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AESTHETIC EXPERIENCE IN MUSIC: CASE STUDIES IN COMPOSITION, PERFORMANCE AND LISTENING

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Submitted for the degree of DPhil in Music

University of Sussex

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I hereby declare that this thesis has not been, and will not be, submitted in whole or in part to another University for the award of any other degree. However, the thesis incorporates to the extent indicated below, material already submitted as part of required coursework for the degree of Masters in Music, which was awarded by the University of Sussex.

Sections **3.3.3- 3.3.7** are revised and expanded versions of a term paper submitted for the course Music and Critical Thought II as part of this MA in Music. The interview transcript within Appendix E, pages E2-E15, appeared in the Appendix of the same paper.

Signature:.....

S. M. Wilkins

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UNIVERSITY OF SUSSEXSuzanne Mary Wilkins

DPhil in Music

Aesthetic Experience in Music: Case Studies in Composition, Performance and Listening

This thesis explores the roles of the composer, listener and performer in the construction of aesthetic experience and develops new theories in order to elucidate these roles. It uses a series of six diverse case studies to show how these relationships can shape the experience created in the reception of music. In so doing, it sees the creation of musical experience as an intersubjective phenomenon. The theories explored within this work suggest new and different foci on the relationships between the roles within musical production and reception and greatly expand existing understanding of how music is communicated meaningfully and how cultural value is attributed to certain musical works. These theories are all constructed using the concept of the chain of communication which includes the relationships between composers, listeners and performers.

The first chapter uses two case studies to investigate musical listening through an empirical investigation into Johann Sebastian Bach's Double Violin Concerto and a reception-based examination of Gustav Mahler's Fourth Symphony. In the second chapter, musical composition is studied through examinations of a variety of works by Joseph Haydn and Franz Schubert. Finally, Chapter Three looks at musical performance through case studies on the work of the Early Music ensemble Red Priest and Procol Harum's song 'A Salty Dog'.

The approaches used to examine the case studies are taken from a variety of fields and areas, ranging from music psychology to myth-studies. In this way, this work fills a gap in musicological understanding of aesthetic experience, as it combines research from a variety of fields to further elucidate musical experience: an approach which has not previously been used within musicology. In so doing, this work examines how experience can be shaped and how it is subject to historical and cultural conditioning.

Table of Contents

Statement.....	ii
Acknowledgements.....	iii
Summary	iv
Contents.....	v
 0 Introduction	 1
0. 1 Introduction.....	1
0.1.1 Aesthetic Experience.....	2
0.1.2 Key Terminology	9
0. 2 Overview by Chapter.....	17
 1 The Listener's Role in the Construction of Aesthetic Experience	 22
.....	22
1. 1 Introduction.....	22
1.1.1 A Listener's 'Horizon of Expectations' and Composer-myths	25
1.1.2 Myths and Mythologisation.....	29
1. 2 The Bach Myth.....	31
1.2.1 Empirical Case Study: Listener Expectations and J. S. Bach's Concerto for Two Violins, BWV 1043.....	40
1. 3 The Mahler Myth.....	47
1.3.1 Mahler's Fourth Symphony as Programme Music	55
1.3.2 The Symphony and its Programme in Relation to the Mythologisation of Mahler	71
1.3.3 Cognitive Dissonance.....	73
1. 4 Conclusion	76
1.4.1 Mythologisation and Alignment	77
 2 The Composer's Role in the Construction of Aesthetic Experience	 80
.....	80
2. 1 Introduction.....	80
2. 2 The 'Public' and 'Private' Works of Joseph Haydn.....	86

2.2.1 ‘Private’ versus ‘Public’ Symphonies: Haydn’s Symphonies Numbers 90-104	91
2.2.2 ‘Private’ versus ‘Public’ Piano Sonatas: Haydn’s Late Piano Sonatas	110
2. 3 Success and Failure in the Works of Franz Schubert.....	114
2.3.1 Schubert and the Lied.....	114
2.3.2 Schubert and Opera: <i>Alfonso und Estrella</i>	122
2.3.3 Schubert the Symphonist: Two C major Symphonies (D589 & D944)	130
2. 4 Conclusion	137

3 The Performer’s Role in the Construction of Aesthetic Experience

.....	139
3. 1 Introduction.....	139
3. 2 Procol Harum.....	142
3.2.1 Three Versions of ‘A Salty Dog’	143
3.2.2 Studio Versions (Recordings a- m).....	144
3.2.3 Orchestral Versions (Recordings n- p).....	146
3.2.4 Choral Versions (Recordings q- t)	150
3.2.5 Musical Changes and their Broader Contexts	154
3.2.6 A Change in Genre: Progressive Rock and Symphonic Rock.....	155
3.2.7 ‘A Salty Dog’ as a Memorial.....	162
3.2.8 ‘A Salty Dog’ and its Audiences	164
3. 3 Red Priest	166
3.3.1 The Historically Informed Performance Movement	167
3.3.2 Red Priest in Performance	171
3.3.3 Moments of Musical Narrative	173
3.3.4 Moments of Narrativizing of Absolute Music.....	177
3.3.5 Moments of Performance Narrative	179
3.3.6 Pure Performance Moments	181
3.3.7 Non-narrative Moments	183
3.3.8 Red Priest’s Performances and the Chain of Communication	184
3. 4 Conclusion	195

4 Conclusion	197
4. 1 Summary	197
4. 2 The Historical Contexts of the Chains of Communication	206
4. 3 The Chain of Communication and its Ramifications for Understandings of Aesthetic Experience	208
4. 4 The Interactions between the Links within the Chain of Communication	212
4. 5 Conclusion	213
References	215

Appendix A: Details of the Empirical Investigation into J. S. Bach's Concerto for Two Violins (BWV 1043)	A1
Contents	A1
1. Questionnaire Template	A2
2. Methodology and Key Results	A19
3. Score of the Extract from J. S. Bach's Concerto for Two Violins	A24
4. Score of the Extract from Telemann's Concerto for Two Violins	A26

Appendix B: Mahler's Symphony No. 4	B1
Contents	B1
1. The German Text of <i>Das Himmlische Leben</i>	B2
2. An English Translation of <i>Das Himmlische Leben</i>	B4
3. Mahler's "programme" as Constructed from Secondary Sources	B6

Appendix C: Scores of <i>Erlkönig</i>	C1
Contents	C1
1. <i>Erlkönig</i> by Franz Schubert	C2
2. <i>Erlkönig</i> by Carl Friedrich Zelter	C8

Appendix D: 'A Salty Dog' by Procol Harum	D1
Contents	D1
1. Recordings of 'A Salty Dog'	D2
2. Lead Sheet of 'A Salty Dog'	D6
3. Words of 'A Salty Dog'	D9
4. Additional Latin Text and English Translation	D10

5. Selected Promotional Material	D11
6. Tempo Graphs of Selected Performances of ‘A Salty Dog’	D14
Appendix E: Red Priest	E1
Contents	E1
1. Transcript of an Interview with Piers Adams	E2
2. Publicity Photo of Red Priest	E15

0. Introduction

0. 1 Introduction

This thesis explores the roles of the composer, listener and performer in the construction of aesthetic experience and develops new theories in order to elucidate these roles. It uses a series of six diverse case studies to show how these relationships can shape the experience created in the reception of music. In so doing, it sees the creation of musical experience as an intersubjective phenomenon. The theories explored within this work suggest new and different foci on the relationships between the roles within musical production and reception and greatly expand existing understanding of how music is communicated meaningfully and how cultural value is attributed to certain musical works and practices.

Furthermore, this thesis takes aesthetic experience as an object of enquiry in itself, rather than accepting it as an unexaminable end-product of an engagement with music. However, since it is through an engagement with the music that aesthetic experience can potentially be brought into being, many of the methods used are inspired by reception studies, in particular the literary hermeneutics of Hans Robert Jauss, which are focussed on in Chapter One. Nonetheless, the methods used throughout the thesis are far from a straightforward application of literary reader-response theories to music. Instead, the thesis uses and combines many diverse theoretical approaches, not least in order to do justice to such a broad range of repertoires. This approach is necessary when addressing such a multi-faceted phenomenon as the aesthetic experience created by music. This is especially true since most people engage with vastly different repertoires, and although the experiences they gain from these may be different, they often approach the repertoire in very similar ways. The approaches used to examine the case studies are therefore taken from a variety of fields and areas, ranging from music psychology to myth-studies.

In this way, this work fills a gap in musicological understanding of aesthetic experience, as it combines research from a variety of fields to further elucidate musical experience: an approach which has not previously been used within musicology.

Although it was not a deliberate criterion of selection, it is a characteristic shared by some of the pieces chosen that they have, at some point in their reception history, been experienced in notably strong ways. For example, twentieth and twenty-first century listeners to Johann Sebastian Bach's Double Violin Concerto have repeatedly

reported extremely positive reactions to the music and in the 19th century there was notable disdain shown towards Schubert's opera *Alfonso und Estrella*. As such, these are excellent points from which to start an investigation into how music is experienced.

Before any of these case studies can be introduced in more depth, the key theoretical framework must be outlined, key terms fully explained and, if necessary, defined. The following section therefore gives a brief theoretical overview of the term 'aesthetic experience' (0.1.1) before outlining important terminology (0.1.2). A general outline of each chapter and its case studies is in Section 0.2 on pages 17-21.

0.1.1 Aesthetic Experience

The aim of this thesis is to investigate the idea of aesthetic experience, in order to discover and question various ways in which music can be used to bring into being such experiences and if it fails to do so, why this may be. Therefore, the arguments presented throughout the next three chapters refer repeatedly to how aesthetic experience is constructed and shaped through the actions of the different people involved in its composition, performance and reception.

It is of great importance that the meaning of the term aesthetic experience and the theoretical background to its usage is discussed before these investigations into its construction can be presented. This theoretical background cannot be more than concisely summarised without dwarfing the remaining chapters, since aesthetic experience is a contentious concept within many fields, as can be seen below. Furthermore, since the aim of this thesis is to elucidate how aesthetic experience is brought into being, rather than questioning the nature of aesthetic experience itself, discussions of many such philosophical investigations into the term have been kept to a minimum. Instead, this introduction will serve to present some of the main debates concerning aesthetic experience in both musicology and other fields and will question its usage as a fixed concept before then situating my own work within these arguments.

The philosophical branch of aesthetics is one available starting place when trying to gain a clearer understanding of what aesthetic experience is and indeed debates over aesthetic experience have concerned philosophers throughout the ages. Despite this, within philosophy there is little agreement as to what constitutes an aesthetic

experience or what the fundamental characteristics of it are, with some descriptions being diverse and even at times contradictory.¹

For example, it could be argued that aesthetic experiences are experiences that are had when engaging with works of art.² Nonetheless, as argued by Nick Zangwill, this approach is problematic since it ‘replaces one terminological vagueness with a different one’;³ since what exactly can be described as a work of art? Additionally, as also pointed out by Zangwill, it suggests that there is just one type of aesthetic experience that is had in response to works of art, a notion that is immediately seen as a fallacy when compared to how works of art are actually experienced.

In her overview of aesthetic experience, Diané Collinson isolates some of the most common characteristics and debates which surround the term. One of the most frequently discussed of these is the idea that aesthetic experience is essentially contemplative,⁴ an idea commonly drawn from the writings of Arthur Schopenhauer.⁵ That is to say that, ‘in aesthetic experience one is sunk in contemplation of some object and ceases to impose upon it the usual spatial, temporal and causal connections.’⁶ In this way, contemplation refers to the idea of losing oneself in the aesthetic moment; nonetheless, passivity is not a requirement of such a state, which also encompasses an active engagement with the work being contemplated.⁷ The concept of aesthetic contemplation is not wholly unproblematic, with some arguing it ‘is the product of masculine bias’ and others seeing it as a form of perception which therefore implies different relationships between the perceiver and the object than are usually described within theories of contemplation.⁸ Nonetheless, the concept is one returned to frequently by philosophers, psychologists and other scholars and is an idea that seems sensible when thinking about the way in which music is usually experienced.

¹ Diané Collinson, ‘Aesthetic Experience’ in ed. Oswald Hanfling, *Philosophical Aesthetics: An Introduction* (Oxford: Blackwell, 1992), 111

² Others, most famously Kant, dispute this and see aesthetic experience as something primarily to do with an engagement with nature and not art. cf Immanuel Kant, *The Critique of Judgement*, trans. James Creed Meredith (Oxford: Clarendon Press, 1986), in particular Part I, Book II, §23, 91 and §48, 172-173

³ Nick Zangwill, ‘Aesthetic Experience’, in Tim Bayne; Axel Cleermans and Patrick Wilken (eds), *The Oxford Companion to Consciousness*, Oxford University Press Inc, *Oxford Reference Online*, <<http://oxfordreferenceonline.com>> Accessed October 19th 2011

⁴ Collinson, ‘Aesthetic Experience’, 118

⁵ Christopher Janaway, ‘Schopenhauer, Arthur’, (1998, 2003) in E. Craig (ed.), *Routledge Encyclopedia of Philosophy*, (London: Routledge) Accessed October 15th 2011

<<http://www.rep.routledge.com/article/DC072SECT5>>

⁶ Ibid

⁷ Collinson, ‘Aesthetic Experience’, 132-133

⁸ Malcolm, Budd, ‘Aesthetics’, (1998) in E. Craig (ed.), *Routledge Encyclopedia of Philosophy*, (London: Routledge) Accessed October 15th 2011 <<http://www.rep.routledge.com/article/M046>>

The notion of contemplation also relates to part of the empirical investigation into listeners' experiences of the slow movement of Bach's famous Concerto for Two Violins found in Chapter One. Within this one of the fundamental characteristics used in the gauging of aesthetic experience is the category of 'rapt attention', which is clearly a very similar concept. In the same way, the focus on the relationship between passive listening and active engagement is an idea which is extended within Chapter Three, in which the way in which active engagement with music can in turn lead to other extra-musical behaviours is discussed. These behaviours are then examined to show the ways in which they can in turn affect the music's performance using an example of a song by Procol Harum.

Two other concepts also frequently discussed in relation to aesthetic experience are disinterestedness and will-lessness,⁹ concepts associated with Kant and Schopenhauer respectively. Despite clearly underpinning many important debates within philosophical approaches to aesthetic experience, these concepts are not directly related to this project. This is because firstly they do not focus on the intersections between composers, listeners and performers and secondly since philosophical thought of such abstraction does not easily lend itself for application in the analysis of concrete musical case studies.

There are very few investigations specifically into constructions of musical aesthetic experience and many of these are fairly old and thus reflect techniques which are not so commonly found in current musicology. One such examination of musical experience is Roger Sessions' *The Musical Experience of Composer, Performer and Listener*,¹⁰ a collection of six lectures which reflect on the different roles played by each part of what I have termed the chain of communication. In this, Sessions relates musical experience to broader historical and analytical features, such as the development of notation. Nonetheless, his study is often beholden to more limited and discrete understandings of each role, and does not take the intersections between each part as its focus. My study can therefore be seen to complement this older examination by developing a more holistic approach towards understanding musical experience.

⁹ Immanuel Kant, *The Critique of Judgement*, Part I, Book I, §1-6, 42-50; Arthur Schopenhauer, *The World as Will and Representation*, trans. E. F. J. Payne, third book (New York: Dover, 1969), §32, 174-176

¹⁰ Roger Sessions, *The Musical Experience of Composer, Performer, Listener* (Princeton: Princeton University Press, 1950)

At the same time, the situation today is unaided by the seemingly overwhelming use of specialist knowledge and terminology that music can present to philosophers, psychologists and those working within other fields, and vice versa. This has resulted in research with some similar aims being fragmented into areas of fairly remote disciplinary branches, and few writings which are able or willing to draw any of these elements together.

For example, philosopher Paul Boghossian approaches the issue in his chapter 'Explaining Musical Experience,' in which he immediately focuses on music and emotions, since we 'often respond to a musical performance with emotion.'¹¹ In so doing he exemplifies many of the problems seen when dealing with aesthetic experience in music: firstly, by immediately limiting what promises in the title to be a discussion of musical experience to, in this case, a very precise discussion of how music can provoke an emotional response and secondly by referring to no music throughout other than in broad and sweeping examples.

Other investigations into musical experience tend to be fragmented and often focus on trying to explore the main characteristics of the phenomenon. This approach can be seen in collections such as Reimer and Wright's *On the Nature of Musical Experience*,¹² in which the writings of twenty of the preeminent scholars, composers and performers whose work either implicitly or explicitly deals with issues of musical experience are scoured to form lists of what the authors see as the features of aesthetic experience described by each writer. Although this gives a good overview of some of the key ideas surrounding debates within the field, the approach is of limited practical use, since by being presented in list-form it by necessity cuts many of the broader issues and subtleties surrounding the ideas. The second part of the same study attempts to draw some common themes from these lists and poses numerous research questions that need to be addressed for clearer understandings of musical experience to be achieved. As such, this study is very broad and serves as an introduction to many of the key research questions that are faced when examining musical experience, some of which are answered by my thesis.

Finally, there are of course investigations which focus more heavily on a philosophical outlook, such as the phenomenological reflections on musical experience

¹¹ Paul Boghossian, 'Explaining Musical Experience' in Kathleen Stock (ed.), *Philosophers on Music: Experience, Meaning and Work* (Oxford: Oxford University Press, 2007), 117

¹² Bennett Reimer and Jeffrey E. Wright (eds), *On the Nature of Musical Experience* (Colorado: University Press of Colorado, 1992)

seen in *Understanding the Musical Experience*.¹³ Works such as these often focus on the experience of the temporal or acoustical attributes of music as sound, rather than on larger-scale examples of musical works and their contexts.

It can therefore be seen that even within studies of musical aesthetic experience, the focus is still predominantly on defining the term and describing its main characteristics, rather than on relating how specific musical works can create aesthetic experience; how and why some of these do so successfully and yet others do not; and what impact the various roles that are necessary when creating and listening to musical sounds have on the overall process: all of which are discussed in depth throughout the following chapters.

Thus, the rationale behind my work is to fill these gaps within musicological approaches to aesthetic experience. Consequently, instead of immediately reducing aesthetic experience down to its supposed characteristics, and then using a single method to examine these, I focus on aesthetic experience as a phenomenon in its own right which thus requires a multi-faceted approach to elucidate it. As a consequence, I draw together research into aesthetic experience and other related phenomena from a variety of fields and combine these with concrete musical examples which directly relate the aesthetic experience created to the reception and production of musical sounds and works. This approach forms the basis of the theoretical speculations at the heart of each chapter and casts new light on musical experience. For example, Chapter One combines theories of aesthetic reception and theories of cognitive dissonance and in so doing puts forward a new theoretical basis for how the mythologisation of canonic composers affects listeners' experiences of the works by these composers.

Certain key characteristics of an aesthetic experience, such as that of contemplation, can be described, debated and indeed often agreed upon by the various scholars tackling the issue. However, it is equally clear that although there are certain aspects of aesthetic experience which are repeatedly discussed as significant, no clear single definition of what aesthetic experience is can be reached, or is indeed likely to be reached at any point in the future.

Thus, aesthetic experience can be said to be what Gallie calls an 'essentially contested concept', a term which he explains by saying: 'There are concepts which are

¹³ F. Joseph Smith (ed.), *Understanding the Musical Experience* (Montreux: Gordon and Breach Science Publishers, 1989)

essentially contested, concepts the proper use of which inevitably involves endless disputes about their proper uses on the part of their users.’¹⁴

Gallie further explains his argument by clarifying five conditions which must be met in order for a concept to be essentially contested,¹⁵ all of which are apparent in the way in which the concept of aesthetic experience is debated by scholars. It is not necessary to explain the precise details of these conditions; however, it is interesting to look at the fifth and final one as it is particularly important for my reasoning. Gallie states that ‘to use an essentially contested concept means to use it against other uses and to recognize that one's own use of it has to be maintained against these other uses.’¹⁶ As can be seen from the very brief overview of some of the main characteristics that, according to scholars, form aesthetic experience, this latter condition perfectly exemplifies the difficulty of defining aesthetic experience.

Consequently, my work takes a different approach to examining aesthetic experience, which complements, but moves away from studies which focus on clarifying the concept through definitions. In the following chapters I develop a process through which understandings of the concept of aesthetic experience can be expanded. This is achieved by seeing aesthetic experience as a dynamic process which is located at the intersections between composers, listeners and performers. Thus, rather than focussing on definitions of the term, I instead work to elucidate the very process through which it is brought into being and shaped and how the actions of various parts of the chain of communication affect this process.

The only exception to this deliberate step away from definition is in Chapter One, in which an empirical investigation is undertaken to give further weight to the speculative theories of Jauss. Since ‘clarifying an adequate notion of aesthetic experience is essential if empirical investigation of the phenomenon is meaningful’¹⁷ it was not possible to design an experiment unless certain characteristics of aesthetic experience were isolated and used as measurements of the experience of subjects. However, this one exception does not undermine the decision not to define aesthetic experience as a whole, since this empirical work is being used to substantiate the

¹⁴ W. B. Gallie, ‘Essentially Contested Concepts’, *Proceedings of the Aristotelian Society* (New Series, Vol. 56, 1956-1957), 171-172

¹⁵ Ibid

¹⁶ Ibid, 172

¹⁷ Zangwill, ‘Aesthetic Experience’

theories developed using other methods, and therefore there is no fundamental conflict within the methodology.

My thesis examines the issues surrounding the construction of aesthetic experience, rather than implicitly accepting that aesthetic experience is often a by-product of an engagement of music. It also moves away from the idea that aesthetic experience is either created or not, instead examining the ways in which various people can shape and enhance aesthetic experience. In this way, my work offers new understandings into the way in which music is experienced meaningfully. For example, it shows how the prejudices and preconceptions of listeners, and particularly their expectations of canonic composers, affect the ways in which the music is listened to; how composers are often aware of a broad chain of communication expanding out of their production process; and how performers can enter into quasi-contracts with listeners or re-compose historical works in order to offer a heightened experience for listeners. This overview of the key themes to be presented throughout the following chapters shows just how different this approach is to a more conventional discussion of musical experience, especially since it looks at music in action rather than at abstract theoretical or philosophical concepts.

Clearly, there are always issues surrounding this approach, particularly as every musicologist and subsequently every musicological investigation cannot escape the fact that it is culturally and historically placed and grounded, thus having certain inevitable biases. Nonetheless, I believe that this approach can be of great benefit and issues a challenge to those which look at ‘ideal’ audiences or performances, since these are often speculative, whereas my approach does engage, often empirically, with actual listening, composing and performance events.

There is however, one idea about aesthetic experience that virtually everyone can agree upon, that ‘it is an experience to be prized very highly.’¹⁸ Whilst this cannot be said to be a sufficient condition for aesthetic experience, it is nonetheless an important and arguably even necessary one. Consequently, I believe that the fact that such experiences are generally positive and are sought after by all those involved in the musical process is one of the simplest and yet one of the most important features of the construction of musical aesthetic experience. Thus my arguments centre on the idea that various parts within the chain of communication are working to ensure that this

¹⁸ Collinson, ‘Aesthetic Experience’, 115

aesthetic experience is as intense as possible, and that when musical works are failures at their reception points, it is often due to a misapprehension somewhere within this chain, as discussed and clarified in case studies in Chapter Two.

0.1.2 Key Terminology

Although much of the work within this thesis enters into debates that are drawn from and relate to other fields, such as philosophy, literary studies and psychology, the terminology used throughout assumes no expert knowledge of these fields and any specialist terms are therefore explained when they are first used. Nonetheless, a few expressions are of such importance to the overall arguments that it is well worth offering a brief clarification of them and their theoretical contexts within this introduction.

This section offers very short explanations of some of the key theories of the literary theorist Hans Robert Jauss, including ‘expectations’ (0.1.2.1) and ‘aesthetic distance’ (0.1.2.2), as well as introducing some of the other key theoretical terms of the thesis such as ‘chain of communication’ (0.1.2.3) and ‘alignment’ (0.1.2.4).

0.1.2.1 Expectations

Some of the terminology used in this thesis is drawn from the theoretical work of Hans Robert Jauss, a literary theorist who speculated on the relationship between readers and texts. One particularly important expression taken from his work is that of the ‘horizon of expectations’.¹⁹ However, despite the importance of the term expectations within Jauss’ work, he never defines what he means by the word, although it is clear both from his broader writings and the writings of those who influenced him that he uses the term to mean the pre-existing prejudices, beliefs and experiences of readers that either consciously or subconsciously affect their experience of a written text. Thus, ‘horizon of expectations’ is a term used to describe the full breadth of these expectations whilst also implying that there is a lack of definite boundaries to them. This holistic approach underlies the whole of this thesis in which the expectations of listeners, composers and performers are seen to alter the ways in which the music is experienced. Therefore, within this thesis I have adopted this broad usage to include not only the literal

¹⁹ Hans Robert Jauss, *Toward an Aesthetic of Reception*, trans. Timothy Bahti (Minneapolis: University of Minnesota Press, 1982) passim, especially chapter one

expectations of people involved within the musical process, but also their Jaussian expectations.

0.1.2.2 Aesthetic Distance

Another key term which is also drawn from Jauss' work is the idea of aesthetic distance. He characterises this term in relation to audience reactions in one of the seven theses that underlie one of the main collections of his work. The core of this characterisation suggests that aesthetic distance is: 'the disparity between the given horizon of expectations and the appearance of a new work, whose reception can result in a "change of horizons" through negation of familiar experiences or through raising newly articulated responses to the level of consciousness.'²⁰

Aesthetic distance is therefore a gap between the horizon of expectations of readers and the experience that can be brought into being through reading a new text. I have extended this idea to relate it to the gap in understanding between a musical composition or performance and the expectations of the listeners, performers and composers when approaching a work. Indeed, bridging this gap is of absolute importance in the construction of aesthetic experience and is the concern of all parties involved within a musical experience, even if they are not explicitly aware of their attempts at doing so. This gap is also arguably wider for the present-day performance of music which has no continuous performance tradition with its original performance setting, since the horizon of expectations of the present listeners are different to the horizon of expectations of the original listeners for whom the works were composed, therefore requiring various techniques and cognitive strategies in order for this gap to be bridged. The notion of striving to bridge this gap, an undertaking which is not always successful as shown in Chapter Two, is discussed throughout this thesis.

