout the symphonies: axial, cumulative and enclosed proportions.²⁸ By now it is hoped that their individual contributions to feelings respectively of gravitational pull, dynamism or stasis within specific works is clear, and, in particular, the extent to which this contribution is closely linked with content. And, as described above, a work does not need to have finished in order to perceive these patterns. Moreover, it is important to note that when proportions appear in axial, cumulative or enclosed formations, the specific designation of individual elements – SY or GS – becomes less significant than their usurping global shape. As such, the Gestalt principle of grouping also controls this higher level, revealing pattern and order not only between sound events, but also between proportional impulses. And this makes musical sense: as stated above, we do not consciously *think* in proportions, so to perceive individual systems in isolation would imply their extraction from the

²⁸ See Example 1.9, page 24.

complete symphonic context and structure. Rather, they are subconsciously *felt* as contributing to an overall sense of energy, whose principal perceptual dimensions are gravity, dynamism and stasis. The function of individual proportions therefore becomes subservient to these higher patterns of order, creating global unity in spite of lower level SY and GS diversity. When combined with lower-level tritone-led directionality, the functional significance of Russian-Doll nesting upon multi-dimensional energy becomes clear.

Our ability to perceive the *effects* of proportional distribution, rather than proportional distribution itself, is of primary importance here, and there is no doubt that this music has a remarkably potent sense of energy. Crucially, this exists without necessary reference to biographical details: it is situated *within* the music, not outside. As such, the energy that so many in the past have interpreted as Shostakovich's anti-Stalinist infuriation – or, indeed, pro-Stalinist support – is equally palpable today to those 'listeners who have never heard of Stalin's Great Terror' (Fanning, 2000:31). Indeed, this sense of energy often attracts listeners to the music, and may well ensure its enduring appeal. The pluralities and contradictions of Shostakovich's life are unique, and there are equal pluralities in his music – a factor no doubt contributing to its fascination and popularity. Those who enjoy the depth of social and political contexts and sub-texts will be satisfied; those who simply take pleasure in the music's drama will be equally content. However, we are beginning to uncover that those who seek music that is intellectually, as well as emotionally, conceived – music that is somewhat *formalist*, in the most positive sense of the term – can find equal enjoyment and satisfaction in Shostakovich and his fifteen Russian Dolls.

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