Jauss' theories therefore assume an open-minded approach towards the relationship between reader and text and describe how aesthetic experience relates to aspects beyond the moments of reading and the text being read. For example, he describes how, when approaching a text the reader is not only met by the written words, but has existing prejudices and expectations about how the text fits into a broader context of genre, repertoire etc.: all of which can affect the way in which it is experienced.²¹

²⁰ Hans Robert Jauss, *Toward an Aesthetic of Reception*, 25

²¹ Ibid, 22-24

The theoretical position adopted in this thesis can in this way be said to be broadly Jaussian, as it is inspired by Jauss' open-minded approach towards where readers draw their influences from. That is to say, it looks for novel ways of examining the relationships brought into being within musical communication. However, Jauss' approach of course is notably different in many ways from mine, as a literary model of communication will have many differences to a musical one. Nonetheless, the concept that existing prejudices, expectations and experiences mould the aesthetic experiences of those holding them is one of my underlying theoretical principles and is greatly expanded upon within this thesis. This is seen throughout the following chapters, but perhaps the most surprising result is seen in Chapter One, in which empirical evidence is put forward to back up my theory that listeners with mythologised beliefs about canonic composers experience the music of these composers differently to listeners who do not hold such beliefs.

0.1.2.3 The Chain of Communication

Much of the methodology of the following chapters is based upon the notion of a chain of communication which links different combinations of performers, listeners and composers. The chains of communication within this thesis are very simply just illustrations and explanations of who plays or has played a role, either active or passive, in a given case study. These chains are not being used in the same way as within existing musical communication studies, in which they are used to represent some sort of symbolic communication between communicator to recipient, such as the communication of an expressive intention from composer to listener.²²

There have been some attempts to expand this simplistic model of musical communication in order to gain a better understanding of the actual relationships between links which are rarely, if ever, as simple as this model suggests. For example, Tarasti encourages expanding this model with an awareness of both music taking place in actual historical places and times and of the fact that listeners do not just receive a message passively, but have to relate what they hear to internalisations of outer reality.²³ Tarasti continues by stating that 'a musical situation should be taken as the crossroads of signification and communication, the place where physical/implied author and

²² Patrik N. Juslin, 'From Mimesis to Catharsis: Expression, Perception, and Induction of Emotion in Music', in Dorothy Miell, Raymond Macdonald and David J. Hargreaves (eds), *Musical Communication* (Oxford: Oxford University Press, 2005), 86-87

²³ Eero Tarasti, *Signs of Music: A Guide to Musical Semiotics* (Berlin: Mouton de Gruyter, 2002), 73-87

physical/IMPLIED listener meet:²⁴ by this he means that musical meaning is constructed at the meeting point of the message and the internal processes described above. Thus, he suggests that ‘Beethoven as a physical person and Beethoven as an “IMPLIED composer” are two different things.’²⁵

One issue of this approach is that it is still beholden to a one-way system of communication between a composer as a source of a communication, and the listener as a receiver. Nonetheless, it does show an awareness of how a composer can be split into two separate identities. This is because, as shown in Chapter One below, the listener makes a division between the composer as a person and the IMPLIED composer; in fact it is a clear part of a listener’s musical experience that such a division is made and that mythologised representations of composers and their lives is a key part of the actual musical experience process. Thus, listeners produce a mythological idea of the composer and this is both necessary and worth distinguishing from the actual composer.

My chains of communication are meant to encompass the idea of communication in the absolute broadest sense. Thus, arrows represent not just the actual communication of sounds, and in certain cases texts, but also the expectations of the various people who form the links within this chain of communication. In this latter case, the arrowheads therefore point from the link holding the expectations to that of which the expectations are held. As such, the arrow serves as a physical manifestation of the idea that such expectations can affect the aesthetic experience, even if they have no direct effect on the text being performed or the performance of it. For example, in Diagram 0.1 below the arrow running from the listener to the mythologised composer represents the fact that the listener has expectations regarding the composer which affect the way in which he or she experiences the music, rather than implying that the listener plays an active part in the production of the sound.

²⁴ Ibid, 73

²⁵ Ibid

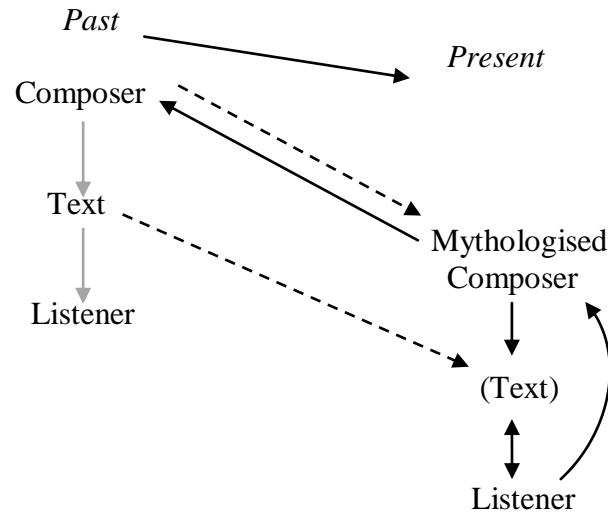


Diagram 0.1: A chain of communication, representing expectations as well as sounds.²⁶

To clarify, there is a performative level at which the actions performed as a result of these expectations can be physically manifested. For example, a performer could alter a text or performance (cf Chapter Three) or a composer can specifically write fashionable references into his or her compositions (cf Chapter Two). As such, the results of these actions can be seen, in performance or within the notation of the musical work. In contrast, cognitive actions, such as the altering in beliefs or understandings (cf Chapter One) have no such physical manifestations. Despite this, they are still vital parts of the process of constructing aesthetic experience.

As such, the arrows seen within these diagrams represent expectations in the broadest sense. These expectations, and the desire to work with the consequences of them, can thus be the cause of these cognitive and performative actions to bring the chains of communication into alignment. The arrows therefore imply a relationship which is important in the construction of aesthetic experience.

By exploring the chains of communication in this more accessible way, rather than seeing communication as a one-way process, it is possible to explore how musical creativity, and as a consequence the potential for musical aesthetic experience, is almost always an intersubjective process. Whereas musical composition is usually undertaken by one creator at one point in time, the cognitive and performative processes which take place for the construction of aesthetic experience can occur across different points in time and be undertaken by various different people. This will be seen throughout this

²⁶ This chain of communication is a reproduction of Diagram 1.1 in Chapter One where it is explained fully.

thesis, such as in Chapter Three's example of a performing group who re-compose a historical composition by Vivaldi to perform to a modern-day audience.

There are numerous different forms of the chain of communication presented within the following chapters. Each one focuses on the most important set of relationships within each case study. The relative importance of each link within the chain can thus be seen to alter within different case studies and chapters. This is not only the result of each chapter looking at different reception points (i.e. some focus on the original reception of works, others on historical reception and others on present-day reception) but also reflects the changing trends and relationships seen within musical composition, performance and reception through history.

Another key aspect of the chains of communication that are presented within this study is that they are not meant to be complete and do not always contain every link included within the creation of experience. For example, the role of the conductor has not been included in any of the discussions of orchestral music. Such gaps as these do not diminish the impact of the discussed case studies, but instead remain opportunities for future research using similar methodology.

The chain of communication thus forms the underlying framework of the thesis, with each chapter focussing on a different link in the chain. Nonetheless, the roles of each link cannot be entirely isolated and discussed as independent entities, and so there is a degree of overlap between the foci of the chapters.

0.1.2.4 Alignment

One crucial theoretical idea developed within this work is that of alignment. It is my theory that when someone or something brings a chain of communication into alignment they actively shape or control the conditions through which aesthetic experience comes about. Indeed, the more aligned the chain of communication, the more favourable the conditions for an aesthetic experience. I argue that for aesthetic experience to be enhanced for the desired contributor within the chain of communication, the relationships within this chain must be brought into alignment if they are not already aligned. As discussed above, these controlling or shaping actions of alignment do not have to be physically manifest and thus visible, or in any way alter the sound or text of the music itself. This is particularly apparent in Chapter One, in which the cognitive processes undertaken by listeners affect their experiences of the music but have no immediate effect on the musical works themselves or the performances of them.

It is worth highlighting at this point that although those within the chain of communication can work to pull the relationships within the chain into alignment, external and indeed often unpredictable circumstances can alter this alignment. Consequently, there are cases, such as if a listener really does not like the music, in which there is no way to pull a chain into alignment and as such no positive aesthetic experience can be created despite the efforts of those in the chain of communication. This demonstrates that, although the theory of alignment can be used to elucidate how aesthetic experience is created through musical composition, performance and reception, it must always be acknowledged that the chain of communication is held within a framework of broader cultural contexts over which those within the chain have a very limited control.

Alignment is not a rigid concept and there is not one alignment that must be reached for an aesthetic experience to be attained, instead alignment is a form of best fit between the links with the chain of communication. When a chain is pulled into alignment the circumstances will be most likely for an aesthetic experience to be intensified. As such, alignment is best understood as a process of mediation between the links within the chain of communication. However, as, as already stated, all chains are situated within a cultural and social context, the process of alignment also has to take into account these contexts. Alignment can therefore be seen as the process of making the best out of every situation, in light of the relationships within the chain of communication and the contexts outside it, in order to encourage the construction of aesthetic experience.

Unlike in other examinations of expectations, my theory therefore acknowledges the full breadth of the chains of communication, not merely examining how a listener is confronted with a musical work, or how a performer or composer prepares for this confrontation, but instead examines how performers, composers and listeners can all shape musical reception.

Furthermore, the theory of alignment extends existing models of communication which often see a successful communication as one in which both the sender and receiver send or receive the identical message, which clearly is often not the case for musical communication. As such, my work expands these models by acknowledging that the roles played within musical communication are flexible and that, whilst it is not necessary to stipulate the identity of the message, there are still certain limitations that must be taken into account if the shaping of musical experience is to be understood.

In conclusion, it is also important to stress that the links in the chain of communication do not always fall within the same historical era, instead bridging a historical gap that can be of hundreds of years, such as occurs for example in a 21st century performance of a Baroque composition. This historical gap implicitly lies at the core of Chapter One, in which composer myths have been used to bridge the gap, and is the direct object of the research into performance in the Red Priest case study in Chapter Three.

0.2 Overview by Chapter

Chapter One examines the listener's role in the construction of aesthetic experience, by using case studies of Johann Sebastian Bach's Concerto for Two Violins, BWV 1043 and Gustav Mahler's Symphony No. 4 in G major.

Firstly, it introduces the theories of the literary theorist Hans Robert Jauss, in particular his notion of readers' horizons of expectations, a focus which encourages theorists to take into consideration the way in which the existing prejudices and expectations of readers of texts mediate their readings. This chapter transfers the core of this theory to music in order to develop an understanding of the way in which historical and canonic musical texts are experienced by listeners, through questioning the expectations and preconceptions that listeners bring to the listening process. These speculative theories are then tested in an empirical investigation using the slow movement of the Bach Concerto for Two Violins. This surveyed forty-eight participants of varying musical ability and backgrounds. The subjects listened to two short musical extracts, one from the Bach piece and another from a similar piece by Telemann, and answered questions about aesthetic experience before and after these, as well as participating in a control condition. The results of this experiment suggest that listeners who approach the music with existing preconceptions relating to the canonic and mythologised ideology of Bach experience the musical extracts in different ways to those who do not hold these preconceptions. Thus, Jauss' speculative theories regarding horizons of expectations held true within more concrete empirical data.

The results of this experiment are then taken further in the second part of Chapter One, in which the mythologised reputation of Mahler is shown to be related to the changing status of his Fourth Symphony. This is investigated by firstly showing that audiences discussed in contemporary reception of the symphony found it difficult to experience the music positively, partially due to the lack of a programme; a 'deficiency' which Mahler helped to overcome by dictating a programme to a friend, which nonetheless was never added to the formal presentation of the symphony. Using this programme as a foundation, this case study then shows that today the programme is also used to help listeners experience the symphony, but now because it ties in with a mythologised reputation of the composer; again demonstrating that a listener's expectations and knowledge of a mythologised and canonic ideology of a composer can affect their experiences of the music.

Both case studies within this chapter therefore focus on the way in which listeners' beliefs and expectations are used to shape the aesthetic experience they gain when listening to the works of two canonic composers. Thus, it can be seen that alignment is created through the holding and alteration of mythologised beliefs about canonic composers.

Thus, although these case studies seem to be disparate as one includes a texted movement and the other is wholly untexted, they do share the same underlying phenomenon of the listeners' expectations affecting the experience. In this way, the chapter develops an enhanced appreciation of the role of listeners within the chain of communication, showing that even when they have little or no input into the production of the music, they still play an active role in the construction of aesthetic experience.

At first sight Chapter Two does not seem to fit easily with the other chapters, as it discusses the role of the composer in the construction of aesthetic experience, using case studies of selected works by Joseph Haydn and Franz Schubert, and their contemporary audiences. This is a notable change from the other two chapters which predominantly discuss modern-day listeners and their approaches to historical music. However, this difference is inevitable if the composer's role in the chain is to be questioned, since composers nearly always focus their compositions on their own contemporary performers and/or audiences, even if they have hopes of them becoming part of a prestigious canon in the future. Thus, it is not possible for the chain of communication within this chapter to cross historical eras in the same way as Chapters One and Three, nonetheless it is related to these chapters through its focus on a link in the chain of communication.

This chapter therefore examines the process that a composer undergoes when composing, focussing particularly on his or her awareness of the expectations of other parts of the chain of communication and the ways in which this awareness can alter the compositions. Using examples taken from Haydn's late piano sonatas and London symphonies and Schubert's lied, *Erlkönig*, opera *Alfonso und Estrella* and symphonies, it is shown how such awareness can affect the reception of musical works, both positively and negatively, and thus in turn affect the audiences' listening and aesthetic experience.

Through the development of a theory concerning the intersubjective relationship that composers can enter into with performers towards creating a musical performance for listeners, it is shown that composers frequently work to create alignment through

this relationship and thus shape the aesthetic experience of audiences. Furthermore, it is suggested that musical creativity must therefore be seen as a collaborative process.

Chapter Three investigates the performer's role in the construction of aesthetic experience, a role which is extremely difficult to discuss independently of the other links within the chain, since many classical music performers often perform the compositions of others within contexts which try to minimise the degree to which the performer can alter the works. This chapter overcomes this issue in two different ways in two contrasting case studies, which nonetheless share a common focus on performance. The first of these examines performances of Procol Harum's 1969 single 'A Salty Dog,' a song which has been altered significantly over its forty-year performance history. This section therefore shows that alterations to the song's performing forces, structure, lyrics and genre are related to the performers' awareness of the expectations of both the active listening community of devoted fans and a broader passive audience of casual listeners. Thus, this section shows how a performer's knowledge of the broader context of the chain of communication, and the expectations of other links within this, have affected the music and its performance. Similarly, it shows that performers can sometimes use the responsibilities of their role to enter into a form of contract with a group of active listeners, using the relationships between these roles to help make an aesthetic experience more intense.

The second part of this chapter examines the work of the Early Music ensemble Red Priest, who perform and record their own re-compositions of the music of the past, predominantly from the Baroque era, creating highly charismatic and spectacular performances which include aspects of twentieth and twenty-first century culture despite these being wholly anachronistic to the original scores. In so doing, Red Priest draw attention to the performance itself, as opposed to the original compositions, in direct contrast with the practices of conventional Early Music groups, and in particular the historically informed performance movement. In this way, Red Priest bridge the gap between the two historical periods within the original chain of communication, that of the music's composition, and that of its performance, by constructing their own new chain of communication which mirrors the original one. This chain of communication thus includes their new re-compositions, the performances of them and the audience present at the performance. This contrasts with the strategy of the historically informed performance movement, proponents of which minimise the role of the performer in order for the original composer to become a focus point within the chain of

communication. Both of these strategies work to bridge the same gap in understanding between listener, composer and performer, although their methods are notably different.

Thus, this third chapter completes the examination of the key links in the chain of communication, but also returns to many of the issues discussed in Chapter One, in particular that of the need for shaping the chain of communication when approaching performances of historical music. This demonstrates just how interlinked the various roles within the chain of communication are and the power of using this better understanding of the expectations of each link, and of each link's understanding of other links, as a means of enquiry into the construction of musical experience.

Furthermore, it was shown how performers can work with the expectations of listeners and broader cultural contexts to create alignment, which in turn can work to enhance the aesthetic experience of the listeners.

It is immediately apparent from the descriptions above that the individual pieces of music that have been selected for this study do not hold many similarities, with examples drawn from disparate genres such as popular music and Classical opera, and from markedly different historical periods and geographical locations, stretching from the Bach violin concerto of the early 1730s, to the performances of Red Priest and Procol Harum which took place in 2011.

However, these case studies have been chosen because they represent clear and strong examples of the ways in which the chain of communication affects aesthetic experience, and so each one adds an extra piece towards forming a more complete picture of how aesthetic experience is brought into being and shaped. Of course, as discussed above, aesthetic experience will never be fully understood, nor arguably would a complete understanding of it be desirable, yet these case studies highlight various ways in which the work of composers, performers and listeners help to make music meaningful.

The thesis as a whole is therefore more concerned with a unity of theme than a unity of topic. This is in order to reap the benefits of having the freedom to choose the best case studies to showcase theoretical ideas, rather than using ones that hold numerous surface similarities yet offer less clarity within my theoretical framework. Similarly, this has also allowed the thesis to be read on two different levels: either at a local level with new insights being presented into the experience of existing repertoire, or at a more general level, with new theories being presented to tackle the problem of understanding musical meaning and aesthetic experience more broadly.

Despite the fact that these case studies seem very different, worthwhile comparisons and connections can be drawn between them, in particular since the relationships between performance, composition and reception as discussed within the different studies shift and evolve through the historical period covered by the thesis as a whole. This is particularly noticeable in the move from a practice of musical composition which is written for performance to a specific, historically-located audience to the performance of historical works within a modern setting. Thus, the conclusions of each chapter can also be read as a broader description and analysis of the historical development of musical composition and reception: these issues are discussed in more depth below in the conclusion.

1. The Listener's Role in the Construction of Aesthetic Experience

1.1 Introduction

Scholarly writings frequently rely on examinations of the composer's role in both the creative process and its reception, with discussions of the composer's intentions (whatever these may be), historical, cultural and social positioning and other details being referred to frequently within musicology. As such, details contained within the biographical data of composers, such as their beliefs, letters or diaries can become valorised as a means of understanding both their music and the experiences created by listening to their music.

A good example of this is Beethoven, whose life story and biographical data is frequently related back to his musical works. A case in point is his Heiligenstadt Testament, which Maynard Solomon describes as 'in a sense...the literary prototype of the *Eroica* symphony, a portrait of the artist as hero, stricken by deafness, withdrawn from mankind, conquering his impulses to suicide, struggling against fate, hoping to find "but one day of pure joy."²⁷ Of course, Beethoven himself could be seen to have played a part in this, knowing that the document would be discovered upon his death, nonetheless the aesthetic response of many critics and music lovers since has been to relate Beethoven's life story to his musical works in this way.

This may be because for much scored music within the Western art music tradition, a composer's part in the creative process is usually seen as ending upon the completion of the work. Therefore once the composer has finished composing, the work is understood as a fixed artefact resulting from this process. Because of this, many musicological examinations work from the premise that there is a limited amount of contextualisation regarding the composer that can be done: through understanding the composer's context and thus the context of the work it is possible to understand elements within the work, how they are projected and how listeners react to them. By contrast, as the consumption side of the creative process is not fixed within a point in history or cultural context, there are conversely an infinite number of listening and performing contexts that can be studied.

This can often lead to a situation whereby the composer's perspective is valued over and above other parts in the chain of communication since it can be limited in its

²⁷ Maynard Solomon, *Beethoven* (London: Cassell, 1977), 121

scope: thus introducing a danger of overlooking how the situations and contexts of listeners can affect their experience of the music. However, the two perspectives are related, as will be seen, since the listeners' expectations are partially moulded by their existing knowledge and prejudices, which are in part formed by knowledge of the composer's purported perspective. It is my argument that it is through the mediation between these two points that the music is experienced by listeners and as such this relationship must be examined and understood.

This chapter will therefore use two case studies to question what the expectations of listeners are, how an understanding of these expectations can be gained and how they are influenced by the mythologisation which surrounds many of the debates and discussions of major cultural figures. It will then use these case studies to construct a theory of the construction of aesthetic experience more generally, with a particular focus on the relationship between listeners and composers.

The chapter opens with a discussion of Hans Robert Jauss' theories concerning the aesthetic experience of readers, particularly the idea of how a reader's horizon of expectations can affect his or her experience of a written text. Some of these theories are later transferred to a musical investigation into how the mythological preconceptions of listeners affect their aesthetic experience when approaching the musical works of canonic composers. In this way, myth and the process of mythologisation for secular figures is also one of the central underlying concepts of this chapter, and an overview of how such issues are approached within myth studies is provided in Section 1.1.2 below.

The first case study looks at the mythologisation of J. S. Bach, who had a predominantly pedagogic reputation in the early nineteenth century. This reputation then changed and Bach became seen as one of the most important cultural figures of the twentieth and twenty-first centuries. Indeed, his music is now one of the keystones of the classical music performance and listening traditions in addition to still performing a pedagogic role. A mythologisation of a perfect, superhuman composer grew analogously with this change in standing and this myth is used, often unintentionally, by many of Bach's supporters and 'devotees' to perpetuate his reputation. This first case study therefore examines the development of this myth before questioning the ways in which its acceptance by listeners, and thus its entering into their horizons of expectations, can help to mould their listening experiences. In this way, myth can become a key part of the relationship between the composer and the listener, even if they are in historically disparate periods. These theoretical investigations are then

explored further in an empirical study into the relationship between the mythologisation of Bach and the slow movement of the Concerto for Two Violins (BWV 1043). The results of this study, which was constructed and analysed using best practice from the social sciences, further strengthened the theories presented within the rest of the case study and chapter by suggesting that subjects who held mythologised views of Bach enjoyed the extracts from the music by Bach more than the subjects who did not hold such beliefs.

The second case study looks at the mythologisation of Gustav Mahler, a composer whose standing has grown dramatically over the course of the twentieth and early twenty-first centuries with a similar parallel growth in mythologisation. Unlike Bach, Mahler is mythologised as a suffering outsider and flawed human, whose works raise questions about the broadest philosophical questions concerning life and death. Indeed, it is this mythologised reputation which is used to give a continuity and unity between the composer's works and serves to provide a cognitive framework within which the music is often presented.

By using an example of Mahler's Symphony No. 4 in G major, a work which does not fit neatly into this mythologised narrative of the composer's life, the second case study demonstrates how an extra-musical programme which was written by Mahler but not included as part of the completed symphony, has subsequently been added to the work in order to help listeners experience the work more positively. To achieve this, the reception history of the symphony is examined which reveals that, although it was shunned in the early 1900s, by the early twenty-first century the symphony was in fact being cited as Mahler's most accessible work. The chapter concludes by looking at the way in which the programme is used to make the work more accessible, by drawing attention to the musical elements within it which seem to tie in with Mahler's mythologised reputation. Nonetheless, in so doing this programmatic understanding draws attention away from other interesting features within the symphony.

The development of these theories concerning how the construction of myths impacts on listeners' experiences gives a new understanding of the relationship between composers and listeners within the chain of communication. In particular, it moves away from theories such as those of an 'implied listener,' which rely on a one-way form of communication from the composer, through the work to the listener. Instead it suggests a two-way process which acknowledges the active role played by the listener in the construction of musical experience. The chapter concludes by examining the way

in which the mythologisation of composers can act as an aligning practice by listeners, who use mythologised beliefs about composers as a way in which to shape their aesthetic experiences.

1.1.1 A Listener's 'Horizon of Expectations' and Composer-myths

One of the key scholars to be considered when examining the listener's role in the construction of aesthetic experience is the German literary theorist Hans Robert Jauss, whose theories have some useful applications within musical studies. In one of his most important essays he encourages examining aesthetic experience not as a one-way process deriving from a work, but as a two-way process in which the reader's confrontation with the work can be examined to develop a clearer understanding of the resulting experience.²⁸ As such the work is neither a set of coded instructions for an aesthetic experience, nor is the sociological and cultural background of the receiver the sole focal point; instead it is in the dialogue between the two elements that an aesthetic experience can be created.

Jauss begins his exploration of this mediation between reader and text by examining the reader's 'horizon of expectations',²⁹ a term which he never precisely defines. Nonetheless, the word 'horizon' is frequently used by scholars who influenced Jauss, such as Gadamer, thus it seems worthwhile to explore the latter's definition in order to gauge a broader sense of what Jauss could have meant. Gadamer defines horizon as the 'range of vision that includes everything that can be seen from a particular point,' further outlining that 'a person who has an horizon knows the relative significance of everything within this horizon.'³⁰ A listener's horizon is unique to him or herself and can include conscious and unconscious reactions to anything experienced by that person.

Jauss' concept of expectations can therefore be described as the marks and effects left on a reader, even subconsciously, by the experience of previous aesthetic encounters and the aesthetic preconceptions that these will create. Essentially, at both conscious and unconscious levels any confrontation could guide aesthetic experience, even ones which are seemingly remote from the work in question. Jauss stresses that it

²⁸ Hans Robert Jauss, *Toward an Aesthetic of Reception*, trans. Timothy Bahti (Minneapolis: University of Minnesota Press, 1982), 25

²⁹ *Ibid*, passim

³⁰ Hans Georg Gadamer, *Truth and Method*, second edition, trans. W. Glen-Doepel (London: Sheed and Ward, 1979), 269

is not the inherent content of a text which creates aesthetic experience, but the way in which the text is related to the expectations of the listener: if the expectations are congruent with the experience the work creates then there is no need for a change in horizons and the work can immediately be accepted as a pleasant, enjoyable and even edifying experience.³¹ In this way, Jauss describes the work as moving towards 'entertainment art' as it so precisely fulfils expectations.³² If the work is not congruent, however, then there is no such immediate experience, until the horizon of expectations has shifted sufficiently to allow for it. This can lead to extreme reactions as recorded at the premières of new works which pushed the boundaries of previous experience thus requiring a change in the horizon of expectations.³³

One thing that must be taken into account is that repeated hearings of the same work can of course lead to an alteration of horizon, as the work, once consumed, is now part of the expectations of the receiver. This is a good explanation of why it is that classical masterpieces that are loved today could have been rejected so overwhelmingly when first presented.³⁴

Of course, Jauss' arguments relate to literary studies, meaning that much of his work focuses on mimesis,³⁵ in which case the world created by a fictional work of literature can often be directly compared to that of the reader, whereas for music no such situation arises. Nonetheless, Jauss' theories can be used as a springboard for further investigation into how the listener's horizon of expectations affects how the music is experienced, which is important since it provides a means of introducing the listener into examinations of the communicative process of music.

Jauss' theory of the horizon of expectations can easily be related to Nattiez's semiotic work on poietic and esthetic processes in music.³⁶ The poietic process is that which lies within and surrounding the production of the symbolic form,³⁷ in this case the musical works, and thus contains the actual score itself but also extra compositional documents such as programmes, conversations with the composer and sketches. The esthetic process is that which encompasses the receiver of the work,³⁸ the listener, and

³¹ Jauss, *Toward an Aesthetic*, 25

³² Ibid, 25

³³ Jauss describes a similar issue with new literary works, *ibid*

³⁴ Ibid

³⁵ Ibid, *passim*

³⁶ As particularly discussed in Jean-Jacques Nattiez, *Music and Discourse*, trans. Carolyn Abbate (Princeton: Princeton University Press, 1990)

³⁷ Ibid, 11-13

³⁸ Ibid, 12

thus includes their understanding and interpretation of the work. Nattiez, after Molino, argues that between these two processes there lies a neutral level,³⁹ which is examining the symbol purely for its content, such as in a formal analysis. However, it is important to note that Nattiez also stresses that this neutral level is never complete, as it does not contain the poietic and esthetic levels and is therefore an incomplete understanding of the two-way communicative process as a whole.⁴⁰

Thus it can be seen that by using Jauss' theory of the horizon of expectations, the chain of communication has been opened up to allow for both the listener and the composer's input within the overall process and also for there to be noticeable differences between the meaning at poietic and esthetic levels. To demonstrate the power of this theory, one can use Nattiez's example of the reception of contemporary composition, in which what may be composed to be music by a composer (at a poietic level) may be seen to be noise by the listener (at the esthetic level).⁴¹ Therefore, the horizon of expectations can be seen to be a means for looking not only at the score or the listener's context, but the mediation point between these, in other words the mediation between the poietic and esthetic levels. Nonetheless it must of course be highlighted that this mediation point is not analogous to the neutral level. On the other hand, when the aesthetic experience is particularly strong, as is the case when many listen to canonic works, it can be stated that what is provided and interpreted at a poietic level matches closely the expectations held at the esthetic level.

In this way, such theories provide a means of looking at the music within the context in which it is being experienced, whilst simultaneously acknowledging the fixed text as part of this experience. In this respect, the music is being seen as a discourse 'event'⁴² and not just as a sonic manifestation of a text, as the two cannot be identified directly as the same entity. Conversely, the method also allows for the cultural contexts of the listener and the work to be taken into consideration without neglecting the role of the musical content itself.

However, some caution must be applied in the use of this theory, in order that a positive musical experience is not just regarded as an edifying match in the expectations of the listener and the experience provided by a work, which Jauss, as discussed above,

³⁹ Ibid, 10-16; 29

⁴⁰ Ibid, 29

⁴¹ Ibid, 41-43

⁴² Paul Ricoeur, *Hermeneutics and the Human Sciences*, ed. and trans. John B. Thompson (Cambridge: Cambridge University Press, 1981), 132-133

sees as a special form of entertainment art. Most experiences lie at some point between the two extremes of complete congruence and no congruence at all, which leads to the creation of a spectrum of different reactions that can be achieved from the reception process.

This can go some way in addressing the concerns of scholars such as Savage, who argue that such theories concerning expectations do not always make allowances for an enjoyment of music to stretch beyond that which is already known or previously experienced, which is for many an important feature of the experience of music.⁴³ Nonetheless, whilst acknowledging that musical enjoyment can indeed be created in this way, I believe this can be seen as an example of a work which falls between the two poles highlighted earlier. Thus, in this case the work and the listener's expectations have enough congruence to be experienced positively, yet the process also involves a broadening of horizons which can in itself be a source of learning and pleasure.

Musicological examinations of Jauss' work frequently try to construct a hypothetical or 'ideal listener', through the often historical reconstruction of a horizon of expectations.⁴⁴ By doing this of course the expectations of the listeners have also been constructed theoretically and can never be wholly accurate, as a person's historical and cultural context can never in every respect account for their individual viewpoint. Furthermore, the approach can inadvertently be biased by the historical, cultural and social positioning of the musicologist and is thus never undertaken entirely objectively.

In its concern with this issue, this section engages with broader issues of hermeneutics and debates which are particularly concerned with how musical meaning can be understood without falling into the trap of imbuing music with transcendent properties. Indeed, the very issue of how it is possible to discuss a work and its interpretation objectively when one is oneself part of the subjective experience of the work has been described as the 'problem of hermeneutics'.⁴⁵

Instead, I argue that it is therefore necessary to address this issue as much as possible by, where such information is available, turning to reception studies to discover people's horizons through their reception of the music and examine the real expectations and experiences of listeners. Clearly, it is not possible to reconstruct the expectations wholly accurately, as discussed above, yet the two case studies presented

⁴³ Roger W. H. Savage, *Hermeneutics and Music Criticism* (Abingdon: Routledge, 2010), 6

⁴⁴ See for example Kautny, Oliver, 'Arvo Pärt's "Passio" und Johann Sebastian Bachs "Johannespassion" - Rezeptionsästhetische Perspektiven', *Archiv für Musikwissenschaft* (56. Jahrg., H. 3. 1999), 198-223

⁴⁵ Ricoeur, *Hermeneutics*, 131

within the rest of this chapter take two different approaches to addressing this problem. The first, introduced in Section 1.2, develops an empirical investigation into the foremost expectations of actual listeners and thus takes Jauss' speculative theories and applies them to concrete empirical data, whereas the second, discussed in Section 1.3, examines the broader contexts of listeners to Mahler throughout the twentieth century.

Despite their methodological differences, these two case studies suggest that when composers are mythologised, this mythologised context can become a foregrounded part of the horizon of expectations for listeners, and that this in turn can affect the way in which the music is experienced. As such, it is important to examine composer-myths not just as opportunities for debunking or humorous descriptions, but to critique them by understanding the role they play in the construction of aesthetic experience. To do this, it is necessary therefore to examine myth more generally in order to understand what exactly constitutes a myth and how it functions in a contemporary cultural context.

1.1.2 Myths and Mythologisation

Although there is no undisputed definition of the word, at its broadest a myth is 'a story about something significant' which must include a personality of some sort.⁴⁶ Many myths are therefore concerned with creation or how social or cultural phenomena came to be.⁴⁷ Myths play an important role in helping to construct an understanding of the world. The functions of myths are often explanatory, by offering an understanding of how things are or how they came into being.⁴⁸ Although many myths have religious referents, it is equally possible to have myths regarding secular phenomena.⁴⁹ Indeed, scholars such as Eliade have described how gods are accredited with creating natural phenomena, whereas 'culture heroes' are accredited with creating social phenomena. In both cases, 'the mythic feat is creation.'⁵⁰

Eliade also describes how a myth can be 'living', 'in the sense that it supplies models for human behaviour and, by that very fact, gives meaning and value to life',⁵¹ sentiments echoed by Campbell who says that 'when a person becomes a model for

⁴⁶ Robert A. Segal, *Myth: A Very Short Introduction* (Oxford: Oxford University Press, 2004) 4-5

⁴⁷ 'Myth', Revised Mar 2010, *Oxford English Dictionary Online*, <<http://www.oed.com>> Accessed April 6th 2010

⁴⁸ Ibid

⁴⁹ Barthes' *Mythologies* is one such example, showing how numerous everyday items and functions have been mythologised. (Roland Barthes, *Mythologies*, trans. Annette Lavers (London: Vintage Press, 1993))

⁵⁰ Segal, *Myth*, 55

⁵¹ Mircea Eliade, *Myth and Reality* (London: Allen & Unwin, 1964), 2

other people's lives, he has moved into the sphere of being mythologized.'⁵² Although Eliade is concerned with myths about the creation of the world or sacred myths and their roles in society and Campbell with reflecting more holistically on myth in society, nevertheless the relevance of such ideas can be seen for examinations of some canonic composers, who are upheld as cultural models. As such, myths can be used to explain how things of cultural value have come into being, and by continuation why they should still be valorised today. Even so, despite the often quasi-religious mythologisation of secular 'culture heroes' within our society, there have been few examinations within the field of myth studies of the roles played by such figures.

It is important therefore to examine cultural myths in music to pose important questions regarding their origin, function and subject matter,⁵³ as it is these myths that can help to explain how and why canonic musical works of the past are still vital parts of our musical culture. From there it can be understood why the myths are valuable to us today and how they relate to the understanding of musical works and aesthetic experience.

There are obviously numerous composers who are the referents of such mythologised stories which detail the contexts of the composition and original reception of various canonic works. Two composers whose works mostly fall into the Western classical music canon are Bach and Mahler, both of whom will be examined to demonstrate that in both cases myths and myth-making have ensured their ongoing popularity, but also determined the very experience of their works by giving a broader framework for their understanding.

⁵² Joseph Campbell and Bill Moyers, *The Power of Myth*, ed. Betty S. Flowers (New York: Anchor Books, 1991), 20

⁵³ Segal, *Myth*, 2

1.2 The Bach Myth

„Ohne Mythos kein Bach: kein Bach ohne Mythos“⁵⁴

The Bach Myth can be very briefly summarised as follows: *Bach was born into a great German musical family, grew to become the most famous organist of his time but as a composer was insufficiently appreciated by his contemporaries and unfairly treated by his employers. He wrote numerous works which contain such perfection and embedded religious subjectivity (either directly in sacred works or symbolically or metaphorically through the use of number alphabets etc.) as to deem them more than the work of a mere mortal. Upon his death his reputation quickly faded into obscurity until Mendelssohn's revival of the St. Matthew Passion ignited a passion for Bach's music amongst the broader listening public. He is now one of the most important German cultural figures to have lived.*

Clearly, this biographical summary can be examined as a myth, since it functions as a series of events, and arguably even as a story. Indeed, it not only constructs a narrative for an understanding of the referent Bach, but explains the situation and context in which the culturally valuable compositions he wrote came into being. As such, it is completely justifiable to use Eggebrecht's terminology and describe our contemporary view of Bach as being a Bach Myth which comes into being through our perspectives of him.⁵⁵ Nonetheless, I believe that the function of the myth goes further than Eggebrecht was willing to consider, as it is more than a describable phenomenon since it has important implications for both musical culture and understanding more broadly, in common with other composer myths.

Indeed the contextualisation of Bach and his music, and its development through the past centuries has been frequently documented, yet it needs to be re-examined, not just to see how it has changed, but to show how it functions as a myth and the broader cultural purpose that it is fulfilling. This is especially true since 'the phenomenon we call "Bach" is more than the music he wrote; it must also include that music's "fate": the train of consequences embedded in later interpretations and appropriations.'⁵⁶ This is a key point, even if the notion of embedment can be problematic, because it is my argument within this case study that the way in which Bach's music is experienced and

⁵⁴ Hans-Heinrich Eggebrecht 'Mythos Bach', in *Texte Über Musik* (Essen: Die Blaue Eule, 1997), 9

⁵⁵ Eggebrecht, 'Mythos Bach', *passim*

⁵⁶ Alan Lessem, 'Bridging the Gap: Contexts for the Reception of Haydn and Bach', *International Review of the Aesthetics and Sociology of Music* (Vol. 19, No. 2, Dec. 1988), 139

understood is often shaped not only by the fate of the music, but also the fate of its composer's reputation.

There have been discussions within musicology of the changing roles that Bach's music has played in the twentieth century.⁵⁷ However, these have tended to focus on how the music of Bach was appropriated by later composers, and the effects this appropriation has had on musical taste more broadly.⁵⁸ Although these are of course vital in developing a fuller understanding and appreciation of the broader context of Bach in the past century, they focus on only one part of the reception history of Bach. In addition to these studies, I believe the mythologisation of Bach should be taken as a focus of enquiry in itself, to understand not only why it developed, but how it functions and continues in light of attempts to diminish or debunk it.

The usual starting point for discussions regarding the growth of Bach's reputation is Mendelssohn's revival of the *St. Matthew Passion* in 1829. As Celia Applegate describes, this event could actually be read as the 'climax' of a 'slow revival'⁵⁹ as opposed to a sudden revolution taking Bach from a completely unknown entity to the foreground of musical culture since in fact, Bach had not been so thoroughly overlooked as some early purveyors of the Bach Myth suggested. Rather than a sudden rediscovery of Bach's music occurring in 1829, there was instead a shift in the nature of his reputation, with his music no longer being seen as of predominantly pedagogic value but rather becoming of more public value through performance.⁶⁰

Before the Mendelssohn revival, descriptions of Bach using terms mythologising him as a superhuman were already visible amongst his pedagogic followers, as seen in Samuel Wesley's letter of 1808, in which he describes Bach both as 'Saint Sebastian' and as a 'Demi-God.'⁶¹ Indeed, Bach's reputation had already been growing steadily in pedagogic circles, aided by his sons and the publication of treatises which referenced him.⁶² Also of note was the work of Baron van Swieten, who helped to ensure the pedagogic reputation of Bach by giving major composers such as Mozart

⁵⁷ Martin Zenck, 'Bach Reception: Some Concepts and Parameters', *The Cambridge Companion to Bach*, ed. John Butt (Cambridge: Cambridge University Press, 1997), passim, particularly 224

⁵⁸ Ibid

⁵⁹ Celia Applegate, *Bach in Berlin: Nation and Culture in Mendelssohn's Revival of the St. Matthew Passion* (Ithaca: Cornell University Press, 2005), 200-201

⁶⁰ Ibid, 200

⁶¹ David, Hans T. and Mendel, Arthur (eds), *The New Bach Reader: A Life of Johann Sebastian Bach in Letters and Documents*, expanded and revised by Christoph Wolff (London: W. W. Norton, 1998), 493, emphasis his

⁶² Ibid

access to his collection of Bach scores.⁶³ Applegate even suggests that some of Bach's pedagogic followers restricted the promotion of Bach's music directly into the public domain through performance, as they believed the works to be so complex that they required score-study not public performances and possibly in this way could have enjoyed keeping Bach's work as a secret to themselves.⁶⁴

When Mendelssohn finally succeeded in drawing the public's attention to Bach, the Passion was altered and cut to give it every chance of success in the context of musical tastes in the nineteenth century.⁶⁵ Even so, the reactions to the work were still ones of shock, albeit wondrous shock at the quality of the music, showing that the music did not quite fit the horizon of expectations of the listeners at the time. Applegate suggests that the piece was so overwhelming to the listeners that words could not contain a description of their experience, leading to it being described instead in the most superlative, unapproachable and superhuman terms.⁶⁶ I would take this argument one step further and explicitly say that the mythologisation of Bach became a necessity at this point as a means of constructing an understanding point for musical experience, or a focal point for a horizon of expectations.

Mendelssohn's performance not only put Bach at the foreground of a newly emerging culture of historicism, but encouraged the work on the complete editions of Bach's works by the Bach Gesellschaft⁶⁷ as well as paving the way for numerous other performances and reappropriations of Bach's works more generally. This developing interest in the revived Bach was not limited merely to Germany, however, as his popularity soon spread to England with the foundation of societies such as the English Bach Society in 1849.⁶⁸

This catalyst in turn led to the popularity of biographies of Bach, such as those by Philipp Spitta in the 1870s⁶⁹ and Albert Schweitzer, originally published in 1905.⁷⁰ These further strengthened Bach's reputation as a Great Composer, and Spitta in

⁶³ Edward Olleson, 'Swieten, Gottfried (Bernhard), Baron van', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/27216>> Accessed June 2nd 2010

⁶⁴ Applegate, *Bach in Berlin*, 209-210

⁶⁵ Ibid, 38-39

⁶⁶ Ibid, 222-223

⁶⁷ Ibid, 254

⁶⁸ Margaret Steinitz, 'Sterndale Bennett's first English St. Matthew', *Bach Notes: The Journal of the London Bach Society*, March 2008

⁶⁹ Philipp Spitta, *Johann Sebastian Bach: His Work and Influence on the Music of Germany, 1685-1750*, (3 volumes) (London: Novello, 1951)

⁷⁰ Albert Schweitzer, *J. S. Bach* (2 volumes) (London: Black, 1923)

particular worked to show that Bach's compositions were a crucial part of Protestant church music, which served to encourage further the reputation of Bach as a great religious composer.⁷¹ Indeed, by the time of Bach's anniversary in 1950, this reputation had spread to theologians as well as musicologists, and had developed into the roots of our mythical vision today, with Stevenson's worshipful article on 'Protestantism's greatest composer' serving as a demonstration of the potency of Bach's reputation.⁷²

Many musicological accounts of Bach's music seek to examine the music within the context of his religious beliefs and values, and in particular, those guided by reconstructions of his Lutheranism. For example, John Butt's recent exploration of the ongoing popularity of Bach's Passions includes a subchapter on Bach's Lutheran religious subjectivity.⁷³ Indeed, this is the case not only for explorations of Bach's sacred works but also secular ones such as the Brandenburg Concertos.⁷⁴ For example, Michael Marissen states within a chapter entitled 'Lutheran Belief and Bach's Music' that he is 'concerned here...to show that social interpretation of Bach's music is more properly understood and best accounted for in the wider context of his theological background.'⁷⁵ This is immediately followed by a detailed exegesis of Bach's annotations within his Calov Bible and extracts from Luther's lectures on the book of Deuteronomy, both of which are then related to the structures and musical roles within the Brandenburg concertos.⁷⁶

Furthermore, as argued by Rebecca Lloyd, the Lutheran ideas expressed in some musicological accounts of Bach's works can be polarised through more contemporary interpretations of Luther's writings and at times even be anachronistic.⁷⁷ Additionally, directly relating musical works by Bach back to the writings of Luther, a theologian who died almost 150 years before Bach was even born can create extremely challenging implications that Bach's music is a musical embodiment of Luther's ideology, or worse still, that Luther can somehow be understood as the theological mouthpiece of Bach's compositional intent. Whilst Bach was undoubtedly heavily influenced by his religious

⁷¹ Applegate, *Bach in Berlin*, 261

⁷² Robert Stevenson, 'Bach's Religious Environment: The Well Springs of Religious Emotion That Nourished the Creative Life of Protestantism's Greatest Composer', *The Journal of Religion* (Vol. 30, No. 4, Oct. 1950), 246-255

⁷³ John Butt, *Bach's Dialogue with Modernity* (Cambridge: Cambridge University Press, 2010), 52-65

⁷⁴ Michael Marissen, *The Social and Religious Designs of J. S. Bach's Brandenburg Concertos* (Princeton: Princeton University Press, 1999)

⁷⁵ *Ibid*, 111

⁷⁶ *Ibid*, 111-119

⁷⁷ Rebecca Lloyd, 'Bach: Luther's Musical Prophet?', *Current Musicology* (Volume 83, Spring 2007), 5-32

beliefs and working environment, within many musicological accounts there is a significant blurring of the lines between developing understandings of broader social and religious contexts and accepting Lutheran writings as authoritative sources for understanding Bach's music. Whilst it would of course be problematic to see Bach's music as being devoid of any social contexts, this reliance on a background understanding of religion has become a clear trope of Bach studies, which is reflected in the writings of many influential Bach scholars, such as Philipp Spitta, Albert Schweitzer and more recently John Butt and Robin Leaver.⁷⁸ When taken to an extreme it has even led to the composer being described as the 'fifth evangelist'.⁷⁹

Discussions such as these also implicitly accept the notion that Bach's religious subjectivity lies embedded within his works. This is of course a privileging of the composer's subjectivity over and beyond what is actually feasible for understanding a mediatory and interpretative process between composer, work, performer and listener. It also suggests that texts can hold cultural meanings within them and thus that social contexts can be fixed into musical meaning; a suggestion which can only be described as problematic.⁸⁰

Furthermore, despite the efforts of scholars such as Adorno and Eggebrecht, this view concerning social contexts continues to be proliferated today. In his seminal polemic, 'Bach Defended against his Devotees', Adorno described how the trend of Bach-idolisation amongst musicologists has a negative impact on the composer's standing more generally, as it forces Bach to become a fixed cultural monument⁸¹ and therefore the actual musical content becomes secondary. However, despite Adorno's strongly worded assertions, he is also at times guilty of trying to strengthen Bach's compositional worth by highlighting the separation between Bach and his contemporaries: 'Bach is degraded by impotent nostalgia to the very church composer against whose office he rebelled;'⁸² 'Bach's music is separated from the general level of his age by an astronomical distance.'⁸³ Perhaps, it can therefore be said that despite Adorno's clear and apposite assertions regarding the restriction of Bach's cultural value

⁷⁸ Robin A. Leaver, 'Music and Lutheranism' in *The Cambridge Companion to Bach*, 35-45

⁷⁹ A frequently used description thought to originate from Bishop Nathan Söderblom, quoted in Rebecca Smend, *Bach and the Riddle of the Number Alphabet* (Cambridge: Cambridge University Press, 1991), 18

⁸⁰ Roger W. H. Savage discusses such issues concerning musical meaning and its broader role in our understanding of ourselves in *Hermeneutics and Music Criticism*.

⁸¹ T. W. Adorno, 'Bach Defended Against his Devotees', *Prisms*, trans. Samuel Weber and Shierry Weber (London: Spearman, 1967), 135-146

⁸² *Ibid*, 135

⁸³ *Ibid*, 145

to a few spheres, it is also true to say that he helps to propagate a view of Bach as being superior to his contemporaries, which is in itself a form of Bach-idolisation.

In this way, Bach has not only been elevated to hold a reputation of being superior to his contemporaries, but this reputation has in turn at times also become intertwined with the examinations of the composer's religious subjectivity. For example, Wilfred Mellers argues:

Bach, born out of as well as within his time, was a composer of faith in a different and fundamentally religious sense; from this springs ... his music's synthesis of horizontal and vertical, linear and harmonic, metaphysical and physical, elements. This remains true even in secular, aristocratic-autocratic music composed for a mundane lord and master.⁸⁴

As such, the composer has achieved a potent reputation which leaves very little room for criticism and this has resulted in a situation whereby some examinations of Bach's music handle the works as though they are absolutely above reproach. In a similar way it is not unusual to find more popular sources about the composer mythologising him and thus also furthering this reputation, such as demonstrated by this introduction to a BBC listening guide to the Well-Tempered Clavier:

Surely Bach's music has that solid sense of incontrovertible 'rightness', with every note in its right and proper place, as if it had always been there and always will be. It seems not the work of a mere man, but something immutable and timeless reached down from the heavens, as if Bach were some kind of natural lawgiver, a musical Newton who has found the key to the secret of all music and opened it up before us. This is certainly what many later composers cherished him for, this ability to express the very essence of the ancient science of music itself, its absolute truth. Perhaps he is the nearest thing we have to a god of music.⁸⁵

This is not to deny that Bach's music can legitimately be described in extremely positive terms and as such the critique that Bach's music is so good that it deserves this reputation is perfectly valid under such circumstances. However, even in this circumstance the creation-myth of explaining how these valuable cultural documents came to be can still be seen to be at play.

⁸⁴ Wilfred Mellers, *Bach and the Dance of God* (London: Faber and Faber, 1980), 13

⁸⁵ Lindsay Kemp, 'Why Bach?' <<http://www.bbc.co.uk/radio3/classical/bach48/whybach.shtml>> Accessed May 17th 2012

Of course, the history presented above is a brief synopsis of the ever changing role that Bach has played throughout the twentieth and twenty-first centuries. However, although there are other aspects to this role, such as the borrowings and transcriptions by composers such as Schoenberg of the early twentieth century, it cannot be denied that this view of a religious and untouchable Bach has by far become the most persistent in our present-day musical culture.

This history therefore goes some way in summarising how the Bach Myth developed, yet of more interest to an examination of the context of mythologisation is questioning why this myth arose and how it persists today. For example, one feature of the Bach Myth is that it demonstrates Bach's cultural worthiness, something which at the myth's conception was not an accepted feature of musical understanding of Bach as it is today.

The Bach Myth persists today despite attempts to debunk it such as in Adorno's highly critical article berating Bach's fans for turning him into ideology⁸⁶ as discussed above. This is of course what can be expected, as one feature of a myth is that it can arguably adapt to overcome any difficult criticism or contradictory evidence.⁸⁷ This is one of myth's greatest assets: as it is unharmed by facts which contradict the myth, it can mould itself to the needs of its time, thus preserving its future survival.

The function of the Bach Myth is particularly fascinating, particularly when an understanding of myth is applied to Jauss' reception theories, by showing how listeners who have mythological understandings of cultural figures sometimes experience their works differently because of this. By running an empirical study of the consistently popular second movement of Bach's Concerto for Two Violins in D minor (BWV 1043) I investigated whether or not Jauss' speculative theories could be applied to music, if there was a link between Bach's mythological status and the experience of the composition, and how aesthetic experience differed for a piece by Bach to a similar piece by Telemann.

Indeed, it is interesting to compare the reception history of Bach and Telemann, since today they have contrasting levels of popularity, yet their music, and particularly their biographies, are very similar. Telemann was born into a very religious family, his

⁸⁶ T. W. Adorno, 'Bach Defended against his Devotees', 136

⁸⁷ Segal, *Myth*, 11-35

father and grandfather having both been clergymen,⁸⁸ and was also born into, in his own words, an 'Evangelical-Lutheran confession.'⁸⁹ Additionally, and in common with Bach, he had an upbringing surrounded by religious establishments and sacred music.⁹⁰ As such, it is fair to surmise that as far as we can deduce today, Bach and Telemann would have held similar religious views, if such suppositions can be made, making it interesting that only Bach has a reputation relating to his religious beliefs and the ways these affect his music whereas Telemann does not.

It is also interesting to see how different the general reputations of the two composers are today. Grove Music Online suggests that both Spitta and Schweitzer played parts in ensuring that Bach's church music is seen as more valuable than that by Telemann.⁹¹ Thus, whereas Bach became an adored cultural figure of our time, Telemann was considered his inferior contemporary. This is obvious from such descriptions of Telemann's work as 'ill-adapted to the sublime;' 'in the region of the commonplace' or 'objectionable.'⁹² Schweitzer even suggests that it seems 'incomprehensible to us' that Bach did not have the 'critical sense' to stop himself copying out whole cantatas by Telemann.⁹³

Thus, whereas there was a conscious effort to create a picture of a superhuman Bach, there was often, and by the same hand, an opposite picture being created of his compatriot Telemann. Thus, as can clearly be seen today, Telemann has none of the cultural potency of Bach, but is not a forgotten figure within musical history either: a situation which has in many ways been constructed by musicologists and events within musical history. This serves to highlight the importance of the contextual contexts, and the history of these contexts, within which we place composers.

The work of the two composers, although often different in style, is not so disparate as to make comparisons between them futile, neither is the work of Telemann so inferior as to warrant his far secondary position, according to any reasonable standard. Indeed some people prefer Telemann's compositions, as can be seen from

⁸⁸ 'Georg Philipp Telemann, His Autobiography', trans. Thomas Braatz, taken from Mattheson's *Ehren-Pforte*, Hamburg, 1740. <www.bach-cantatas.com/Other/TelemannEPMattheson.pdf> Accessed May 26th 2010

⁸⁹ Steven Zohn, 'Telemann, Georg Philipp', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/27635pg5>> Accessed June 10th 2010

⁹⁰ Richard Petzoldt, *Georg Philipp Telemann*, trans. Horace Fitzpatrick (London: Ernest Benn Limited, 1974), 5-12

⁹¹ Steven Zohn, 'Telemann, Georg Philipp', in *Grove Music Online*

⁹² Philipp Spitta, *Johann Sebastian Bach*, Volume I, 50

⁹³ Albert Schweitzer, *J. S. Bach*, Volume I, 156

comparisons made within my empirical investigation which is discussed below, with subject 23 saying that Telemann's composition was 'better than Bach', sentiments echoed by subject 25.⁹⁴

⁹⁴ This can be seen in the open question data included in the Excel file found on the supplementary CD.

1.2.1 Empirical Case Study: Listener Expectations and J. S. Bach's Concerto for Two Violins, BWV 1043⁹⁵

The main purposes of this study were to examine the expectations of listeners of Bach's Concerto for Two Violins, often referred to as a Double Violin Concerto, and in particular to show whether or not issues related to the composer's life and its context are a focal point for listeners of Bach's music, as they are within musicology and other popular sources, or if this is in fact not an issue at a reception level.

The Bach composition was chosen as it is one of his most firmly canonic secular works and is extremely popular.⁹⁶ As such, this composition clearly provides many listeners with a means for a strong aesthetic experience despite the historical gap since its composition. Because of this, it must be asked if there is any deeper connection between popular compositions of canonic composers and their canonic positioning; in other words, are beliefs about canonic composers that are held by listeners affecting the ways in which they experience musical works? This question is one of the issues explored within the empirical investigation, the aim of which was to measure and question aesthetic experience without interfering with the actual construction of experience itself.

The study was both undertaken and analysed using formal procedures taken from the social sciences and involved forty-eight participants who had varying levels of musical education and participation. Although the experiment was designed and undertaken entirely independently, I was fortunate enough to have some advice from leading statistician Andy Field before the distribution of the questionnaires, which ensured as best as possible that the wording of the questionnaires and their analysis did not introduce preventable errors into the work. The experiment consisted of a set of background questions, followed by three listening tasks, each of which was followed by the same set of questions about characteristics of aesthetic experience. The first extract was from the Bach movement described above, the second being a stylistically similar extract from the slow movement of Telemann's Concerto for Two Violins, TWV 52:

⁹⁵ Full details of this experiment can be found in Appendix A, which includes a template of the questionnaire given to subjects; a detailed methodology and results section as well as full details of the musical extracts. Furthermore, the results of the survey can be found within the SPSS file included on the supplementary CD which is submitted with this thesis. It must be highlighted however that is merely supplementary information and it is not necessary to read it in order to gain a complete understanding of the remainder of this chapter.

⁹⁶ Indeed the movement was recently voted number 39 in ClassicFM's Hall of Fame, the highest of any of Bach's compositions. <http://www.halloffame.classicfm.co.uk/Top300/bach_double_violine_concerto> Accessed April 8th 2010

G2. The scores of both extracts are reproduced in Appendix A on pages A24-A26. The third extract was a period of silence with a similar duration. This acted as a control condition in keeping with best practice in the social sciences.⁹⁷ For this reason the extracts were also presented to the subjects in different orders to reduce the effects of boredom, fatigue and prior knowledge of the questions, thus forming three different questionnaires.⁹⁸ A template of these questionnaires is presented on pages A2-A18 of Appendix A.

At this point therefore it is extremely valuable to discuss how aesthetic experience was defined and measured, as it is a subjective quality that resists both definition and quantification. In response to Jauss' account of aesthetic experience and the wider literature on the subject in psychology and other fields, the following categories of manifestation were chosen. Each category was broken into a series of statements with which participants could either agree or disagree on a Likert scale, which was then translated into a numerical value for analysis. These categories may well not be definitive, thus the opportunity was available for participants to add their own responses in open questions. In this way, the design of the investigation made allowances for subjects feeling that the categories chosen did not match their experiences; although in practice this did not arise as an issue. The categories were:

- A feeling of removal from the everyday: this can encompass a feeling of being removed from the problems of everyday life and also a feeling of 'rapt attention.'⁹⁹ It is worth highlighting that this category is a separate notion from the Jaussian concept of aesthetic distance; its usage here is only as a contributory factor of aesthetic experience.
- Mood change or emotional enhancement: this category was labelled edification as it takes its basis from a slightly altered version of the Jaussian concepts of fulfilment and edification.¹⁰⁰
- Enhanced pleasure: again, this category is built on some of the arguments made by Jauss concerning aesthetic experience more generally.

⁹⁷ Andy Field and Graham Hole, *How to Design and Report Experiments* (London: Sage, 2003), 20-23

⁹⁸ Ibid, 24

⁹⁹ Eliseo Vivas quoted in Joseph Margolis, *Philosophy Looks at the Arts* (Philadelphia: Temple University Press, 1987), 105

¹⁰⁰ Jauss, *Toward an Aesthetic*, passim

It was similarly a difficult procedure to measure the expectations of the listeners, an issue made harder due to the fact that in order not to invalidate the study by making people aware of mythological expectations all questions regarding existing prejudices surrounding Bach and Telemann had to be asked in open questions, which extremely restricted the potential for statistical analysis. Of course, it is also impossible to gauge empirically the full breadth of a horizon of expectations, as often this is too unconscious to be stated.

Despite the problems created in the very notion of studying aesthetic experience and speculative theories empirically, the study gave some very interesting results, with ten of the forty-eight people questioned thinking of Bach in terms which form part of his mythological reputation. Again, it must be stressed here that this is not to say that the responses are incorrect or demonstrate untenable or unfeasible positions, but that they merely act to perpetuate the Bach Myth. This was judged by a thorough examination of the open responses given by subjects about their background understanding of Bach. If subjects responded by referring to Bach in terms which directly correspond to issues discussed as forming the Bach Myth then they were categorised as being affected by this myth. The categories for this were therefore: discussing Bach in terms of perfection or as being above reproach; describing Bach as masterful; describing Bach's music as transcending its own structure and finally, describing Bach's religious beliefs as embedded within the music. To minimise bias, this examination and the categories were checked by people who were not involved in the survey's analysis and therefore did not know how the categories would affect the results. These results are shown in Table 1.1 below:

Survey ID	Question(s)	Response(s) ¹⁰¹
2	What, if anything, interests you about Bach? (e.g. his life, his music, his broader cultural context etc.)	The way the music transcends instrumentations
5	What aspects of Bach's music do you not like?	Um...what's not to like?
10	What aspects of Bach's music do you like?; What are the key word associations you form when you think of Bach? (Try to list a few words)	Complexity coolness religious depth exuberance quirkiness objectivity passion... ; Contrapuntal mastery, objectivity, subjectivity, energy
14	What aspects of Bach's music do you not like?; What are the key word associations you form when you think of Bach? (Try to list a few words)	He wrote a LOT of music - it can be a little generic at times and derivative (of himself). Otherwise what's not to like?; Inspiration, Genius (I don't like this term at all but it is apt in his case)
22	What aspects of Bach's music do you not like?	Nothing
28	What aspects of Bach's music do you not like?	It is very hard to criticise a master such as Bach...
29	What aspects of Bach's music do you like?; What, if anything, interests you about Bach? (e.g. his life, his music, his broader cultural context etc.)	The perfect bond between emotional spiritual sensual and intellectual; The tension between a profound message and the intellectual construction of the music; the virtuosity with which these things are resolved.
34	What are the key word associations you form when you think of Bach? (Try to list a few words)	Master
35	What are the key word associations you form when you think of Bach? (Try to list a few words)	Perfection, Beauty, The point of music, Counterpoint
44	What aspects of Bach's music do you like?	Not only musically inspiring but it makes me think about my death. For what I mean by this. Bach's music seems to overcome my understanding of what is music. Also at my heart his music always grows and shows me different things every time I listen to it.

Table 1.1: Responses which tie in with the Bach Myth

The overall results of this study, which are described in more detail on pages A19-A23 of Appendix A, showed that one main characteristic of aesthetic experience was more intense for the subjects whose understanding of Bach had elevated him to a

¹⁰¹ These are extracts from the responses showing only the relevant sections.

mythological status, thus seeming to suggest that people use myths to gain more from the listening process.

It can therefore be argued that for these people, a mythologised view of Bach was the focal point within their horizon of expectations, since it was the point they focused on when filling in one of the open questions. Thus to reflect back on Gadamer's clarification of the definition of horizon, this viewpoint had become the most significant part of these listeners' understanding.

Clearly, the empirical work showed that the Bach Myth is certainly an issue at the level of listeners. The results also suggested that it could be an issue within the construction of aesthetic experience, within the scope of this experiment. In the future, larger empirical studies would need to be developed in order to give more authoritative results. However, from the results of my empirical work and the examinations of how musicology and popular sources have approached the music of J. S. Bach, I suggest that Jauss is correct and that previous encounters and existing knowledge are related to aesthetic experience; however, it is of course not possible to say from this whether these subjects experienced the music differently because they believed in the Bach Myth, or if the subjects who experience music more strongly tend to mythologise more. Nonetheless, this point is not worth debating, as what is important is that the two elements are related to one another, not which aspect is the cause or effect. Highlighting this issue is however very important, as it does reflect the cyclic nature of myth more generally, since if such expectations are held then listeners are more likely to subscribe to the Bach Myth, and thus in this way the myth is self-perpetuating.

This raises Bach's canonic position, and the occasional amusement that this can cause, to an epistemological tool in developing an understanding of the relationship between cultural context and aesthetic experience. Indeed the Bach Myth did seem to act as the focal point along the horizon of expectations for some listeners, and thus lower Jauss' aesthetic distance and allow for a stronger aesthetic experience. Thus, I suggest that by looking at composer myths it is possible to gain a better understanding of how the music of canonic composers is experienced. This suggests in turn that aesthetic experience is related to cultural conditioning and reinforces the idea that it is vital to look at a listener's horizons when regarding aesthetic experience.

As such it can be argued that the function of the Bach Myth is a means of lowering aesthetic distance and thus allows for a listener's horizon of expectations to embrace Bach's music. It could be argued that this is necessary to bridge the gap

between the Baroque period and our own, but this does not stand up well in light of the fact that tonal language is still the most familiar and comfortable musical language for most living within Western societies today. Similarly, it could be argued that in an increasingly secular society there is a need for something to allow for Bach's music, in particular sacred works, to be experienced in a different context to the more religious contexts for which they were composed. This is, however, flawed as it makes assumptions concerning the religiosity of past audiences as well as implying that, for example, a secular concerto is religious, which is of course highly problematic.

Therefore, the argument that the mythologisation of Bach increases aesthetic experience by developing a 'creation-story' to explain the importance of precious canonic masterpieces comes once more to the foreground, but in a much more powerful situation, as now the myth is ensuring a cyclical and symbiotic relationship between aesthetic experience and canonicism. That is to say that when a composer-myth becomes the focal point of the horizon of expectations, it can not only increase aesthetic experience, but this in turn will help increase the composer's reputation further, thus the myth can persist as its own results can help further its own survival.

This has clear ramifications for the musical canon, or a series of valorised cultural relics, as a whole, as their very position within the canon is wholly reliant on the implicit understanding that they are valuable works which hold key cultural and pedagogic roles within our society. As such, there is a clear need for myths to reaffirm their value and thus allow for their continued canonic positions.

It may initially appear that this discussion of composer-myths lies very close to the debates which took place over intentional fallacy in literary studies in the mid- to late- twentieth century. In this debate, which started in 1946 in the groundbreaking article 'On Literary Intention'¹⁰² the extent to which it is valid to use knowledge about the creator or his or her creative process is discussed. It is thus debated whether such knowledge, which is external to the work, but nonetheless concerns it, should and can be used in an analysis of the work itself. This, in this instance, of course concerns data secondary to the work such as letters, diaries or interviews by the composer.

On deeper reflection these arguments are not directly analogous to the situation that has unfolded with the Bach Myth, despite initially appearing so. This is because it is not, for example, direct reports of Bach's Lutheran beliefs in relation to his music that

¹⁰² As discussed at length in Peter Lamarque, 'The intentional fallacy', in ed. Patricia Waugh, *Literary Theory and Criticism* (Oxford: Oxford University Press, 2006), 177-188

are the sources, but a historical reconstruction of what Bach *may* have thought of his music within a context of seventeenth to eighteenth century Lutheranism more generally.¹⁰³ These two facets, although related, in no way equate to the same thing. Although some of these reconstructions may well be based upon documented evidence, such as Bach's writing on the Calov Bible¹⁰⁴ or his use of sacred dedications on his scores, it still remains the fact that these are not directly related to the musical content of the works in the same way that, arguably, explanations of musical decisions written by Bach in letters would be were such documentation to exist.

This can be contrasted to Barthes' work on 'the Death of the Author' in which he argues that a text does not release a 'single "theological" meaning' but results in a variety of interpretations which can clash at will.¹⁰⁵ What has instead happened through the Bach Myth is that the context has turned into the source of the 'theological' meaning, which is then reflected back onto the hermetically-sealed text. It is this outer layer or context that acts both as an aid but also restriction to interpretation, as although it helps the work to fit the horizon of expectations of someone who is aware of the myth, it at the same times hinders the search for other interpretations. This is not to say that the musical content of texts has no room in the interpretative process, but that the parts of works which can be seen to be adhering to the mythologisation of the composer are privileged over others. This issue is the focal point within the next case study.

By holding beliefs and expectations which agree with the mythologised context created for the reception of the music by a canonic composer, listeners therefore create a new entity within the chain of communication between composer, performer and listener, that of the mythologised composer. This in turn creates a new, more aligned chain of communication, which can enhance aesthetic experience. A full examination of this phenomenon and diagrams of these chains of communication are presented within this chapter's conclusion on pages 76-79.

¹⁰³ Once such example is John Butt's 'Bach's Metaphysics of Music' in *The Cambridge Companion to Bach*, 46-59

¹⁰⁴ For more details see Robin Leaver's article 'Music and Lutheranism' in *ibid*, 35-45

¹⁰⁵ Roland Barthes, 'The Death of the Author', in *Image-Music-Text*, trans. Stephen Heath (London: Fontana, 1977), 146

1.3 The Mahler Myth

Another composer whose reception context is frequently one of mythologisation is Gustav Mahler. However in direct opposition to Bach's mythological standing, Mahler is seen not as a superhuman but as a flawed human, although other aspects of their myths hold some similarities. Many musicological accounts of Mahler's work focus on the issues of his mythologisation, with some drawing connections between Mahler's position as an outsider within the cultural context of his time and the sense of irony and subjectivity of the Other which is frequently experienced when listening to his works. To sum up the Mahler Myth one could describe it thus: *Gustav Mahler was one of the greatest composers of the late nineteenth century. He was also one of the finest conductors, for which role he received much more acclaim in his lifetime than for his compositions. He was married to a beautiful but unfaithful wife, Alma, whom he supposedly repressed. He was unfairly discriminated against in the city where he spent much of his career, Vienna, for being Jewish, forcing him to be a constant outsider and to suffer because of it. This discrimination also forced him to convert to Catholicism in order to gain a conducting post at the Vienna Opera. His life and works focussed heavily on philosophical issues of life and death as well as being a manifestation of other-voicedness, or music for the outsider.*

As with the Bach example in the previous section, it is important to examine this myth to see how and why it developed, how and why it functions successfully today, as well as any implications it holds for our understanding of Mahler's compositions.

In many ways it is difficult to pinpoint the exact sources of the Mahler Myth, as the reputation of the composer is often an implicitly accepted background context for many when considering Mahler and his works. Nonetheless, many more popular or less academic representations of the composer do disseminate the myth. For example, Ken Russell's 1974 biopic *Mahler* is full of scenes and reflections upon aspects of the myth such as the composer's outsider status and his oppression of Alma.¹⁰⁶

Furthermore, aspects that tie in with the mythologised reputation of the composer can also be seen within musicological sources. Although the mythological assertions made within these sources may be more restrained, they often still tie in with and re-assert the view of the composer. This is in many ways due to the way in which

¹⁰⁶ *Mahler* (1974) directed by Ken Russell, DVD (Freemantle Home Entertainment: FHED1845)

Mahler's reputation has been constructed and altered throughout the twentieth century, with some of the core works on the composer reflecting some of the mythologising attitudes.

To start at the furthest historical point, one of Mahler's first major supporters was Arnold Schoenberg, who was quick to canonise Mahler after his death in both his writings and even went as far as to dedicate his 1911 work *Theory of Harmony* to him, berating the fact that 'this martyr, this saint passed away before he had established his work well enough even to be able to entrust its future to his friends.'¹⁰⁷ His writings are scattered throughout with references and anecdotes about Mahler and importantly these never criticise Mahler, but instead grow as time progresses to idolising him as a master composer.¹⁰⁸ Writings such as these played a key role in the acceptance of Mahler as not only a worthy composer, but as one of the greatest composers.

Mahler's centenary in 1960 also did much to further both the reputation and prestige of the composer, in common with the interest shown in Bach at his own centenary celebrations. Amongst the most important publications issued around the time of Mahler's centenary was Adorno's *Mahler: A Musical Physiognomy* which is unique in its approach to Mahler's works. In it, Adorno rejects formalist terminology in favour of specialist phenomena that he detects within Mahler's musical language, such as that of Suspension or Breakthrough.¹⁰⁹ Adorno's descriptions still hold much of their power today as they manage to encapsulate aspects of the music's energy and expressionistic power without reducing it either to an analysis or a programmatic account.

However, in common with Schoenberg's canonization of Mahler, Adorno relies on aspects of Mahler's biography and outsider-status to underpin many of the descriptions of the music. For example, he draws direct connections between the 'emerging antagonism between music and its language' and the fact that Mahler's composing was 'confined to the vacation months by a music business that...he did not cease to despise.'¹¹⁰ By drawing such strong links between Mahler's perceived life story and the musical content Adorno used the same technique as many other accounts of Mahler's music, such as Floros' examination of the symphonies which was first

¹⁰⁷ See Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 4f

¹⁰⁸ Arnold Schoenberg, *Style and Idea*, ed. Leonard Stein, trans. Leo Black (London: Faber and Faber, 1984), passim

¹⁰⁹ T. W. Adorno, *Mahler A Musical Physiognomy*, trans. Edmund Jephcott (Chicago; London: University of Chicago Press, 1992), passim

¹¹⁰ Ibid 16-17

published in 1985.¹¹¹ The aspects that Adorno highlights are in particular those he sees as Mahler's differences to his contemporaries, to ensure that interpretations of Mahler's music focus on privileged other-voiced moments within the music.¹¹² Similarly, Vera Micznik has discussed how the meaning of Mahler's Ninth symphony is frequently described in terms of his foreboding of death.¹¹³

Thus another frequent approach of Mahler studies can be seen to be epitomised here: overlooking the detailed local level of compositions in order to draw connections between general elements of the music and general details of Mahler's life. This technique of using the particular as an example of the universal, rather than being of interest in itself, is present in many studies of Mahler's music.

One of the absolutely critical reception concepts for Mahler's music and its elevation into the canon is the notion of his Jewishness in a post-Holocaust cultural context. However, there is some debate over the extent to which Mahler's music should be appreciated or contextualised with respect to the composer's difficult relationship with Judaism.¹¹⁴ Indeed, Adorno highlighted that neither forcing Mahler's music to be understood as Jewish Nationalism nor denying Jewish elements completely to demonstrate German nationalism¹¹⁵ is a successful way in which to approach the music.

Nonetheless, the anti-Semitic distaste for Mahler which started during the composer's lifetime¹¹⁶ did have an impact on the popular image held of the composer.¹¹⁷ This can be seen in the reception history of Mahler through the twentieth century. As Christoph Metzger discusses, there were in fact numerous performances of Mahler's works in the first half of the twentieth century, with Mengelberg alone

¹¹¹ Constantin Floros, *Gustav Mahler: The Symphonies*, trans. Vernon Wicker (Aldershot: Scholar Press, 1994)

¹¹² Adorno, *Mahler: A Musical Physiognomy*, passim. One such example can be seen in the comparison between Mahler and Bruckner, *ibid* 32.

¹¹³ Vera Micznik, 'The Farewell Story of Mahler's Ninth Symphony', *19th-Century Music* (Vol. 20, No. 2, Special Mahler Issue, Autumn 1996), 144-166

¹¹⁴ Such as particularly discussed by Talia Pecker Berio, 'Mahler's Jewish Parable', in ed. Karen Painter, *Mahler and his World* (Princeton: Princeton University Press, 2002), 87-110

¹¹⁵ Adorno, *Mahler: A Musical Physiognomy*, 149. Also discussed in above.

¹¹⁶ Such as discussed in Francesca Daughton and Raymond Knapp, 'Gustav Mahler and the Crisis of Jewish Identity', *ECHO: a music-centered journal* (Volume 3, Issue 2, Fall 2001) <http://www.echo.ucla.edu/Volume3-issue2/knapp_draughton/knapp_draughton1.html> Accessed December 18th 2011

¹¹⁷ It must however be noted that arguably many musicologists' understanding of anti-Semitism in 19th-Century Vienna is superficial. As such it has been suggested that some accounts turn too readily to anti-Semitic readings before understanding other reasons for Mahler's actions and the reactions to his music. See Edward F. Kravitt, 'Mahler, Victim of the 'New' Anti-Semitism', *Journal of the Royal Musical Association* (Vol. 127, No. 1, 2002), 72-94

conducting at least 375,¹¹⁸ showing that Mahler was not completely forgotten or unappreciated after his death. However, it is in some documents concerning Mahler that the anti-Semitic attack and the subsequent disavowal of Mahler can most be seen, such as in the 1922 edition of a popular music dictionary:

Mahler's symphonic writing...is so indifferent to so-called originality of feeling or refinement of themes that one may believe it possible- even on racial grounds (Mahler was a Jew)- to exclude him completely from the ranks of creative musicians.¹¹⁹

It is thus musicology's overlooking of Mahler that paid such poor service to the composer, with real discussions of his musical works only starting in 1978.¹²⁰

Therefore, in a post-Holocaust society, especially after the Eichmann trial of 1961, it became important to some scholars such as Leon Botstein to overcome injustice to great Jews of the twentieth century, and Mahler came to symbolize this.¹²¹ As such, Mahler's popular image became that not only of a persecuted Jew, but even more as a representative of a 'prototypical modern artist' who struggled against being marginalised.¹²²

There are considerable parallels between Mahler's reputation and the mythologisation of Beethoven in terms of heroism. Much of Beethoven's reputation has been constructed over foundations of discussions of the heroic style, although admittedly the popular vision of Beethoven heroically persisting with music despite worsening deafness gives a focus on heroism in his life too. This myth has found 'little or no resistance in the 20th century' and is the result of 'powerfully communicative music' and 'compelling biographical circumstances.'¹²³ Thus, because of these circumstances it can be said that, despite only a few of Beethoven's works being in a heroic style, the style has nonetheless become the dominant part of our understanding of the composer, and also classical music as a whole today.¹²⁴

¹¹⁸ Christoph Metzger, tr. Jeremy Barham, 'Issues in Mahler reception: historicism and misreading after 1960', in ed. Jeremy Barham, *Cambridge Companion to Mahler*, 204

¹¹⁹ *Riemann's Music Dictionary*, ed. Alfred Einstein, 1922, quoted in *ibid*, 205

¹²⁰ Christoph Metzger, 'Issues in Mahler reception', 206

¹²¹ Leon Botstein, 'Whose Gustav Mahler? Reception, Interpretation, and History', in ed. Painter, *Mahler and his World*, 7

¹²² *Ibid*

¹²³ Joseph Kerman et al., 'Beethoven, Ludwig Van', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/40026pg19>> Accessed May 7th 2010

¹²⁴ Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 2000), *passim*, in particular Introduction

Nonetheless, unlike for the situation surrounding Bach as discussed above, it is possible to find a composition by Mahler which does not so readily fit his mythologisation; the Symphony No. 4 in G major. This symphony, which was premièred in 1901 to an extremely critical reception, followed on in the public sphere from the Symphony No. 2, the Symphony No. 3 not being fully premièred until June 1902.¹²⁵

The Fourth symphony is often cited as Mahler's most easily accessible composition due to its shorter length and clear references to Classicism.¹²⁶ However, it has an uneasy relationship with the mythologisation of the composer because of these elements. On the one hand the symphony does seem superficially to correlate with the mythological view of Mahler and his works, largely due to its supposed depiction of death and heaven, yet at the same time its apparent differences to other Mahler symphonies have set it aside. The usual context in which the symphony is understood is firstly with the first three symphonies, as part of a tetralogy,¹²⁷ and secondly as a piece of programme music.

The first of these aspects is also partially a programmatic one, with the symphony seen to be completing the narrative started in the first three symphonies, that is to say it continues to address a theme of life and death.¹²⁸ The connections between the first four symphonies are all the stronger for having their roots in the *Wunderhorn* poems, causing Mitchell to label them the *Wunderhorn* symphonies.¹²⁹ Nonetheless, the symphony does not always fit this grouping very well, reflecting a change in Mahler's compositional style and in many ways pointing forwards towards future works.¹³⁰

Nonetheless, it is the programmatic basis of the symphony which is overwhelmingly seen as the key context for the symphony. It is therefore vital to examine clearly the relationship between the symphony and its programmatic roots, and how the programme itself has altered since the work's première. The following section is however not intended to be an exhaustive account of the work's reception history, but

¹²⁵ Peter Franklin, *Mahler: Symphony No. 3* (Cambridge: Cambridge University Press, 1991), 26

¹²⁶ Egon Gartenberg discusses how the symphony is more "digestible" than the other symphonies, but also highlights practical considerations such as its relative cheapness to perform in *Mahler: The Man and his Music* (New York: Schirmer Books, 1977), 291

¹²⁷ Due to Mahler's own description thus, as quoted in Donald Mitchell, *Gustav Mahler: Volume II: The Wunderhorn Years* (London: Faber and Faber, 1975), 311

¹²⁸ See page 72 for further details on these symphonies and their reputations.

¹²⁹ Mitchell, *Gustav Mahler: The Wunderhorn Years*, passim

¹³⁰ James L. Zychowicz, *Mahler's Fourth Symphony* (Oxford: Oxford University Press, 2000), 8-9

instead shows how parts of this history highlight aspects of the symphony which are overlooked within today's predominantly programmatic readings of the work.

Firstly, it must be clarified that at its première, Mahler did not present or write a programme for the listeners, stating that he would not even add titles to the movements since 'stupid critics and audiences would again misunderstand and distort them in the worst possible way.'¹³¹ The only text within the symphony that is instantly accessible to a listener is therefore that of the final movement, *Das Himmlische Leben*, the text of which is reproduced in Appendix B. This depicts a child's view of heaven, in which various saints and other figures reside and there is an abundance of food, and which Mahler instructs be performed with a 'childlike, cheerful expression, absolutely without parody.'¹³²

This final movement can be seen retrospectively to be the structural and programmatic key to the whole symphony, with fragments and references to the music being interwoven into the texture of the first three movements. This compositional technique was aided by the fact that the final movement was composed before the rest of the symphony, as a part of a collection of *Wunderhorn* songs, thus allowing Mahler to be able to focus on a completed finale throughout the time working on the other movements.¹³³

The finale plays an important role in both the journey of the understanding for the symphony today, but was also instantly a focal point of contemporary reception, some of which was more measured than the outright hostility expressed for other movements.¹³⁴ Whereas today the finale is understood as the most important movement, in 1901 the audience in part contextualised it according to their existing knowledge of the most famous symphony with a vocal finale, Beethoven's Symphony No. 9. For example, *Die Musik* described the finale as a 'wilful incomprehension of Beethoven's Ninth,'¹³⁵ and *Generalanzeiger* said it seemed 'a third act of a comedy' and was reminiscent of a 'young girl wearing her grandmother's pleated bonnet.'

Beethoven's Ninth was premièred in 1824¹³⁶ and thus was arguably already a fixed and accepted part of musical consciousness in 1901. However, to examine the

¹³¹ Mahler quoted in Henry-Louis de la Grange, *Mahler*, Volume I (New York: Doubleday, 1973), 582

¹³² Gustav Mahler, *Symphony No. 4*, ed. Hans F. Redlich, (London: Eulenburg, 1966). All performance direction quotations are taken from this source unless stated otherwise.

¹³³ Mitchell, *Mahler: The Wunderhorn Years*, 309

¹³⁴ de la Grange, *Mahler*, 659

¹³⁵ Ibid, 657

¹³⁶ Kerman et al., 'Beethoven, Ludwig Van', *Grove Music Online*

vocal finale to Mahler's Fourth Symphony in relation to a putative model of the finale of Beethoven's Ninth Symphony can only lead to speculation regarding the kind of relationship between the two that would have been implied to an audience of 1901. That is to say, it can be questioned whether or not the final movement can be seen as a deliberate or even accidental critique of Beethoven's model; or as a continuation of it; or even if such a comparison between the two works only becomes misleading. Nonetheless, the key issue to be remembered is that in 1901 the finale was not accepted as a satisfying ending to a symphonic work, whereas today it is privileged as the locus of the symphony's meaning; a change in status that is worth questioning.

The function of the finale in Mahler's Fourth can be looked at on two levels. Firstly, there is the structural level on which ideas from the finale can be found to form parts of the musical texture of the other movements. The most obvious example of this is the opening of the first movement which has the quaver motif played on the bells, (Ex. 1.1) the same as the interludes of the finale (Ex. 1.2).

Vorschläge sehr kurz

Flute 1.2. *p stacc.*

Flute 3.4. *f sf ff*

Cl. in A 1.2.3. *p*

Bells *pp*

Example 1.1: First Movement, bars 1-2

Example 1.2: Fourth Movement, reduction of bars 40-41¹³⁷

Secondly, the finale does unquestioningly play a programmatic role in the symphony, although the extent to which the movement can be seen to be the key to the whole work is questionable, as discussed below.

Nonetheless, at its première the work as a whole was met with an extremely hostile reception. Although this was due to many different aspects of the music, much of it was focussed on the lack of a programme. To give just a few examples, a critic of the *Allgemeine Zeitung* said that the ‘grotesquely comic...must at least be justified by a precise program’¹³⁸; the *Allgemeine Musik-Zeitung* described it as ‘incomprehensible without a program’¹³⁹; and the *Frankfurter Zeitung* shunned it as ‘program music without a program.’¹⁴⁰

This has led scholars such as Mitchell to be critical of those contemporaries of Mahler who ironically failed to notice the most ‘striking fact’ about the symphony, namely that the final movement acted as a programme, going as far as to say that the contemporary reception offered few ‘genuine insights’.¹⁴¹ However, this criticism is in itself also ironic, since Mitchell himself fails to account for one of the most striking facts of the symphony’s reception today: the symphony is seen as programme music, and by no means only because of the text of the finale. Thus it must be questioned how Mitchell can critique those critics who wanted a programme in 1901, when clearly the

¹³⁷ Other fragments are less obvious, such as discussed in Floros, *The Symphonies*, 117-131

¹³⁸ de la Grange, *Mahler*, 652

¹³⁹ Ibid

¹⁴⁰ Ibid, 656

¹⁴¹ Donald Mitchell, ‘Swallowing the Programme: Mahler’s Fourth Symphony’, in Donald Mitchell and Andrew Nicholson (eds), *The Mahler Companion* (Oxford: Oxford University Press, 1999), 200

music is most frequently experienced as programme music today. For example, Floros discusses each movement under a programmatic heading based upon later knowledge in sketches and Natalie Bauer-Lechner's recollections,¹⁴² online listening guides confidently state that a technique 'represents Death playing a dance',¹⁴³ and even the notes to the popular Eulenburg edition of the score turn to the purported programme before discussing the symphony's structure.¹⁴⁴ Clearly, there is as much need today for a programme as there was in 1901.

In light of this it must be asked where exactly the programme that we use with the symphony has come from, what it adds to our understanding of the composition, and more importantly, what it overlooks. By creating a dialogue between the music, its reception and its programme, it is possible to see that the contemporary reception can help focus on moments and techniques within the music that are overlooked under today's programmatic reading. As such, I again turn to the original reception of the symphony in the section below to help develop a broader reading of the symphony.

1.3.1 Mahler's Fourth Symphony as Programme Music

The Fourth Symphony, as discussed earlier, was not presented at any point during Mahler's lifetime with a set programme. Yet at the same time its reputation today relies on its programme and indeed the lack of a programme was a big problem for the audiences of the early 1900s.

Therefore, it must be examined how a non-programmatic symphony has become known in terms of a programme. Firstly, there is the text of the final movement which as discussed before is seen to act as a programme to the whole symphony. Secondly, however, there is the programme which has been retrospectively added to the understanding of the symphony through Mahler's conversations and early compositional documents and sketches. For example, there is the text that Mahler 'probably dictated',¹⁴⁵ to his friend Bruno Walter as presented on page B6 of Appendix B. De la Grange says of this that 'although this text was now supposed simply to be made available to the audience rather than imposed on it, and although it was more general in tone than those for the first symphonies, it still looked strangely like a

¹⁴² Floros, *The Symphonies*, 109-131

¹⁴³ 'BBC h2g2 Mahler's Fourth Symphony', <<http://www.bbc.co.uk/dna/h2g2/A12219725>> Accessed April 26th 2010

¹⁴⁴ Hans F. Redlich, Notes to Gustav Mahler, *Symphony No. 4*, ix-xi

¹⁴⁵ Henry-Louis de la Grange, *Gustav Mahler, Vienna: The Years of Challenge, (1897-1904)* (Oxford: Oxford University Press, 2006), 521

“programme.””¹⁴⁶ Other evidence that is frequently cited is that of Mahler’s comments to Natalie Bauer-Lechner, some of which can be found on page B6 of Appendix B.

It is here that I must disagree with de la Grange and say that the programme does not stand as a programme in a Lisztian or Berliozian sense, as it sketches such broad ideas as to deem a close-reading between many parts of the work and the programme futile.¹⁴⁷ This only helps to examine the symphony in very generalised terms and also to privilege the finale, as a texted movement, above the rest of the symphony. Indeed, it must be said that because the text of the finale is seen as the programme for the whole, the text is seen as the key part of the work as a whole, over and above the importance of the music itself. Although it cannot be denied that the finale is important to the work as a whole, it must also be remembered that the first three movements are full movements in their own right; not mere checkpoints along the way.

Finally, there is documented evidence that Mahler originally planned to use *Das Himmlische Leben* as part of the Third Symphony¹⁴⁸ but eventually cut it as the Third was already very long. Because of this, there are significant connections between the materials of the Third Symphony and the Fourth, with the fifth movement containing a large quotation from *Das Himmlische Leben*.¹⁴⁹ As such, it cannot be denied that there is a programmatic link (and musical ones) between the two symphonies but this does not necessarily form evidence that the Fourth is programme music.

Nonetheless, none of these constitute a programme in a true sense, but are additional poietic documents which could be used to assist an interpretation of the composition, not a programme to the symphony whose status and value is unquestionable. Even when using Mahler’s statements to Walter to corroborate this method it must be remembered that despite making further alterations to the score for years following the première, at no point did he add a programme or any textual explanation.¹⁵⁰

The opening of the symphony is a good example of how the programmatic interpretation is used to explain aspects of the musical style of the work, in particular those aspects that are unusual within Mahler’s oeuvre as a whole.

¹⁴⁶ Ibid

¹⁴⁷ See Mahler’s ‘programme’ to the symphony which is reproduced in Appendix B on Page B6

¹⁴⁸ Floros, *The Symphonies*, 110

¹⁴⁹ Franklin, *Mahler: Symphony No. 3*, 68-70

¹⁵⁰ See Zychowicz, *Mahler’s Fourth Symphony*, passim



Example 1.3: A reduction of the First Movement, bars 3-7

Example 1.3 above shows a theme highly reminiscent of a past Classical style. This, the first theme heard in the symphony which enters after only a two bar introduction, is harmonically, melodically and rhythmically balanced and unambiguous. The melody itself highlights the tonic of G major in the way in which the motif drops back onto the G on the strong beats of three of the four bars. Indeed, even the instrumentation serves to highlight the theme's simplicity, with the melody scored for the first violins and the accompaniment performed by the other string parts in pizzicato. This lies in direct comparison to the opening of the Second Symphony (Ex 1.4), which preceded the Fourth for the listeners of 1901, having been premièred in 1898.¹⁵¹

Allegro maestoso. Mit durchaus ernstem und feierlichen Ausdruck. zu 2

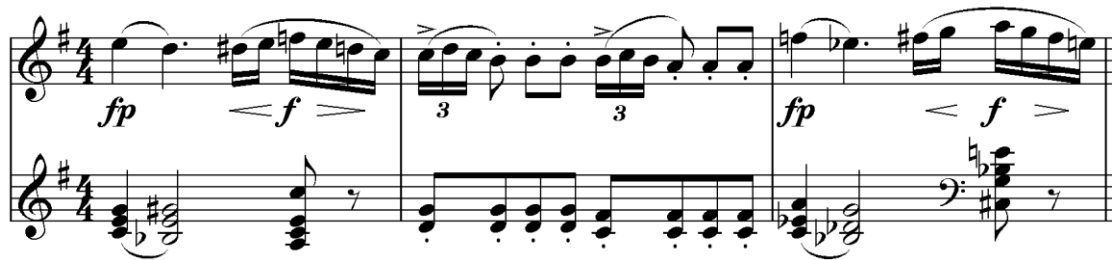
Example 1.4: Mahler's Symphony No. 2, First Movement, bars 1-5

¹⁵¹ de la Grange, *The Years of Challenge*, 86

Here, the opening is less immediate, with instability being created from the offset by the pedal of G. The use of only low strings, with the higher strings playing low in their register, creates a muddy effect: a complete difference to the bright, clear opening of the Fourth.

The programmatic accounts of the symphony are clear in their understanding of this reference to Classicism, seeing it as reflecting back on a bygone era and thus enhancing the childlike sense of innocence in the world, an innocence which will be complicated and lost before gradually being rediscovered in the approach to the pure childlike innocence of the contemplation of heaven seen in the finale.¹⁵²

However, as our path through life is never uncomplicated, so is the Classicism of the first movement not as pure and innocent as the very beginning of the first movement suggests. As seen in Example 1.5 below, Mahler treats the familiar Classicism in an unfamiliar fashion, through the continued use dissonances and chromatic alterations.¹⁵³



Example 1.5: Symphony No. 4, First Movement, Reduction of bars 27-29

The Scherzo is the instrumental music with the most concrete programmatic reading, that of the Dance of Death, or *Todtentanz*.¹⁵⁴ This reading is particularly focused upon the use of the scordatura violin solo which is instructed to play *Immer stark hervortretend und ohne Dämpfer* (always strong, conspicuous and without mute).¹⁵⁵ The scordatura technique gives the violin a harsh sound which separates it from the surrounding musical texture and indeed does give an eerie effect which is easily programmatically interpreted as Death playing the fiddle.

¹⁵² Mitchell, *The Wunderhorn Years*, 324-325 and 344-345, Paul Bekker quoted in de la Grange, *Mahler*, 759

¹⁵³ Discussion and MS based upon Floros, *The Symphonies*, 119, with some alterations.

¹⁵⁴ As Floros states this description could be read in the programme to a performance of the symphony conducted by Mahler in 1904, however it is not found in the autograph or first edition of the score. (Ibid 122)

¹⁵⁵ Gustav Mahler, *Symphony No. 4*, Second Movement, 73

The adagio movement is yet another example of a vague programmatic idea being used to explain a vast musical passage, in this case the smiling of a usually austere Saint Ursula and the reminiscence of happy moments in life.¹⁵⁶ It is of course impossible to give any kind of musical example to back up this programmatic reading, as it is based entirely on the mood of the musical material, which seems to be slightly melancholic yet at the same time at peace. Nonetheless, the sudden outburst of an E major tonality in a movement mainly defined by G major and E minor, which is arrived at in bar 315 can be seen to be more programmatic within the context of the whole, acting as a premonition of and smooth transition to the E major of the final movement and thus an arrival at the sense of heavenly joy which the text of the final movement describes. This sense of arrival is heightened by the unresolved final chord of the adagio movement which is instantly resolved at the beginning of the finale (Ex. 1.6).

The image displays two systems of musical notation. The first system, labeled '8va' at the top, includes staves for Violin 1, Violin 2, Violoncello, and Contrabass. Violin 1 and Violin 2 have a 'Flag.' marking above a series of notes. Violoncello has a 'pp non Flag' marking. The second system, labeled 'IV' at the top, includes staves for Clarinet in Bb, Horn in F, Harp, Viola, and Violoncello. The Clarinet in Bb and Horn in F have a '1.' marking above a series of notes. The Harp has a 'pp' marking. The Viola and Violoncello have a 'Sehr behaglich con sord.' marking above a series of notes. The Violoncello also has a 'pp' marking below a series of notes.

Example 1.6: Third Movement, bars 349-end and opening of Fourth Movement

¹⁵⁶ de la Grange, *The Years of Challenge*, 758. Other accounts describe Mahler's memories of his mother smiling. (See Appendix B, Page B6)

The examples above all serve to highlight both the benefit of considering the music as programme music but also its problems. For the former, it can be seen that the programme does offer a narrative thread throughout a composition which has some unusual musical features and unexpected instrumental effects, particularly within the context of Mahler's music more generally.

Nonetheless this approach is flawed in that it turns listening to the symphony into a process of spotting the programmatic signposts, such as the scordatura violin part, throughout the music's course and referring them back to the programmatic context. This gives a situation whereby the rest of the music is overlooked or relegated to a position of secondary importance. Thus the original reception of the symphony can actually be seen not as ignorant, but as a case study of how the music would be received without any programmatic signposts. Of course, it must be taken into consideration that the work was new and thus had shock-value, something which we will never be able to experience ourselves, nonetheless unpicking the original reception can show some different moments to examine within the musical texture.

The first of the aspects that are overlooked is the sense of the humorous and grotesque that manifests itself throughout the symphony and is something that Mahler himself highlighted as one of the key features of the work. Under the programmatic account the grotesque elements are possibly the problems encountered along life's path towards the heaven of the finale, yet this was contrary to the way in which they were heard by the original audience who were overwhelmed by them.

One such example is the use of muted and stopped horns, which to today's listeners are hardly remarkable, but as Ritter's contemporary account shows, to an audience of 1901 muted horns were still a noteworthy sound.¹⁵⁷ These horn effects are found throughout the symphony, but most particularly in the first movement, where they are prevalent throughout the development section. Most strikingly, the horns not only cut through the texture with their harsh timbre, but are scored so that their harmony is highlighting an unexpected chordal progression. Indeed, throughout the development of the first movement the theme-fragments are given a brief sounding before building up to an increasingly dissonant outburst, be it in timbre or harmony. This gives the music a sense of undulating up and down between these moments, with the horns being added at the crest of each wave. The first sounding of the aggressive stopped horns is

¹⁵⁷ de la Grange, *The Years of Challenge*, 396.

found in bar 113 of the first movement within a development of the theme fragment first heard in bars 9-11 (Ex. 1.7).

Example 1.7: Use of stopped horns in the First Movement, bars 112-113

The sense of undulation is also to be heard in the exposition but whereas here it builds gently up to a short, quickly resolved stumbling block, in the development the dissonance is both more sustained, more harshly scored and leads to a brief moment of chaos, wherein the lines interweave and control is not immediately regained: the threat to stability that is hinted at in the exposition has become a reality in the development.

Thereby one issue overlooked in the programmatic account is discovered; the importance of the intricate development section itself, which is relegated to a secondary importance in the programmatic accounts, as it is just disregarded as being the problems encountered in life, rather than being a focal point in itself. Indeed, the ‘complexity’ of the development proved too much even for the musicians within the audience in

1901.¹⁵⁸ The moments such as the dissonant outbursts that struck the original audience as ‘clownish’¹⁵⁹ are clearly not only a subtle transgression of a Classical style, as interpreted today, but also aggressive deviations that can be heard as humorous.

Another aspect of the composition which shocked the audience of 1901 was the sense of paradox within the symphony. Today, the symphony seems to flow unparadoxically with all disjunctions within the material being neatly overcome, since it has a ‘programme’ constructed through a retrospective examination of the conception of the symphony and a far clearer analytical understanding of the thematic and harmonic developments leading up to and pointing towards the finale. However, this was far from the case for an audience who did not have the benefit of any contextualisation for the work at all, except for a previously released piano score which of course lacked many of the instrumentational idiosyncrasies of the full symphony.¹⁶⁰ As such, they reacted to these disjunctions, juxtapositions and paradoxes, feeling that Mahler was actually passing off what was actually a ‘scandalous hoax’ under the guise of a symphony.¹⁶¹

The second movement was particularly singled out for criticism in the reviews of 1901, with the slightly more measured *Allgemeine Zeitung* saying that stylistically it is too similar to the first and ‘contains a few rather tasteless orchestral jokes.’¹⁶² However, the Viennese ländler-like section that followed was praised;¹⁶³ and it is this section that forms one of the most noticeable juxtapositions within the symphony.

The second movement opens with the spiralling distorted dance theme, frequently heard in the scordatura violin, as discussed earlier (Ex. 1.8).

¹⁵⁸ Ibid

¹⁵⁹ Ritter’s description, de la Grange, *The Years of Challenge*, 650

¹⁶⁰ de la Grange, *Mahler*, 650

¹⁶¹ Ibid, 656 is just one example; numerous critics have suggested the same thing.

¹⁶² Ibid, 652

¹⁶³ Ibid

Flute: *pp*, *a2*, *2. 3. a2*, *1.*

Clarinet in Bb: *pp*

Horn in F: *p*

Solo Violin: *senza sord.*, *mf*, *p*, *f*

Hn.: *sf*

Solo Vln.: *p*, *f*, *p*

Vln. II: *con sord.*, *tutti*, *pp*

Vla.: *solo*, *pp*, *tutti*, *pp*

Vc.: *solo*, *pp*

Example 1.8: Second Movement, reduction of bars 4-11

Nonetheless, what the programmatic account does not take notice of is the following section, which consists of a beautiful Viennese *ländler* in a pared down chamber texture. This section has a particularly clarinet-focused sound, as could be expected in a traditional *ländler*,¹⁶⁴ as well as a playful ornamentation of the strong beats (Ex. 1.9).

¹⁶⁴ Mosco Carner, 'Ländler', in *Grove Music Online*. *Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/15945>> Accessed April 30th 2010

1. 2. a2

Flute

Clarinet in B \flat *lustig*

Clarinet in B \flat *f*

Bassoon 1. 2. a2 *p*

Horn in F *pp*

Harp *f* *pizz.*

Violoncello *p*

Example 1.9: Second Movement, bars 71-76

The two sections are joined by transition sections which lighten or darken the material as necessary to give a smooth movement into the next section. The two themes are however not entirely dissimilar: they are both clearly based on traditional Viennese styles, with their clear 3/4 pulse and accent on the downbeat, although the opening has an added ambiguity caused by the contrapuntal treatment, giving it a feeling of spiralling out of control, reminiscent of the *Moto Perpetuo* of the third movement of the Second Symphony.

At the conclusion of the movement there is some combination of the stylistic elements of the two themes, such as the use of the clarinet and lightening of tonality in the scordatura theme (Ex. 1.10).

1. 2.3.4. a3

Flute *pp* *p* *f*

Oboe *pp* *grazioso*

Clarinet in B \flat *pp*

Horn in F *pp* 1. (c.s.)

Harp *p*

Violin Solo II *grazioso* *p* *espress.* *pp* *nicht eilen*



1. *nicht eilen* *pp*

Ob. *nicht eilen*

Cl. *pp* *nicht eilen*

B. Cl. *p* *staccatissimo*

Hn. *p*

Hp. *p*

Solo Vln. *p*

Example 1.10: Second Movement, bars 281-290

From these examples it can be seen that to describe the second movement purely as a Dance of Death and to leave it at that is to overlook the sense of paradox created by having a juxtaposition of light, traditional ländler sounds (although the material is not

entirely traditional) and dark, subversive ones. It was this constant fluctuation between the two moods that shocked the original audience. Indeed, the reason that this fluctuation is so audible is because of the similarity in the musical material between the two themes to start with. Thus, in one respect, Mahler has relied on a very similar musical technique in both the first and second movements, that of setting up an opposition between a Classical norm and its subversion. Whereas in 1901 this just led the audience to reject the music as nonsensical, today we use the programme to act as an explanation for the dialogue between the juxtaposed parts, which no longer have the power to seem more than signposts along the path of our narrative understanding. Indeed, when the critic of the *Allgemeine Zeitung* said that ‘the second movement is too like the first and therein lies its weakness’¹⁶⁵ he made a very fair point, since when experienced without a programme, the two movements do tend to play on the same musical technique and can also both be interpreted as being crudely humorous.

The finale is frequently cited as the absolute key to the symphony as a whole but despite this is the most simply constructed movement which takes the form of a strophic song. Many Mahler scholars have seen this gradual reduction in complexity through the symphony towards the simply constructed finale as a preparation for the innocent joys of the finale,¹⁶⁶ which, as already discussed, describes a child’s vision of heaven and should be sung without parody.¹⁶⁷

However, even this supposedly simple movement is not without its paradoxes, since as Floros says, the *Wunderhorn* text chosen by Mahler not only discusses the ‘heavenly joys’, but this paradoxically ‘does not exclude cheerfulness and boisterousness.’¹⁶⁸ Nonetheless, Floros does not then draw the connections to the musical fabric itself, where a similar paradox can be found. Here, as much as anywhere else in the symphony, disjunctions are heard, particularly in the interludes between each verse. Mahler sets the gentle domestic activities of the saints described at the end of each verse to a chorale-like, peaceful and sombre accompaniment (Ex. 1.11).

¹⁶⁵ de la Grange, *Mahler*, 652

¹⁶⁶ Mitchell, *The Wunderhorn Years*, 324

¹⁶⁷ Although the fact that Mahler needed to point this out seems to indicate an underlying insecurity.

¹⁶⁸ Floros, *The Symphonies*, 129

Plötzlich zurückhaltend *rit.*

Instrumentation and Dynamics:

- Piccolo:** *ppp* (first staff), *pp* (second staff)
- Flute 1:** *ppp* (first staff), *p* (second staff)
- Flute 2:** *ppp* (first staff), *p* (second staff)
- Horn in F 1:** *p* con sord. 1.3. (first staff), *p* 2.4. a2 offen (second staff), *ppp* mit Schwammschlägel (third staff)
- Horn in F 2:** *p* con sord. 1.3. (first staff), *p* 2.4. a2 offen (second staff), *ppp* mit Schwammschlägel (third staff)
- Cymbals:** *pp* (first staff)
- Harp:** *p* (first staff)
- Soprano:** *pp* (first staff), lyrics: Sankt Pe - ter im Him - mel sieht zu! (second staff)
- Solo Violin:** *pp* (first staff), *pp* (second staff)
- Violin I:** *pp* (first staff), *pp* (second staff)
- Violin II:** *pp* (first staff), *pp* (second staff)
- Viola:** *pp* (first staff), *pp* (second staff)
- Violoncello:** *pp* (first staff), *pp* (second staff)
- Contrabass:** *pp* (first staff), *pp* (second staff)

Tempo and Mood: *Plötzlich zurückhaltend* (Suddenly restrained), *rit.* (ritardando)

Articulations: *morendo* (Violin II, Viola), *mit Schwammschlägel* (Cymbals), *arco* (Violoncello, Contrabass)

Example 1.11: Final Movement, bars 35-39

The peace does not last, with the whole orchestra shattering the calm with a bold, harsh reappearance of the quaver motif first seen in the introduction of the symphony, now with stopped horns: how does this reminiscence of the dissonant textures heard throughout the symphony fit in the programmatic visions of childlike

heavenly innocence? It is easily said under the programmatic account that the earlier dissonances are just a premonition of and pathway to the important finale, but this does not successfully explain their presence in the finale. In fact, does the similarity between the dissonances of the finale and the dissonances of the first movement, supposedly the stumbling blocks along the pathway of life, mean that Mahler is suggesting that heaven is not so innocent or serene after all? Or could he be suggesting that what are pitfalls in life are reduced to boisterousness in heaven?

From just these two questions it can be seen that even the programmatic understanding of the symphony is not as incontrovertible as it seems when put under scrutiny. Yet another example of the finale's paradox can be heard in response to the lines describing the slaughter of lambs and oxen. Whereas the soprano sings of the animals freely giving themselves up for slaughter, the music tells a different story, with the ongoing bleats and calls of the lambs (Ex. 1.12a) and oxen (Ex. 1.12b) bemoaning under the words with a gradually descending sequence.¹⁶⁹

The musical score for Example 1.12a consists of two systems. The first system features an Oboe (Oboe) and Soprano (Soprano) part. The Oboe part begins with a rest, followed by a descending sequence of notes (G4, F#4, E4, D4, C4) marked with *pp* and *fp*. The Soprano part has the lyrics: "Jo - han-nes das Lämm-lein aus las - set, der Metz-ger He-ro-des drauf pas - set! Wir". The second system features an Oboe (Ob.) and Soprano (S.) part. The Oboe part continues the descending sequence, marked with *pp* and *fp*. The Soprano part has the lyrics: "füh-rein ge - dul-dig's, un - sch-ul-dig's, ge - dul-dig's, ein lieb - li-ches Lämm - lein zu Tod!".

Example 1.12a: Oboe imitating a bleating lamb, Final Movement, reduction of bars 56-65

¹⁶⁹ Such as commented upon in a review of the symphony in New York in 1904, ed. Zoë Lang, 'Mahler's American Debut: The Reception of the Fourth and Fifth Symphonies, 1904-1906' in ed. Karen Painter, *Mahler and his World*, 233

B. Cl.

Bsn.

Hn. 2.

Hn. 4.

S.

Cb.

Ach - ten, der Wein kost kein Hel - ler im himm - lischen Kel - ler,

Example 1.12b: Lower voices imitating oxen calls, Final Movement, reduction of bars 66-71

Therefore it can be said that attaching a programme, or a quasi-programme, to the symphony has helped listeners to understand the symphony and in particular to draw connections between the movements. However, this has been at the expense of the paradoxical, grotesque and humorous moments, which rather than being harsh moments which should not be readily understood, are now held in context with the programme, and thus their effect is lessened. Indeed, not all of the moments, as discussed above, are

highlighted in the programmatic account and this limits the interpretations of the symphony.

Musicologists who privilege the finale of the symphony as the key to interpretation are in danger of privileging text over pure musical textures, since they essentially argue that the symphony as a whole cannot be understood without understanding the 'programme' provided in the finale. For example, Floros states 'it is not an exaggeration to say that a full understanding of the Symphony is impossible without the knowledge of the program.'¹⁷⁰

By no longer examining the symphony as merely subordinate to the programme, but by creating a dialogue between the two, which at time converges but at other times seem disparate, a far more detailed reading of the symphony can be reached, and one which does not expect the listeners to experience the work in a fixed manner, but allows for a breadth of readings. Perhaps this is why Mahler did not present the work with a programme, but described it within the more private sphere of his own friends.¹⁷¹

Indeed, to understand the music as being illustrative of the programme is problematic since it raises the ongoing issue concerning music and its relationship to language. Thus to say that the music somehow acts as a representation of the narrative of the programme is to say either that the music transcends language by granting it a meaning beyond that which can be contained in words, or that the music is in itself an inadequate locus of meaning that needs to be supplemented by words. It is indeed the latter phenomenon that is suggested in much literature that relies so heavily on the programme to explain the symphony, as it implicitly accepts the notion that the symphony in itself requires the programme to be meaningful.

Of course, this situation is vastly complicated by the inclusion of a written text to the final movement and there is much left to be said about how the music engages with this text to create a meaningful discourse yet it must be questioned to what extent this text relates to the rest of the symphony as a whole.

Nonetheless, the moments discussed above are not in themselves narrative, since they do not construct a storyline that can be followed through time, even in the most abstract way, such as seeing them as openings or conflicts, but instead many of them could be examined using topic theory. For example, there has been research to suggest that Mahler's use of a Death-dance fiddler ties in more broadly with turn-of-the-century

¹⁷⁰ Floros, *The Symphonies*, 113

¹⁷¹ *Ibid*, 114

artistic representations of Death more generally.¹⁷² Similarly, a Viennese ländler would be far more part of a familiar musical language in 1901 than it is now, and deviations from tradition that could well be overlooked today would have been far more obvious to a contemporary audience. In this way, it can be seen that these moments were suggestive in different ways to Mahler's audiences and thus perhaps today's reliance on a programme can, in part, be compensating for the loss of signification of these moments. Nonetheless, even this would only suggest that certain topics seemed to signify similar ideas to those described in the programme, and further only highlights the problems described above.

Secondly, the reliance on the programme for the symphony seems even more bizarre when the nature of the programme is considered as it is not a narrative or a story, but a concoction of various images and ideas. Indeed, it must be asked how strong the need for a programme or some sort of contextualisation is, bearing in mind the ridiculous notion that a twenty-minute slow movement can on any deeper level be representative of a saint smiling.

1.3.2 The Symphony and its Programme in Relation to the Mythologisation of Mahler

*'My own experience in general has been that humour of this type (as distinct from wit or good humour) is frequently not recognised even by the best of audiences.'*¹⁷³

Having established that the symphony has a programme which aids one interpretation of the music but overlooks others, it must be asked how this phenomenon functions more broadly and how it relates to the mythologisation of Mahler as discussed above.

The Fourth Symphony, as discussed earlier, does not fit easily into the broader sweep of Mahler's work as a whole, acting as a transitional point between his earlier and later styles and having a much shorter length and smaller orchestra. Similarly, the work does not fit into the Mahler Myth as well as the other symphonies, with the possible exception of the less popular Seventh. This is because most of the other symphonies are experienced in terms of philosophical debates, tragedy, death and suffering. In contrast to this, the Fourth Symphony, under its programmatic

¹⁷² Mitchell, *Gustav Mahler: The Wunderhorn Years*, 237, see also Redlich cited in *ibid*

¹⁷³ Mahler's letter to Julius Butts of September 12th 1903, taken from *Selected Letters: The Original Edition*, selected by Alma Mahler, ed. K. Martner (London: Faber and Faber, 1979) 272

interpretation, is lighter in content, since the symphony supposedly depicts an uncomplicated child's view of heaven, not a foreboding tragedy (such as the Sixth) or an ambiguous death and resurrection seeped in outsider subjectivity (such as the Second.) Indeed, under the less programmatic reading, as suggested above, the symphony fits even less well with the Mahler Myth, its grotesque humour not finding a place within a reputation of suffering and deep philosophical reflection.

The table below shows the completed symphonies and their common descriptors and serves to highlight just how out of place an understanding of the Fourth that included humour would be:

Symphony and nickname¹⁷⁴	Common descriptors and contextualisation
1 "Titan"	Death of a hero; irony; distorted children's songs; funeral marches; nature.
2 "Resurrection"	Resurrection; ambiguity of afterlife; outsider status and Other-voiced subjectivity; length of symphony and forces required.
3	Eternal non-earthly love; ¹⁷⁵ stages of creation; length of symphony.
4	Accessibility; short symphony with smaller orchestra; heaven and earth; childlike innocence.
5 "Death in Venice"	The <i>Adagietto</i> 's use in the film <i>Death in Venice</i> ; canonic position of this movement; funeral marches.
6 "Tragic"	Tragedy; hammer blows of fate.
7 "Song of the Night"	Irony; parody
8 "Symphony of a Thousand"	Metaphysical subject, ¹⁷⁶ The Creator, length of symphony.
9	Foreboding death. The curse of the Ninth.

Table 1.2: Mahler's nine complete symphonies and their reputations and nicknames.

Therefore I suggest that since the Mahler Myth cannot be used to support an understanding of Mahler's Fourth symphony, the programme is relied on even more heavily in its place. As discussed earlier, the mythologisation of composers helps us to explain why our musical works are of value to us today and how they came into being,

¹⁷⁴ The nicknames of the symphonies are those in common use and do not imply that they were applied by Mahler to the symphonies themselves.

¹⁷⁵ Floros, *The Symphonies*, 88

¹⁷⁶ Ibid, 226

but also serve to lower aesthetic distance to allow for a stronger aesthetic experience for the listener.

In the Fourth Symphony, the programme, as I argued earlier, serves to soften the effect of the symphony, or to dilute its crudities as they are always held within a programmatic framework. This framework ensures that the symphony's dissonant and grotesque moments can no longer be heard as shocking or in poor taste, but will be seen to be key programmatic moments. This allows for the symphony to be understood in terms of its programme, and its programme described as that of life and death.¹⁷⁷ This programme of life and death fits better with the tetralogy of the first four symphonies, and means that the difficult moments within the symphony are no longer at the fore of our understanding, but the inherent relationships between the symphonies themselves both in musical content and programme.

More importantly, however, the programme of life and death fits far better with the Mahler Myth, since on a superficial level it allows for the symphony to be placed alongside the others in direct relation to them, as suggested by the table above. The fact that the symphony does directly engage with stylistic elements of Classicism and thus is in this respect different to the other symphonies by Mahler, is neatly glossed over and thus the symphony has a stronger relationship with the canonic and mythologised vision of Mahler. This in turn ensures that the symphony's position in the canon is secured.

This serves to lower the aesthetic distance between the symphony and the expectations that are brought to it by the listeners, thus ensuring a greater aesthetic experience.

1.3.3 Cognitive Dissonance

As an aside to the main arguments of this chapter, strong parallels can be drawn between the need for a programme to Mahler's Fourth Symphony and the phenomenon known as cognitive dissonance within the field of psychology.

The theory of cognitive dissonance has remained a basic principle of psychology for many years. It suggests that when human beings have contrasting cognitions they will feel uncomfortable, and that this discomfort, which can be called cognitive dissonance, will in turn 'motivate the person to try to reduce the dissonance and achieve

¹⁷⁷ See *ibid*, 112

consonance.¹⁷⁸ Thus, when there is a clash between the contrasting beliefs or behaviours, one of them must be changed if the feeling of discomfort is to be removed. This can be by focussing on some elements in order to change beliefs and thus to lessen the effects of the ones that clash and thus remove cognitive dissonance. An example from everyday life best explains this, such as when deciding between buying an expensive, fast car or a cheaper, slow car and writing up a list of disadvantages and advantages for each one. If one decides to buy, for example, the fast car then there is a feeling of discomfort as the disadvantages of the fast car were known due to the list previously written. So, to lower this feeling of discomfort caused by the knowledge of the car's disadvantage one tries to lower its effect by changing the belief; here, for example, by saying that it does not matter that the car is expensive seeing as it is a long-term investment. Thus the focus has been shifted from a negative one, seeing the car as expensive, to a more positive one, the car is expensive but within the context of its long-term use this does not matter.¹⁷⁹

I believe that this kind of behaviour can therefore be seen in the reception of Mahler's Fourth Symphony today. Because there are so many mythological preconceptions surrounding Mahler-reception, when faced with a symphony that does not match these preconceptions, the listener will feel discomfort. The listener is as a consequence placed in a situation of trying either to limit the cognitive dissonance, and therefore focus on the programmatic elements within the composition, or to reject or alter the mythological views held. Since the Fourth Symphony is the exception to the Mahler Myth, as shown in Table 1.2 above, it is less difficult to alter the understanding of the symphony than the mythologisation, leading to the situation that has been described above. The audience of 1901 removed their discomfort¹⁸⁰ by outrightly rejecting the piece, with audiences not accepting it until it met their expectations more thoroughly.

Of course, these ideas also connect neatly with Jauss' theory of the horizon of expectations, with a clash between a work and expectations of it held by listeners

¹⁷⁸ Festinger uses the term cognition to mean 'any knowledge, opinion, or belief about the environment, about oneself, or about one's behavior.' Leon Festinger, *A Theory of Cognitive Dissonance* (Stanford: Stanford University Press, 1957), 3

¹⁷⁹ This is a simplified form of an example given by Jack W. Brehm, described in Joel Cooper, *Cognitive Dissonance: Fifty Years of a Classic Theory* (London: SAGE, 2007), 10-11

¹⁸⁰ This is not to imply that this discomfort was caused by exactly the same reasons as the present-day discomfort. For more contextualisation of why audiences in 1901 struggled with the symphony see de la Grange, *The Years of Challenge*, passim

clearly being analogous to cognitive dissonance. This gives yet more credibility to my suggestion that Jauss' theories are not just speculative but work empirically as well.

1.4 Conclusion

It can be seen from the discussions of both case studies above that the mythologisation of the composers has been related to how their works have become part of the musical canon. The mythologisation of Bach has helped to strengthen the canonic reputation of the Double Violin Concerto and has thus ensured its ongoing popularity. For Mahler, however, the case study of the Fourth Symphony was unable to fit the mythologisation of the composer, and it was only by virtue of accepting the composition as programme music that the work could be introduced into the Mahler canon, and only then because the programme superficially fitted into the mythologisation of Mahler.

The two main negative aspects of mythologisation have also been seen. Firstly, mythologisation tends to cause a privileging of the mythical elements within the music and obscure the others: for example, the philosophical interpretations within Mahler's work and the religious ones within Bach's were seen to be privileged. Secondly, it restricts the popularity of non-mythical works from becoming culturally valued, and can also cause the works of non-mythical composers to be neglected as they have no broader mythologised context in which to be appreciated. It is this context which acts as a means for works to be understood in the canon, and thus without this context it is hard for any new works to enter the canon.

However, the mythologisation of composers gives listeners a sense of familiarity with the music and ensures an ongoing cognitive framework within which the music can be held. It also provides a background story which both explains and ensures the ongoing cultural value of these musical documents and thus has a cyclic function whereby it guarantees the music's future survival and popularity.

It is my belief that through the mythologisation of composers the poietic and esthetic results are limited and held into place through a contextual framework of mythologisation. That is to say the aesthetic distance has been lowered sufficiently for a strong aesthetic experience to take place, by developing a myth that not only explains how the poietic process came about, or how the valuable cultural documents were created, but also explains their broader contextualisation. This gives a firm foundation for an esthetic process.

There are some important connections between the Mahler Myth and the Bach Myth. Firstly, they both have, for the most part, been constructed after the lifetimes of their referents, especially through biographical accounts and interest caused by

centenary celebrations. This demonstrates the need for a contextual hook on which to hang an understanding of a composer and thus the importance of mythologisation more broadly.

Similarly, in both cases, albeit in very different ways, the modern-day reception of the compositions has tended to be related to the broader mythologisation of the composers. In Bach's case, a belief in the Bach Myth enhanced part of the enjoyment of the listeners, whilst for the Mahler symphony the programme has been used to ensure a stylistically different composition can become canonic.

Both composer-myths also function successfully as myths more generally, describing and justifying the cultural documents they include and standing up to contrasting evidence and debunking attempts. Of course, they both also concern only the canonic masters: contemporaries with similar lives or music are not subject to similar mythologisation. This is because both myths highlight and often exaggerate the differences between the composers and their contemporaries in order to survive.

1.4.1 Mythologisation and Alignment

It can be seen therefore that when listeners hold mythologised beliefs this functions as a type of alignment, or a means to shape the aesthetic experience achieved through listening to and engaging with the music. In the case of the empirical study into the Bach movement, the listeners who held the mythologised beliefs about Bach created a more aligned chain of communication than those who did not, thus enhancing their aesthetic experiences. Similarly, the chain of communication for many listeners of Mahler's Fourth Symphony has been brought into alignment by bringing the understanding of the work closer to that expected in light of the composer's mythologised reputation, which in turn reduces cognitive dissonance. Thus, in both cases, the cognitive and mythologizing processes undertaken by listeners work to create a more aligned chain of communication, which enhances aesthetic experience.

Diagram 1.1 shows this chain of communication for the experience of the mythologised composers discussed within this chapter, although it can also be used as a model for the experience of many mythologised composers. It shows how the listener constructs his or her own mythologised version of the composer, which relates back to, but is not always factually representative of, the original composer.

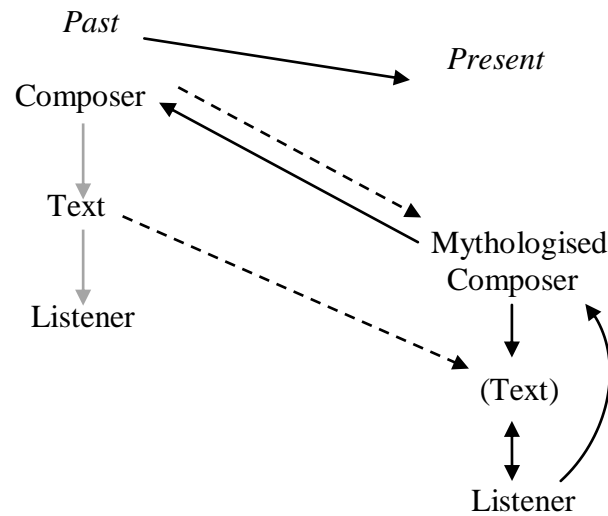


Diagram 1.1: The chain of communication showing how aesthetic experience is constructed for mythologised composers

This diagram shows that the listener has in fact constructed a new chain of communication which is separate from, but related to, the original chain of communication within which the work would have been experienced. However, this chain is clearly not complete, as it exclusively focuses on the roles that have been explored during this chapter. As such a full explanation of the need for new chains of communication and further clarifications of the different roles can be found throughout this work, but particularly in Chapter Three.

Thus mythologisation enhances musical understanding and experience and should be examined not as a popularising narrative but as a powerful epistemological tool in developing our understanding of why works in the canon continue to be enjoyed by large audiences today. Composer myths can also enhance our understanding of a composer's cultural function within our society, but all at the price of overlooking the sheer diversity and heterogeneity of musical works, even from within a single composer's oeuvre. For although most composers do have a stylistic fingerprint which can be heard, even if only subtly, within their works, there are nearly always differences from piece to piece. These differences in some cases have no place in mythologisation, although arguably, such as in the case of Stravinsky, they can provide the ground for mythologisation.

To take a step back, mythologisation has therefore been seen to play an important role in listeners' experiences of the music explored within this chapter. In

both cases, the mythologisation has been enhanced and disseminated in the broader discourse surrounding the composers, a situation which is clearly true for many canonic composers.

Thus, the mythologisation of composers is an important part in the construction of aesthetic experience for listeners of these composers' works, and is a part over which the composer often has little or no input.¹⁸¹ Importantly, this key part in the construction of aesthetic experience is located within the listeners' horizons; thus the chain of communication for the construction of aesthetic experience needs to include the two-way process between the listener and the composer. Within this, clearly the composers' texts and contexts are important; but the listeners' expectations of these, such as mythologised beliefs, are equally important when trying to understand how aesthetic experience is constructed.

Therefore, the main functions of composer mythologisation can be summed up as follows:

- They ensure the development and continuation of the popularity of certain composers and works.
- They ensure the ongoing cultural value of certain composers and works.
- They give a contextual framework in which to understand and experience musical works.

In so doing, the mythologisation of composers is used by some as a form of alignment, or a means to shape aesthetic experience. This challenges the idea of a passive listener, instead showing that despite having little or no contribution to the production of the musical score or performance, the listener and his or her cognitive and aligning processes can play a vital part in the construction of aesthetic experience.

¹⁸¹ In most cases the composer is dead. It must of course be acknowledged however that some composers have carefully managed their reputations and indeed tried to ensure that they will become mythologised in order for their works to survive for posterity.

2. The Composer's Role in the Construction of Aesthetic Experience

2.1 Introduction

The composer's full role in the creation of aesthetic experience is often overlooked. The reasons for this are not hard to find, since the complete aesthetic experience is usually only brought into being when a listener engages with a performance of a score. Because this score is typically fixed, the composer's role is thus usually seen to be completed before the aesthetic experience is created and in this way composition and reception can seem far removed from one another. This is of course contrary to practical experience, as compositions are composed to be performed and listened to, thus suggesting that the relationship between production and reception is not only important but is in actual fact a relationship often already anticipated by the composer at the composition stage.

Chapter One examined how the expectations of the listener shape aesthetic experience by aligning the chain of communication and in so doing suggested a closer relationship between the construction of myths about composers and listeners' aesthetic experiences. This chapter inverts this notion by looking at how the composer's expectations of the performer, performing situation and often audience affect composition. Thus, this chapter looks at the way in which the composer's awareness of the potential performance and reception of the composition affects the compositional process and how this compositional process then affects the experience of the work itself. It therefore shows how composers can help to create aligned chains of communication which shape the aesthetic experience of others forming parts of these chains. This is not to say that the expectations of listeners are now less important, but that the composer's expectations can play an equally important role in the construction and understanding of aesthetic experience more generally.

This work significantly extends existing studies of the composer's expectations, in particular those concerning an 'implied listener'¹⁸² which tend to miss out key parts of the communicative process and how this affects the construction of aesthetic experience. For example, theories such as those relating to a composer's construction of an 'implied listener' overlook not only the role of the performer but also the composer's awareness and expectations of the performer. These expectations are a vital part of the

¹⁸² John Butt, 'Do Musical Works Contain an Implied Listener? Towards a Theory of Musical Listening', *Journal of the Royal Musical Association* (Vol. 135, Special Issue No. 1, 2009), 5-18

composition process particularly at certain times in history, as will be seen throughout this chapter, although they are not necessarily notated.

A composer clearly has various expectations when he or she starts composing. These expectations can vary greatly from composer to composer and situation to situation. However, it can be said that when a composer writes a score (or any set of instructions) he or she is enabling the performer to bring into being a certain performance which may or may not in turn lead to an act of aural perception for a discrete listener. So, the composer is not composing for an ideal or implied listener, he or she is at best composing for an ideal listening situation, encompassing expectations of the performance space and occasion, the performer, and possibly, but not always, listener. The composer thus expects the performer to have his or her own expectations regarding the performance act. This is one reason why neither just a score nor just the context surrounding its performance can explain or predict musical experience. This is because the score alone is a practical medium for mediation, summarising as best as possible the composer's guidelines for how the music should sound and sometimes how it should be performed. However, this alone is not the sole part of a performance, which includes, as described at length by Christopher Small, countless performance rituals and behaviours from not only the audience but also the performer.¹⁸³ It is therefore only natural to think that the composer has some anticipation of these behaviours and rituals, even if the anticipation is that they will be unpredictable.

As such the composer can usually expect interpretation on the part of the performer and also expects the listener to engage with the performance in a certain way. Therefore the composer and the performer enter into an intersubjective relationship in relation to a common object, the performance, which includes the score but is not reducible to it. However, whereas the subject of the composer, the I who does the composing, holds the musical experience of his or her composition as an anticipation, and not as an actual lived experience, the performer, or the I who performs the music, experiences the work in its actuality. For the composer, the musical performance is just an internal representation of what will be, which can be built on an awareness of past listening experiences, whereas for the performer it represents a true, performed

¹⁸³ Christopher Small, *Musicking: the Meanings of Performing and Listening* (Middletown: University of Wesleyan Press, 1998), passim

object.¹⁸⁴ As such it can be said that both composer and performer have the same object, the musical performance, but their experience of it is noticeably different. In this way, the performer mediates between the composer (as a bringing into being of the performance and also a completion of it) and the listener (as the means for the listener to experience the music.)

This can be seen in Diagram 2.1 below, in which the composer and performer can both be seen to be contributing to the performance of the score, and thus both hold an intersubjective relationship towards this object.

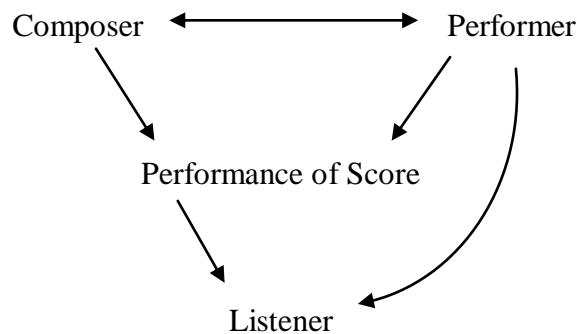


Diagram 2.1: The chain of communication which shows an intersubjective relationship between the composer and the performer.

However, it must be stressed at this point that the balance within the intersubjective relationship is by no means fixed, rather it is subject to important changes throughout musical history. Indeed, this relationship itself alters throughout musical history.

Understanding this intersubjective relationship between the composer and the performer is key to developing an understanding of how a composer anticipates the aesthetic experience a musical performance will create since it is not reductive, instead raising many questions that theories such as those of the ‘ideal’ or ‘implied’ listener overlook. The important question is therefore not only what a composer’s expectations are but also what allows the composer to know that their expectations will have the intended effects.

For example, a composer’s expectations can be created due to:

- An existing knowledge of the context that the piece will be performed in.

¹⁸⁴ This theory builds on the work of Edith Stein, *On the Problem of Empathy* (The Hague: Martinus Nijhoff, 1970), passim but in particular 8-10.

- An existing knowledge of the musical tastes, trends and broader musical discourse of the time.
- Conventional expectations that the performer(s) will play the music in a certain fashion and will or will not react to listeners.
- Conventional expectations that the listener will respond to certain musical techniques in certain ways.

Thus, when a composer anticipates the relationships in the chain of communication he or she works to shape the aesthetic experience of those engaging with the performance. To frame this in other theoretical terms, it can be said that the composer works to create an aligned chain of communication, that is to say one in which the aesthetic experience is as enhanced as possible for those engaging with the music. Of course, the other links within the chain and the broader sociological and musical contexts of the music's performance both affect the alignment of the chain of communication. Nonetheless, this does not prevent the composer, in most cases, from working to the best of his or her ability to create an aligned chain, even if he or she is not always successful in this undertaking.

This chapter examines how all of the issues above can play an important part in examinations of musical experience by considering the musical differences between what is commonly referred to as 'public' and 'private' music within the late 18th to mid 19th centuries. These two categories have been chosen because each performance situation requires different existing knowledge or anticipations on the part of the composer. Additionally, the performer's role can differ considerably between private and public performances, since there is either no audience or the audience may vary between the two performance types. This in turn can require different performance behaviours.

Furthermore, during this period the role played by composers in society underwent a huge transformation due to the gradual decline of the system of patronage. This gradually led to many composers becoming more market-aware freelance musicians.¹⁸⁵ As the system of patronage declined, fewer patrons sponsored private performances and there was a subsequent growth in the rise of public concerts.¹⁸⁶

¹⁸⁵ William Weber, *Music and the Middle Class: The Social Structure of Concert Life in London, Paris and Vienna* (London: Croom Helm, 1975), 11

¹⁸⁶ Tia DeNora, *Beethoven and the Construction of Genius* (Berkeley: University of California Press, 1995), 45-46

One issue that therefore arises frequently when looking at the music of the Classical to Romantic period is the changing boundaries of private and public performances. As composers were faced with composing for new and different situations they had to establish how to compose for these and how to address the issues described above; a problem with which they engaged in markedly different ways, as will be discussed in the sections on Haydn and Schubert below.

The changing boundaries are also important to scholars examining the broader expectations of composers as they help to test the hypothesis that composers write with certain performance situations and different audiences in mind. Therefore, if this hypothesis were true then there would be musical differences between compositions for the two performance situations that cannot be explained by other factors such as a difference in genre.

Nonetheless, this division between the private and public spheres is in itself over-simplistic and thus there is a need for the constantly evolving relationship between the two to be properly understood. Only then can its role in the creation of aesthetic experience be examined and a clearer picture of the relationship between production and reception emerge.

This chapter will therefore focus on two different case studies during this period of change, starting with the later works of Joseph Haydn (1732-1809). This case study examines the late symphonies of the composer, giving an overview of some of the ways in which he engaged with the broader contexts of listening and audience tastes of the paying public of the London symphonies. In so doing, comparisons will be drawn with the symphonies which directly preceded these, as these earlier symphonies fell at the border between private and public works. Thus it will be seen how Haydn worked hard to enhance the aesthetic experiences of his audiences and successfully created aligned chains of communication. Haydn can be seen to have worked in similar ways in his late piano sonatas, which again blur the boundaries between public and private consumption.

The second half of this chapter looks at the output of Franz Schubert (1779-1828), who was not always successful in providing positive aesthetic experiences for listeners and seemed unable to create aligned chains of communication, particularly in his opera *Alfonso und Estrella*. Nonetheless, his lieder were highly successful, especially *Der Erlkönig*, for which he successfully anticipated the work's performance situation and contexts, with the assistance of his broader circle.

The chapter then examines *Alfonso und Estrella*, a work which experienced an almost entirely negative reception, and describes how Schubert failed to develop an understanding of the performance situation and context surrounding operas at that time, consequently created a misaligned chain of communication, and how this led to the work's failure. The section then concludes with a brief examination of Schubert's symphonies and in particular looks at the conflict within his later symphonic writing between his desire to create works for posterity and the need for immediate success. It is then shown how this can lead to two different ways in which to examine the composition and reception of the symphonies.

Thus this chapter uses various smaller scale examples to show the importance of fully understanding the relationships between all parts of the chain of communication, and in particular the anticipatory processes undertaken by composers. At the same time, it also depicts the rapidly changing contexts for composition within the late 18th and 19th centuries; a historical backdrop that will be examined in more depth in the conclusion of the thesis.

2.2 The 'Public' and 'Private' Works of Joseph Haydn

The biography of Haydn is a familiar one as is the often exaggerated depiction of Haydn working as a musician with only the status of a servant in the Esterházy household.¹⁸⁷ Nevertheless, it is very important to describe Haydn's historical situation within a patronage system and his release from it later in his life: a career which reflects broader changes in musicians' positions in society during this period as a whole.

Haydn was thoroughly immersed in musical life as a child and even took some formal composition lessons, after which he did some freelance work prior to entering the patronage system.¹⁸⁸ Indeed, Haydn entered employment with the Esterházy family in 1761, initially as vice-kapellmeister (1761-1765), then as kapellmeister (1766-1790) and later also opera impresario.¹⁸⁹ As such, during this period it can be said that Haydn's symphonic output was largely controlled by and composed for his aristocratic patron (mainly Prince Nicolaus, later his brother Prince Anton who had no interest in music whatsoever),¹⁹⁰ his family and guests. Admittedly, as David Schroeder comments, these would also be published for a broader public taste, which in all likelihood were very similar to that of the Prince Nicolaus; however, this does not take away from the fact that Haydn's primary goal must have been to please the prince.¹⁹¹

A contrasting area within Haydn's musical output of the Esterházy period is that of the piano sonatas, which were mostly composed for his pupils and, later on through publication, for other pianists to play within their own domestic setting.

However, Haydn's years at Esterháza were virtually to draw to a close in late 1790 when Prince Anton granted him leave to travel to London with the concert organiser Salomon, where he stayed until 1792.¹⁹² He later returned to London between 1794-1795.¹⁹³ These trips to London were to be the highlight of Haydn's career, giving him the opportunity to compose for and engage with an English concert-attending public. During and between these visits to England, Haydn composed his so-called London Symphonies (Numbers 93-104), which were performed to great critical and

¹⁸⁷ For a discussion of this and its exaggeration see Elaine Sisman, 'Haydn's Career and the Multiple Audience', in ed. Caryl Clark, *The Cambridge Companion to Haydn* (Cambridge: Cambridge University Press, 2005), 6-8

¹⁸⁸ James Webster and Georg Feder, 'Haydn, Joseph' in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/44593>> Accessed August 10th 2010

¹⁸⁹ Ibid

¹⁹⁰ Ibid

¹⁹¹ David Schroeder, *Haydn and the Enlightenment* (Oxford: Clarendon Press, 1990), 75

¹⁹² James Webster and Georg Feder, 'Haydn, Joseph', *Grove Music Online*

¹⁹³ Ibid

public acclaim in Salomon's concert series held at the Hanover Square Rooms in London,¹⁹⁴ a concert venue which opened in 1775 and contained a principal room which could seat about 800-900 people.¹⁹⁵

At the same time, Haydn continued to compose other works, albeit on a far lesser scale, such as piano sonatas. Of particular note for the purposes of this chapter are what are sometimes described as the 'grand concert sonatas'¹⁹⁶ composed for Therese Jansen in 1794 (Hob XVI: 50 and Hob XVI: 52). These sonatas are remarkable since they were not composed for amateur performers or didactic purposes, but for a far more accomplished pianist who attracted dedications from many accomplished composers, although there are no records extant today of her performing publicly.¹⁹⁷ Nonetheless, there can be little doubt that these are sonatas of a different kind to all composed previously by Haydn, being far more public and outward in their expression.

Before any further discussion of the music it is important to define clearly what is meant by 'private' and 'public' music, especially as this terminology is frequently used in existing Haydn studies, as well as in Classical music studies more generally. The Oxford English Dictionary defines 'private' to mean 'restricted to one person or a few persons as opposed to the wider community; largely in opposition to public.'¹⁹⁸ Therefore, when describing musical performance it can best describe music played either within a domestic setting, with possibly no listeners present at all, or within an aristocratic setting, where everyone is either known to the host or is of a high enough social class to be admitted.

However, when the definition of public is also considered one of the problems of describing music as either for private or public consumption is realised. The Oxford English Dictionary has numerous definitions for public, the closest to the usage here being 'open or available to all members of a community, or all who are legally or properly qualified (as by payment); not restricted to the private use of a particular

¹⁹⁴ H. C. Robbins Landon, *Haydn: Chronicle and Works*, Vol. 3, *Haydn in England 1791-1795* (London: Thames and Hudson, 1976) *passim*

¹⁹⁵ Robert Elkin, *The Old Concert Rooms of London* (London: Edward Arnold, 1955), 93

¹⁹⁶ As first described on the title page of the 1800 printing, as discussed by Thomas Beghin, 'A composer, his dedicatee, her instrument and I: thoughts on performing Haydn's keyboard sonatas' in ed. Clark, *The Cambridge Companion to Haydn*, 205, fn 11

¹⁹⁷ Stephen C. Fisher, 'Jansen [Janson, Jansson; Bartolozzi], Therese' in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/51478>> Accessed August 14th 2010

¹⁹⁸ 'Private (definition 1a)' Draft Revision June 2010 in the *Oxford English Dictionary Online*, <<http://www.dictionary.oed.com>> Accessed August 14th 2010

person or group.’¹⁹⁹ As such it can be seen that although a concert can indeed be described as public, the audience is still restricted to those who are qualified to attend and thus in the case of Haydn’s London concerts, to those who could afford the ticket price for entry. Therefore, when describing music in the 18th century as public, this does not mean the music was available with unrestricted access. It does, however, connote a different relationship between the various elements of the composition, performance and reception of the music. This is because a private work is aimed primarily at a known group of performers or audience, and only secondarily, if at all, to an unknown group of performers and their audiences. In the case of the London symphonies, a public work can be said to be aimed at a relatively known group of performers, a known audience- since it is known that Haydn researched his audience’s tastes carefully to ensure a successful concert series-²⁰⁰ but additionally to critics and for the creation of public discourse more generally.²⁰¹

It is here also that the very terminology of private and public can become confusing, as it can imply a different set of relationships when attached to different composers. For example, some composers, such as Czerny, wrote piano sonatas purely for publication,²⁰² whereas others wrote them for performance.

Table 2.1 below shows the issues of neatly compartmentalising Haydn’s symphonic and piano sonata output:

¹⁹⁹ ‘Public (definition 4a)’ Draft Revision June 2010 in *ibid*

²⁰⁰ David Schroeder, *Haydn and the Enlightenment*, *passim*, particularly Chapters 8 and 9

²⁰¹ Harold Love discusses the changing idea of public and the growth, yet unreliability, of public discourse in the press in ‘How Music Created a Public’, *Criticism* (Volume 46, No. 2, Spring 2004), 257-271

²⁰² Carl Czerny, ‘Recollections from my Life’, ed. and trans. Ernest Sanders, *The Musical Quarterly* (Vol. 42, No. 3, July 1956), 314

Genre	Type	Primary Function	Secondary Function
Piano Sonata	Private	Amateur enjoyment and education through performance.	Dedication. Publication, particularly from 1779 onwards. ²⁰³
	Public	Professional enjoyment and showpiece for performer's abilities.	Gift; unpublished.
Symphony	Private	Enjoyment of patron and patron's audience. Display of patron's worthiness.	Publication, particularly from 1779 onwards.
	Public	Enjoyment of large audience.	Showpiece for performers' abilities; creation of broader public discourse; publication in other forms for domestic consumption.

Table 2.1: The different functions played by Haydn's piano sonatas and symphonies.

It can be seen from the table above that the relationship between composer, performer and listener has to change to function successfully in each situation, since for example, for music to be the source of a broader public discourse it has to be able to draw attention to itself as more of a distinct object than previously. Therefore the rest of this section will be concerned with the ways in which Haydn's compositions represent his awareness of the way in which the music would be performed and received by comparing so-called private works to public ones, all the while bearing in mind the complications of the terms as described above. These works are all taken from a similar period in Haydn's career, to minimise the differences due to stylistic changes that are inevitable throughout a long career.

For the private symphonies composed for Esterháza, one can say that Haydn had existing, first-hand knowledge of the situation in which the music would be performed and of both the abilities of the known performers and the tastes of the known patron. Indeed, it is therefore not implausible to suggest that Haydn would subconsciously have

²⁰³ Due to Haydn's contractual terms at Esterházy being altered so that he could sell his works. See Webster, 'Haydn, Joseph', *Grove Music Online*.

understood and anticipated the performance situation of the music. Since he had regular direct communication and control over the musicians at Esterháza, the musical score would have not been the only form of communication between the two parties.²⁰⁴ Thus, here the intersubjective gap between composer and performer is very small and expectations would have been contained and controlled by first-hand experience and conventions.

However, things were very different in the case of the London symphonies, particularly as not only was the scale of the public performance and interest new to Haydn, but the language, company and surroundings were foreign too. Therefore, Haydn would have found it far harder to rely on existing first-hand knowledge of the anticipated performance situation.

Of course, these were not the first of Haydn's symphonies to be performed in a public setting, with Symphonies Nos 82-87 having been composed for concert series in Paris.²⁰⁵ However, one must bear in mind that Haydn did not travel to Paris to hear his symphonies performed publicly there or to be involved in the performance at all, so in London he was working in an entirely new situation.²⁰⁶ It is therefore unsurprising that he devoted such time and effort to investigating the audience and their tastes before the performances of the London symphonies.²⁰⁷

What this demonstrates is that Haydn was unable fully to anticipate internally the performance situation beforehand without additional research. This was in part due to the different audience type, but also to the different performers. Although Haydn did still engage with the performers by directing the performances from the piano,²⁰⁸ he would not have engaged with them as much as with his own orchestra at Esterháza; this slight change points forwards to the trend which would occur later in musical history whereby the composer would not know the performers personally.

The implications of this are far-reaching, as they show the increasing intersubjective gap between the composer and the performer. To make up for this gap, changes had to be made to the musical style in order to ensure a successful performance. It is worth highlighting at this point that this does not exclude the notion of the

²⁰⁴ Webster, 'Haydn, Joseph', *Grove Music Online*

²⁰⁵ Bernard Harrison, *Haydn, The 'Paris' Symphonies* (Cambridge: Cambridge University Press, 1998) *passim*

²⁰⁶ David Schroeder, *Haydn and the Enlightenment*, 99

²⁰⁷ *Ibid*, *passim*

²⁰⁸ As described in Dr Burney's memoirs, see Landon, *Haydn in England*, 56

composer writing to please an audience, but suggests that he or she composes *for a performance* to please an audience.

2.2.1 ‘Private’ versus ‘Public’ Symphonies: Haydn’s Symphonies Numbers 90-104

Symphonies Numbers 90-92 (1788-1789) were composed by Haydn to fulfil (somewhat dishonestly) two commissions at once; for the French aristocrat, Comte d’Ogny, and the German Prince Krafft-Ernst.²⁰⁹ Very little is known of the original performance or reception of these symphonies other than that they were most likely performed at the *Concert Spirituel* in Paris.²¹⁰ In spite of this, however, Landon surmises that Haydn was actually thinking of his orchestra at Esterháza for the three symphonies, since they are scored for a smaller orchestra with alto horns and including no clarinets and only one flute, whereas both the French and German orchestras had clarinets and two flutes, but no alto horns.²¹¹

It can be said that these symphonies, although partially designed for performance in Paris, are also the last of Haydn’s to be composed for aristocratic, private patrons and are the last to be composed before the great public concert series in London, especially since, as described above, Haydn did not travel to Paris as he did to London. So, the questions must be asked, how did Haydn alter his style between writing these works in 1788-1789 and the London symphonies of the 1790s; what conventions let him know these changes would work and how did he put his anticipations of performance situations into practice?

There is a considerable difference between Haydn’s compositional style in the earlier symphonies and those composed for London. This difference is manifested in different ways across these later symphonies, lending itself to local accounts of individual symphonies rather than the creation of detailed theories concerning the later works as a body. Nonetheless, it is undeniable that some general differences do exist. Whilst these are of course due in part to natural evolutionary changes within Haydn’s style, a plausible argument can be made that Haydn responded creatively to the new listening practices of his audience and the public discourse around orchestral music. This is in conjunction with the moments in which Haydn explicitly acknowledged his audience as explained below.

²⁰⁹ H. C. Robbins Landon, *Haydn Symphonies* (London: BBC, 1996), 41

²¹⁰ Bernard Harrison, *Haydn, the ‘Paris’ Symphonies*, 23-24

²¹¹ H. C. Robbins Landon, *Haydn Chronicle and Works*, Vol. 2, *Haydn in Esterháza 1766-1790* (London: Thames and Hudson, 1978), 631

Firstly, it is noticeable that Haydn's symphonic style developed to give more complexity within the structural framework of the compositions. This is particularly apparent in his use of introductory passages to the first movements, which gradually progress from functioning as brief previews of later musical material to instead becoming themselves more developed pre-expositions of key material. One such example is heard in the first movement of Symphony No. 103, in which a truncated form of the slow introduction is reintroduced into the structure before the final coda.

Another example of this can be seen when the first movement of the C major pre-London Symphony No. 90 is compared with the first movement of the London symphony of the same key, No. 97. The first movement of the Symphony No. 90 is a fairly standard sonata form movement, which includes a slow introduction, something that all symphonies after this will have, with the exception of the C minor Symphony No. 95. In the Symphony No. 90 the slow introduction is built around the exact motif of the first subject, which is altered by being written at a tempo of *adagio* instead of *allegro assai*, as shown in Examples 2.1a and 2.1b below.



Example 2.1a: A reduction of Symphony No. 90, First Movement, Introduction, bars 1-8¹

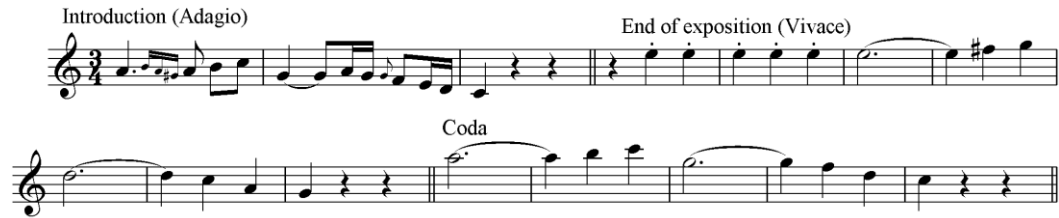


Example 2.1b: A reduction of Symphony No. 90, First Movement, First Subject, bars 17-20¹

However, the later symphony shows how Haydn has developed his musical thinking to ensure a tighter, more structurally interrelated and coherent form with a more complex relationship between the introduction and the thematic construction of the movement. This development in musical thinking is even more audible in the later London symphonies, at which point there are important motivic and structural

relationships between the introduction and the movement of the symphony as a whole.²¹²

Thus, as shown by Landon, the slow introduction of the Symphony No. 97 is built around an embellished form of material drawn from both the exposition and the coda (Ex. 2.2a and Ex. 2.2b).²¹³



Example 2.2a: Symphony No. 97, First Movement



Example 2.2b: Fundamental line from which the material is derived.

Haydn would presumably have made these changes to the slow introductions of his symphonies in order to make them more suitable for the listening of a new type of audience. This is because the slow introduction does not only draw the audience's attention, but also acts as a tool of familiarisation to allow the audience to know what to listen out for in the rest of the movement. This both encourages more focussed listening and makes the music more accessible, since the listener can have the pleasure of recognition later on in the movement. It also encourages discourse, as it clearly gives a feature for discussion as well as helping to draw the attention onto the structure of the music, as an object in its own right, and not just the performance of it. Indeed, the Symphony No. 97 was composed for the first of the London concert series²¹⁴ and therefore it is interesting to note that by the later symphonies composed for London the slow introduction had begun to relate to the entire symphony and not just the first movement, thus showing that Haydn was well aware of the beneficial effects the relationship of the slow introduction to the other material had on the music's reception.

This interest in the coherence of musical forms was clearly an important part of the experience of musical listening within the 18th-19th centuries. For example, Adam Smith states that:

Time and measure are to instrumental Music what order and method are to discourse; they break it into proper parts and divisions, by which we are

²¹² Landon, *Haydn in England*, 542

²¹³ Description and examples drawn from *ibid*, 542

²¹⁴ Landon, *Haydn in England*, 491

enabled both to remember better what is gone before, and frequently to foresee somewhat of what is to come after: we frequently foresee the return of a period which we know must correspond to another which we remember to have gone before; and according to the saying of an ancient philosopher and musician, the enjoyment of Music arises partly from memory and partly from foresight.²¹⁵

Clearly, Haydn's approach to musical structure and use of introductions would cater exactly for this kind of musical listening, and thus ensure a stronger experience for a listener who wanted to be engaged in this way.

The London symphonies are also for the most part bolder than any composed previously,²¹⁶ with more daring harmony and longer periods of development which are manifested in more fluid forms and added rhythmic complexities. This is apparent in Haydn's use of the development section in the first movements, which move from being a 'varied exposition' to becoming of gradually more importance and complexity, especially in the second set of the London Symphonies.²¹⁷ It is also reflected in the increasing number of bars dedicated to development or developing sections in relation to the other material in the London symphonies when compared to those composed previously. For example the development section of the first movement of Symphony No. 90 occupies just under a quarter of the total musical material; in Symphony No. 97 this has increased to just over a third, with a coda acting as a second development section, as shown on Tables 2.2a and 2.2b on pages 96-97.

This heightened concentration on developmental material can also be seen on the tables which give breakdowns of the major sections and points of focus within Haydn's last 17 symphonies and thus give an idea of the increased flexibility of form and focus on developmental material within the London symphonies. They also show the major features of Haydn's Symphonies Nos 88-104 and include comments columns so that any salient features can be described. From these tables it is clear therefore that Haydn's fluidity of form increases within the London symphonies and that the quantity of noteworthy moments also increases; this gives the listeners more unexpected moments, both structurally and harmonically and is a way of using familiar material in

²¹⁵ Adam Smith, 'Of the Imitative Arts', *The Works of Adam Smith*, Volume 5 (London: Strahan and Preston, 1811), 299

²¹⁶ With the possible exception of the Symphony No. 95 in C minor since it was constructed slightly differently to the other London symphonies.

²¹⁷ H. C. Robbins Landon, *The Symphonies of Joseph Haydn* (London: Universal Edition, 1955), 577-578

increasingly new and different ways. This is most apparent at the end of the first movement of Symphony No. 103, in which a 12 bar shortened repeat of the introduction falls at the end of the recapitulation, pulling the material back towards the dominant, before landing back on the tonic for a triumphant 16 bar coda. Thus, in this movement, the material is developed to the point where true harmonic and melodic stability is only reached in the last 16 bars, within the coda.

It must be noted that Haydn's sonata form movements are generally flexible and as such it can be difficult to label where one element ends and another starts. This is especially true of his recapitulation sections, which have been the focus of various scholars for many years.²¹⁸ For example, Tovey describes how, particularly in first movement sonata forms, 'Haydn invented a brilliant type of coda...and used fully developed codas instead of recapitulations.'²¹⁹ On the other hand, Webster sees this assertion as 'misleading,' since he argues Classical codas should follow recapitulatory closure, rather than taking its place.²²⁰ It is my belief that Webster's argument is the more problematic of the two, since in many instances Haydn's codas do include the closure one could normally expect from the recapitulation, such as in Symphony No. 101, and whether or not this is a normal function of a Classical coda is somewhat beyond the point. Although this in no way alters the qualitative content of Tables 2.2a and 2.2b, it must be highlighted that the clear quantitative breakdown of bar numbers could be calculated differently by other scholars, in particularly those concerning the recapitulation and coda sections which are often not clearly discernible.

²¹⁸ For example, James Webster, *Haydn's "Farewell" Symphony and the Idea of the Classical Style* (Cambridge: Cambridge University Press, 2004), 165-166 and Eugene K. Wolf, 'The Recapitulation in Haydn's London Symphonies', *The Musical Quarterly* (Vol. 52, No. 1, January 1966), 71-89

²¹⁹ Donald Tovey, 'Haydn's Chamber Music', in *Essays and Lectures in Music* (Oxford: Oxford University Press, 1949), 55

²²⁰ Webster, *Haydn's "Farewell"*, 166

	Symphony No.	Year Composed ²²¹	No. of Bars in Introduction	No. of Bars in Exposition	No. of Bars of Development	No. of Bars in Recapitulation	No. of Bars of Coda	Total No. of Bars	Comment
Pre-London Symphonies	88	?1787	16	87	76	87	0	266	
	89	1787	0	58	52	62	0	172	
	90	1788	16	81	55	65	10	227	
	91	1788	20	99	95	54	0	268	
	92	1789	20	62	42	108	0	232	

Table 2.2a: A breakdown of the key sections and moments within the first movements of Haydn's Symphonies Nos 88-92

²²¹ Webster, 'Haydn, Joseph', *Grove Music Online*

	Symphony No.	Year Composed ²²²	No. of Bars in Introduction	No. of Bars in Exposition	No. of Bars of Development	No. of Bars in Recapitulation	No. of Bars of Coda	Total No. of Bars	Comment
London Symphonies	93	1791	20	89 ²²³	72	55	26	262	Coda reinforces D major
	94	1791	17	90	46	104	0	257	
	95	1791	0	61	57.5	25.5	21	165	Coda reinforces move to C major.
	96	1791	17	66	70	50	0	203	Harmonically adventurous. Contains false recapitulation in G major and has a 'violent plunge' into D minor at conclusion. ²²⁴
	97	1792	13	94	59	77	50	293	Lengthy coda acts as a second development section.
	98	1792	15	116	77	112	0	320	
	99	1793	18	71	48	49	16	202	
	100	1793/1794	23	101	77	37	51	289	Lengthy coda acts as a second development section, which expands on a move to the flattened submediant first heard in the development section. ²²⁵
	101	1793/1794	23	98	96	106	23	346	Coda gives clarification of first subject in the tonic.
	102	1794	22	88	116	85	0	311	Development section is harmonically rich. ²²⁶
	103	1795	39	54	66	42	12 + 16 ²²⁷	229	Ending acts as a means of further integrating the content of the introduction and the body of the movement.
	104	1795	16	107	69	91	11	294	

Table 2.2b: A breakdown of the key sections and moments within the first movements of Haydn's Symphonies Nos 93-104

²²² Webster, 'Haydn, Joseph', *Grove Music Online*

²²³ Ends with first/second time bars of different lengths

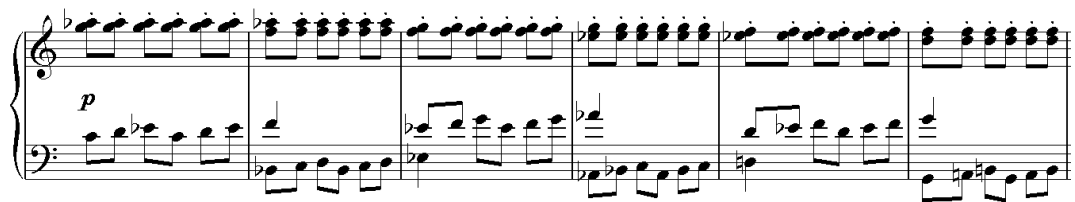
²²⁴ Landon, *Haydn in England*, 512

²²⁵ Ibid, 561

²²⁶ Ibid, 585

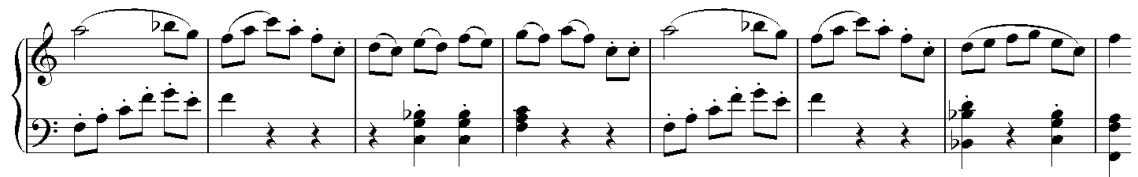
²²⁷ There are 12 bars of adagio material after the recapitulation which are a truncated form of the introduction, these are then followed by a 16 bar coda.

As a general comment, it can also be seen that the harmonic writing of the London symphonies is often more complex than that of the previous symphonies. For example, the development section of the Symphony No. 90 includes fairly conventional and simplistic movement of the thematic material around the cycle of fifths. The development section opens with a modified motif taken from the first subject (Ex 2.3).



Example 2.3: A reduction of Symphony No. 90, First Movement, bars 98-103

This motif is then passed around the cycle of fifths before eventually passing through some transitional material towards a near-exact repeat of the second subject, in F major (Ex. 2.4).



Example 2.4: A reduction of Symphony No. 90, First Movement, bars 111-118¹

The development section continues in a similar vein with very limited melodic and thematic variation or development, almost entirely built around fifth-relations, making for a pleasant but not particularly memorable middle of the movement, which could clearly be described after Taruskin as ‘aristocratic party music.’²²⁸

The development of the London symphony No. 97 is entirely different. Even in this relatively short section (because there is a coda which also contains developing material), Haydn still manages to develop the thematic material further than in the examples above. For example, the bold first subject material is itself varied, no longer outlining a triad but instead a dominant seventh, which in turn is used to push the material around different tonal areas. This dominant seventh does not resolve to the expected tonic of A-flat, as Example 2.3 above did, but instead resolves stepwise to D major, as shown in Example 2.5 below. One of the main differences here is the boldness of the variation in the already striking first subject, which is used to control the

²²⁸ Richard Taruskin, *The Oxford History of Western Music*, Vol. 3, *Music in the Nineteenth Century*, Paperback edition (Oxford, Oxford University Press, 2010), 675

harmonic development, rather than feeling a fairly conventional tonal move. It also makes the harmony more reliant on chromatic motion than in the previously quite conventional chord progressions.



Example 2.5: A reduction of Symphony No. 97, First Movement, Bars 116-122¹

One of the most exciting moments in the development of the later symphony is the way in which the dotted quaver motif of the first subject is fragmented to create rhythmic irregularity and ambiguity, under a beautiful contrapuntal moment in the winds. When this motif is first heard it is used to emphasise the first beat of the bar, however, at other times its placement shifts to emphasise the second or third beats instead. Although the movement of the other lines means that a sense of pulse is continued, a sense of ambiguity is still continued, especially in bar 130 where the motif returns back to its ‘correct’ placement in the bar, by which time it seems too early and as such the sense of it reinforcing a strong beat has been lost (Ex. 2.6).

The musical score for Example 2.6, Symphony No. 97, First Movement, bars 123-135, is presented in two systems. The first system includes the Flute (Fl.), Oboe (Ob.), Violin I (Vln. I), Violin II (Vln. II), and Violoncello (Vc.). The second system includes the Flute (Fl.), Oboe (Ob.), Violin I (Vln. I), Violin II (Vln. II), Viola (Vla.), and Violoncello (Vc.). The score features various dynamics such as *p*, *f*, *pp*, and *p*. A first ending bracket is marked above the first system.

Example 2.6: Symphony No. 97, First Movement, bars 123³-135

To summarise, the harmonies of the developments of the two symphonies are presented in Examples 2.7 and 2.8 below.

98 5ths 110 129 5ths 140 146

6 b F: V ---- I 7 7 7 b #6 # 7 # b Single voice C: I

Example 2.7: An outline of the harmony of the development section (bars 98-152) of the first movement of Haydn's Symphony No. 90

[illegible]

Example 2.8: An outline of the harmony of the development section (bars 108-166) of the first movement of Haydn's Symphony No. 97

From these it can be seen that the later symphony is harmonically far more adventurous, passing through harmonies as far from the tonic as F#. Furthermore, the harmony within this symphony is also far less stable, moving with an at times irregular rate of change and enhanced through the use of rhythmic irregularities.

Again, the harmonic boldness and unexpected twists within the London symphonies can be said to encourage more engaged listening and be able to create discourse, since it offers another focal point for the attention of listeners and critics, unlike pleasant but unmemorable material. It also shows a deeper engagement with the conventional expectations of listeners, since the bolder harmony pulls the music further away from its home ground thus building more tension as the listener waits for the fulfilment of the expectation for the material to return back to its home territory.²²⁹

This leads neatly into the last feature of the twelve London symphonies, the inclusion of quite a few special moments to engage the audience. By this I mean very obvious jokes and instrumental references, which would be current and engaging to the audience. Of course, before this point Haydn had already included humorous and witty moments within his symphonies, such as the false ending of Symphony No. 90, but in the London symphonies special moments such as this became far more frequent.

The most famous of these is obviously the surprise in the second movement of Symphony No. 94, which plays on the audience's discomfort at being shocked (Ex. 2.9).

²²⁹ For discussions of how a play on expectations can be related to structure see Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956)

The musical score for Haydn's Symphony No. 94, Second Movement, bars 9-16, features a dramatic shift in dynamics and texture. The woodwind section (Flute, Oboe, Bassoon, Horn, Trumpet) and Timpani remain silent until bar 9, where they enter with a forte (*ff*) dynamic. The string section (Violin I, Violin II, Viola, Cello) plays a continuous pizzicato pattern from bar 9 to 16, marked with 'ten.' (tension) above the staff. In bar 16, the strings also switch to arco (bowed) and play a forte (*ff*) dynamic.

Example 2.9: Haydn Symphony No. 94, Second Movement, bars 9-16

Nonetheless, this is not the only London symphony to contain jokes and fashionable references. In fact, the twelve London symphonies were divided between Haydn's two visits to London, and it is in the second visit that three of the six symphonies contain such special references and jokes. The Symphony No. 100 ("The Military") includes very fashionable Turkish percussion, whilst the second movement of the Symphony No. 101 imitates a clock. Finally, the Symphony No. 103 opens with the famous drum roll which gives the symphony its nickname.

It is not really known what effects these had on the contemporary audiences, as the reviews from this period in time do not comment in any great depth on musical reception in relation to specific moments within the music, instead giving fairly uniform praise.²³⁰ Nonetheless, we know that these symphonies were extremely popular, indeed the Military was the most popular of all the symphonies²³¹ and we do know that at least one newspaper critic thought of the symphony as 'less learned, and easier to take in, than some of the other newest works' by Haydn, yet also clearly enjoyed the surprise of the Janissary music within a well-structured symphony.²³²

²³⁰ See Landon, *Haydn in England*, Part I

²³¹ Although by about 1805 the Surprise Symphony would rival its popularity, as discussed in *ibid* 559

²³² Landon, *Haydn in England*, 566

Indeed the fact that Haydn started to include externally fashionable references into the London symphonies is in itself noteworthy. The questions that must be asked therefore are what conventions existed at that time to allow Haydn to know that these references would be well-received and also why did he feel that they were suited more to the London concert series than anywhere else his music had been performed previously? A brief discussion of the use of Turkish percussion in the Military Symphony helps to clarify these issues.

In the second and fourth movements of the Military symphony Haydn uses bass drum, cymbals and triangle in addition to the usual timpani. These instruments, rather than being used exactly as in Turkish Janissary music,²³³ were used to add an element of Turkishness or exciting foreignness to the music. To the audience in London in the 1790s the use of Turkish percussion would have been extremely fashionable, as not only were Western appropriations of Turkish instrumental music in vogue throughout Europe, but so also were Turkish foods, fiction, tobacco and opera.²³⁴ Although some elements of Turkish music were of interest after the Siege of Vienna in 1683, it was in the eighteenth century that Turkish music became of such interest.²³⁵ As such, the use of this unusual percussion sound and the typical 'Turkish' military band musical writing, including things such as simple harmonies, extremes in dynamics,²³⁶ and heavily accented first beats, would have seemed exciting to an eighteenth century audience.²³⁷ A brief example is shown below (Ex. 2.10).

²³³ For more specific information on how janissary bands evolved see Michael Pirker, 'Janissary Music', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/14133>> Accessed November 3rd 2010

²³⁴ Eve R. Meyer, 'Turquerie and Eighteenth-Century Music', *Eighteenth-Century Studies* (Vol. 7, No. 4, Summer 1974), 474-488

²³⁵ *Ibid*, 485

²³⁶ Michael Pirker, 'Janissary Music', *Grove Music Online*

²³⁷ L. Schubart quoted in Eve R. Meyer, 'Turquerie and Eighteenth-Century Music', 484

The musical score is arranged in two systems. The first system includes:

- 2 Flauti (Flutes): Treble clef, playing a melodic line with *sf* dynamics.
- 2 Oboi (Oboes): Treble clef, playing sustained chords.
- 2 Clarinetti in C (Clarinets in C): Treble clef, playing sustained chords.
- 2 Fagotti (Bassoons): Bass clef, playing a melodic line with *sf* dynamics.
- 2 Corni in C (Horns in C): Treble clef, playing sustained chords.
- Trombe in C (Trumpets in C): Treble clef, playing sustained chords.
- Timpani in C.G. (Timpani in C): Bass clef, playing sustained notes.
- Triangolo (Triangle): Treble clef, playing a rhythmic pattern.
- Piatti (Cymbals): Treble clef, playing a rhythmic pattern.
- Gran Cassa (Kettledrum): Treble clef, playing a rhythmic pattern.

The second system includes:

- Violino I (Violin I): Treble clef, playing a melodic line with *sf* dynamics.
- Violino II (Violin II): Treble clef, playing a melodic line with *sf* dynamics.
- Viola: Alto clef, playing a melodic line with *sf* dynamics.
- Violoncello (Cello): Bass clef, playing a melodic line with *sf* dynamics.
- Contrabasso (Double Bass): Bass clef, playing a melodic line with *sf* dynamics.

The score is in 3/4 time and features a variety of dynamics, including *sf* (sforzando) and *p* (piano).

Example 2.10: Symphony No. 100, Second Movement, bars 70-73

It is therefore wholly unsurprising that Haydn was able to thrill his audience with Turkish percussion, as he was well aware of its highly fashionable status at the time, and indeed had even set a work including Oriental disguises over twenty years

earlier.²³⁸ As such, it can be said that the use of Turkish military references within the symphony was an excellent way in which to create a focal point for musical discourse, a fact shown by the way in which the symphony soon gained a popular nickname and was given subsequent performances, a practice which was rare at the time.²³⁹

The question of why Haydn reserved the larger-scale special moments for the London symphonies rather than using them in previous works is, I believe, also related to the need for material to create public discourse. As a concert series which was neither commissioned by an aristocrat nor took place in a patron's palace, these London symphonies can be seen as the first of Haydn's works to be aimed at a public who would talk about the music, engage with reviews of it in newspapers, and would need to be inspired to come to and pay for future concerts.

This is not however, to say that Haydn composed music directly for the effects on the audience, without being distinctly aware of the performers and the role they played in the construction of aesthetic experience. A good example of this awareness is in the third movement of the Symphony No. 97 in which Haydn gives Salomon a violin solo an octave higher than the other violins, marking it 'Salomon Solo ma piano' (Ex. 2.11).

²³⁸ Ibid, 482-483

²³⁹ Peter Gutmann, 'Haydn's Military Symphony', <<http://www.classicalnotes.net/classics3/military.html>> Accessed November 13th 2010

The musical score for Example 2.11 shows the third movement of Symphony No. 97, bars 106-112. The score is written for a full orchestra with a solo cello part. The instruments listed are Oboe (Ob.), Bassoon (Bsn.), C Horn (C Hn.), C Trumpet (C Tpt.), Timpani (Timp.), Violoncello Solo (Violono Solo), Violin I (Vln. I), Violin II (Vln. II), Viola (Vla.), and Violoncello (Vc.). The Violoncello Solo part is marked 'Salomon Solo ma piano' and 'pp'. The Timpani part is marked 'pp'.

Example 2.11: Symphony No. 97, Third Movement, bars 106-112²⁴⁰

This exemplifies how Haydn was aware of the individuals and their skills and arguably weaknesses, with Landon seeing the marking as a ‘humorous warning to the vigorous German leader’ in composing for his London orchestra. Firstly, this shows us that the subjectivity of the performer was something that Haydn both expected in performance, and actively encouraged through his performance markings, even in the most public works he had ever composed. It is also most likely the case that Haydn was aware that the audience were going to see not only his symphony but a variety of big-name performers (indeed, the first of the London concerts was postponed twice due to famous singers being needed elsewhere at the opera).²⁴¹ He would also have been aware that this audience would enjoy seeing these performers playing suitable material, thus moments such as this work to create aesthetic experience using the two different parts of the chain of communication of which Haydn was aware. It is interesting to note that this solo has also been removed from modern editions of the symphony, instead showing it

²⁴⁰ Example based on Landon, *Haydn in England*, 546-547. Modern editions of the score remove the solo part.

²⁴¹ Landon, *Haydn in England*, 43-59

in the first violin part, giving no octave divide in the violins: a fact symptomatic of changing the performance situation of the work.

Further proof that Haydn was composing with an awareness of the intersubjective relationship between the composer and the performer in relation to the common object of the musical performance can be seen in the joke that occurs at the end of Symphony No. 93. The slow movement of the symphony contains one of Haydn's more famous jokes, when in bar 80 the bassoon enters unexpectedly after a quiet, lyrical passage, with a low, loud, note before the rest of the ensemble enters to conclude the moment. This moment, described by Landon and many after him as 'obscene and ridiculous'²⁴² is amusing firstly through its sheer vulgarity, particularly in the context, but also its unexpectedness (Ex. 2.12).

Example 2.12: Symphony No. 93, Second Movement, bars 75-81

As Burnham quotes Wheelock, jokes such as these 'dramatize' the relationship between the composer and the listener, since they rely on the composer correctly assuming that the audience will not expect the joke and thus will find it amusing.²⁴³ Once the expectations have subsequently been fulfilled, the listener can then play 'an

²⁴² Landon, *Haydn in England*, 520

²⁴³ Lawrence Kramer comments on a similar foregrounding of the actions of the performers within Mozart's String Trio K. 563, but sees the technique as being used in this instance as a means of drawing comparisons between private and public performance types. See Lawrence Kramer, *Classical Music and Postmodern Knowledge* (Berkeley: University of California Press, 1995), 25-32.

active role when he or she becomes self-conscious about expectations.’²⁴⁴ As such, they are rare moments when the expectations of the listener become foregrounded and subverted, leaving ‘a surging confirmation of the self-transcending dimension of self-consciousness’ which can be laughed about.²⁴⁵

However, I wish to extend Burnham’s discussion of the bassoon line in the symphony and suggest that not only is this a play on the listener’s expectations of the musical content, but also a moment when the listener becomes aware of a clash in subjectivities between the composer and the performer, which in turn foregrounds this relationship too. Since the material directly leading up to this point has gradually been getting quieter, thinner and restricted to the medium to higher registers of treble instruments, the bassoon entry immediately draws attention to the two bassoonists and for a brief moment it is possible for the listener to question whether or not the performers are playing the music correctly as scored.

In this way Haydn’s joke is similar to what has been termed in literary studies as metafiction, ‘a term given to fictional writing which self-consciously and systematically draws attention to its status as an artefact in order to pose questions between fiction and reality.’²⁴⁶ In fact, Mark Evan Bonds compares Haydn’s use of such humour with the writings of Laurence Sterne, an author with whom Haydn was compared by his contemporaries; however, he too relies purely on discussions of the relationship between composer and listener.²⁴⁷

Thus, this moment within the symphony draws attention not only to the focussed listening and its transcendent nature which is created by the musical performance, but also to the solid reality of the performance itself. As such, the listener becomes aware for a brief moment of the composer poking fun, not only at the listener through the vulgarity of the bassoon part, but also at the bassoonists themselves who perform the note. For this brief moment, the listener is aware of the composer, Haydn, who wrote the composition, the bassoonists, who perform the composition and of the listener’s own expectations of what should conventionally occur in the composition. This reliance on the full chain of communication perfectly exemplifies how Haydn was able to anticipate not just the expectations of the listeners, but also the performance of the

²⁴⁴ Scott Burnham, ‘Haydn and Humor’ in *The Cambridge Companion to Haydn*, 75

²⁴⁵ Ibid

²⁴⁶ Patricia Waugh, *Metafiction, The Theory and Practice of Self-Conscious Fiction* (London: Routledge, 1984), 2

²⁴⁷ Mark Evan Bonds, ‘Haydn, Laurence Sterne and the Origins of Musical Irony’, *Journal of the American Musicological Society* (Vol. 44, No. 1, Spring, 1991), 57-91

music itself and in turn how this would be received by all present at the performance. In this way, Haydn created a chain of communication between himself, the performers and the listeners which used his anticipations in order to ensure the chain was very well-aligned and therefore provided an intense aesthetic experience for listeners.

These are the most noteworthy of the differences in the elements of composition used for the London symphonies and those directly preceding it. Whilst of course, many elements of previous symphonies were continued in the London works, Haydn had an enhanced awareness of the practicalities of performances in the later symphonies, which were not expressed, or did not need to be expressed in this way before.

Thus it can be said that Haydn continued much of his musical style into the London symphonies, but took many aspects of it to a more expert level, specifically for the increased enjoyment and aesthetic experience of the audience as well as the wider public through the creation of material for discourse. Furthermore, he achieved this through his complete understanding of the relationships between the links within the chain of communication.

2.2.2 ‘Private’ versus ‘Public’ Piano Sonatas: Haydn’s Late Piano Sonatas

The general development of Haydn’s style that was seen within the London symphonies is essentially mirrored in the piano sonatas. This section very briefly summarises some of the main similarities between Haydn’s late piano sonatas and the London symphonies, but is not in itself a detailed examination of the works, especially since research into Haydn’s piano sonatas, with the exception of the E-flat major Sonata No. 52, is still a relatively underdeveloped area of Haydn studies.

Haydn composed relatively few piano sonatas whilst in London, possibly due to his focus on symphonic works. Of these, the two sonatas in C and E-flat written for Therese Jansen are of interest here due to their notably more developed style. When compared to Haydn’s earlier piano sonatas, such as those of the late 1780s, (Hob. XVI: 48-49) very similar general changes in style can be seen as in the London symphonies. Firstly, it is particularly noticeable that the sonatas for Jansen have more motivic development and harmonic diversity than the earlier sonatas. This bolder harmonic language can again be seen as important due to the need for material worthy of discourse, rather than, for example of pedagogic value.

Indeed, the development sections of the first movements of the sonatas for Therese Jansen are of particular note due to their utilisation of far away keys in contrast

to the sonatas directly preceding them chronologically. The sonata in C major has important developmental moments in G minor, F major, a false recapitulation in A-flat major and briefly passes through E major before the double return on C.

However, the sonata in E-flat has an even more daring development section which passes through C major, F major, G minor, C minor and even E major. Landon comments that this ‘outrageously off-tonic’ move makes sense only when considered in relation to the key structure of the slow movement, which makes a similar move to E major.²⁴⁸ The move to E major sounds even more outrageous in context since it is arrived at suddenly after a G major chord and a rest (Ex. 2.13).



Example 2.13: Sonata in E-flat, Hob. XVI: 52, First Movement, bars 66-68

In direct contrast to both of these, the sonata form first movement of the sonata Hob. XVI: 49 in E-flat major only explores keys much closer to the tonic such as C minor and F minor. These keys are also reached in fairly conventional ways through the use of the dominant (Ex. 2.14).



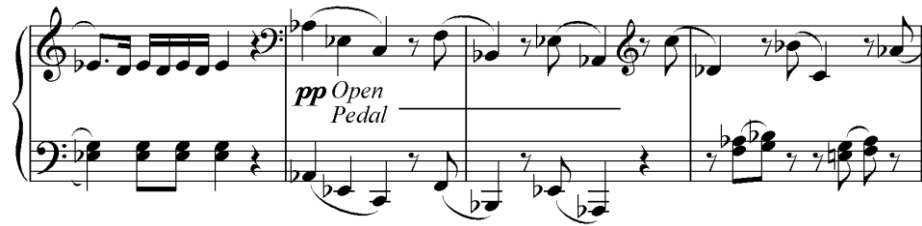
Example 2.14: Sonata in E-flat, Hob. XVI: 49, First Movement, bars 78-86

These changes to Haydn's style have been related to a number of external factors by various Haydn scholars and performers, in particular his enthusiasm for writing for London pianos which were constructed very differently to Viennese ones of the same period.²⁴⁹

²⁴⁸ Landon, *Haydn in England*, 450

²⁴⁹ Such as Tom Beghin, 'Thoughts on Performing' 220-224; Michelle Fillion, 'The Keyboard Sonatas and Trios' in *The Cambridge Companion to Haydn*, 136, and Landon, *Haydn in England*, 445

One final similarity between Haydn's writing in these piano sonatas and the London symphonies is the inclusion of special effects. For example, in the piano sonata in C major, the false recapitulation in A-flat and a longer part of the recapitulation are performed with an 'open pedal' technique. This effect has caused much discussion as to how it should be performed and its suitability for London pianos,²⁵⁰ however, that is a insignificant point for the purposes of this work since its very inclusion is of interest (Ex. 2.15).



Example 2.15: Grand Sonata in C, Hob. XVI: 50, First Movement, Bars 72-74

The ethereal sound that this moment produces is unlike anything else within Haydn's piano sonatas and once again foregrounds the very performance of the music. In this way, it does not obscure the performer and manner of performance but brings it to the fore: as in the example from Symphony No. 93 above, Haydn writes very specifically for the performer and performance situation, this time that of an extremely accomplished pianist used to performing for an audience.

Thus we can summarise that at this point in history Haydn was very much still writing to please the end-recipients of his music, and if the music could be multi-purpose (such as being written for two patrons or published in multiple countries) then that was even better. It is also very clear that Haydn shrewdly worked out what was expected of the music in every situation and wrote to enhance the experience it would create in light of these expectations.

As such, the terms 'public' and 'private' are useful in that they serve as reminders that musical experience is not usually created by just a composer or a listener's expectations, but instead relates to a longer, changeable set of relationships.

However, this is not to say that Haydn only worked towards creating music that met the expectations of his audience, but instead wrote music which when performed would give a performance that would meet not only the audience's expectations of the music, performers and performance but would also maximise the impact of the music by playing with and subverting these expectations. Thus, a full picture of the experience

²⁵⁰ Landon, *Haydn in England*, 445

created by music is only seen by understanding the intersubjective relationship between composer and performers and its effects on listeners. Therefore, at this particular point in history it can be said that musical experience was maximised when reception in relation to all parts of the chain of communication was considered and anticipated at the creation stage. As will be discussed at the conclusion of this chapter, this can also be described as the composer seeking to create an aligned chain of communication.

2.3 Success and Failure in the Works of Franz Schubert

Whereas Haydn clearly had a very successful career, spreading over numerous genres and styles, many composers were not so uniformly successful, particularly in later historical periods when the conditions surrounding musical composition, performance and composition had changed considerably. One such composer was Franz Schubert (1797-1828), who was greatly acclaimed for his ‘private’ compositions such as lieder, yet never managed, at least by the usual historical gauges of success, to break into the ‘public’ domains of opera or the symphony.

There are various reasons for this split within a single career: Schubert’s occasional misconstruction of the anticipatory process; Schubert’s lack of desire to engage with every part of the anticipatory process within some genres; the life experiences Schubert had to draw upon; and changing cultural values which made it harder for common goals to be communicated between all parts of the chain of communication. This section will examine each of these issues using examples drawn from across Schubert’s wide-ranging repertoire and, although it does not profess to be an in-depth examination of any one genre, it will reflect upon the key role played by genre and the composer’s expectations of genre, an issue rarely problematised in existing musicological studies.

2.3.1 Schubert and the Lied

It is no exaggeration to say that Schubert was not just a highly successful composer of lieder but that he also transformed the genre by taking lieder out of the amateur domain to an unprecedented professional level.²⁵¹ Indeed, what is particularly significant is that this is not just a retrospective judgement or repositioning of Schubert within the canon, but that the lieder were both popular as performance pieces and sheet music as well as financially important within his own lifetime.²⁵²

One point that must be taken into consideration when examining the works of Schubert, and in particular the lieder, is that the reception context of these pieces is noticeably different to that discussed in the Haydn case studies above. Whereas Schubert was of course writing lieder for both private and public performances, he was

²⁵¹ Kristina Muxfeldt, ‘Schubert’s Songs: the Transformation of a Genre’, in ed. Christopher H. Gibbs, *The Cambridge Companion to Schubert* (Cambridge: Cambridge University Press, 1997), 121

²⁵² As documented by the sheer number of references to the songs and their popularity in Otto Erich Deutsch, *Schubert: A Documentary Biography*, trans. Eric Blom (London: J. M. Dent & Sons Ltd, 1946)

also writing for publication in the hope of achieving a full-time career in composition. Thus, in the same way that the chain of communication for Haydn's London Symphonies had to include critics and public discourse, the chain for Schubert's lieder similarly had to meet the demands of publication, even if, as discussed below, much of the labour involved in getting Schubert's songs published was in fact done by his friends.

Due to their popularity in both performance and publication it can be said that Schubert's lieder were successful across all parts of the chain of communication. The most apposite example of a successful lied is *Erlkönig*, a ballade set to *Der Erlkönig* by Goethe (1749-1832), which was composed in 1815 and published by subscription in 1821, thanks to the hard work of Schubert's followers.²⁵³ The lied was originally performed successfully in private, but after a public performance by Vogl on March 7th 1821 soon developed a reputation not only as a performance piece but also as a successful score.²⁵⁴ Thus, despite some initial caution from music publishers, *Erlkönig* was quick to impress, receiving positive press attention and continuing to remain popular after Schubert's death.²⁵⁵ Indeed, *Erlkönig* set the benchmark against which future lieder were compared, as shown by an 1828 advertisement for Op. 93 which describes *Auf der Brück* as possibly being able to 'dispute the front rank' of *Erlkönig* and *Der Wanderer*.²⁵⁶

Furthermore, the piece was clearly thrilling to live audiences, as demonstrated by these popular reviews and the popularity of the piece in later memoirs of friends and audiences, albeit if these are exaggerated due to Romantic nostalgia for the composer: 'After the "Erlkönig" there was already such a frenzy of applause that I realized it was going to be repeated. But I was so terribly moved by it that I was afraid I should faint...' ²⁵⁷

The success of this lied stands in direct contrast to the fortunes of the larger scale works such as the symphonies and operas, as will be discussed below. Nonetheless, when the background to the composition of the lieder is considered it is of no surprise at all that Schubert should have been successful within this genre.

²⁵³ Publishers were reluctant to publish this in the normal way due to its difficulty and the uncertainty of publishing works by such a new composer. Ibid, 170-171

²⁵⁴ Ibid, 154; 160-161; 169; 170; 208 and passim

²⁵⁵ Ibid, passim

²⁵⁶ Ibid, 778

²⁵⁷ Frau Maria Mitterbacher, Née Wagner (1877), quoted in ed. Otto Erich Deutsch, *Schubert: Memoirs by his Friends*, trans. R. Ley and J. Nowell (London: Adam & Charles Black, 1958), 297

Firstly, Schubert cultivated a deep understanding and taste for literature, particularly poetry, through the many culturally enhancing social events of his close circle of friends, many of whom were themselves poets. These social connections not only introduced Schubert to a wide body of poetic works but also helped him to further his acquaintances by in turn drawing on their connections to other poets.²⁵⁸ Thus it is known that literature was a vital part of Schubert's everyday lifestyle and that he would have had an implicit understanding of poetry as a relevant and socially important discipline. In this way, poetry was used as a means for communication and bonding between friends and not just as a one-sided written prose, an experience with marked similarities to that between composer, listener and performer in a lied performance, as will be shown below.

Although *Erlkönig* was composed before the first known *Schubertiad*²⁵⁹ it is unfeasible to suggest that poetry was unknown or lesser known to Schubert earlier in his career, as demonstrated by our records of his own poetry composition in 1813²⁶⁰ and the fact that von Spaun, later host of *Schubertiaden*, had been his friend since childhood. Therefore, whilst it cannot be said that Schubert had some of the benefits of a developed circle of friends at the time of the composition of *Erlkönig*, this circle did very much play its part in the work's performance and reception.

Despite the clear success of *Erlkönig* and its importance in establishing Schubert's reputation, widespread success had been far from guaranteed for a setting of one of Goethe's most celebrated poems by such an unestablished and unknown composer. Indeed, as Boyle says in his two-volume study of Goethe and his poetry, 'Goethe was not just *a* poet- for the whole Romantic generation, in Germany, England and even France, he was *the* poet.'²⁶¹ Goethe's poetry was therefore something that had to be handled with care to ensure that any musical setting of it lived up to the expectations of the text and its author's already prestigious cultural position.

However, not only was Goethe such a cultural figurehead, but also the text of *Der Erlkönig* had already been set numerous times before by predecessors and contemporaries of Schubert, including, but by no means limited to Gottlob Bachmann,

²⁵⁸ For a more thorough discussion of literary figures within Schubert's circle see David Gramit, "'The Passion for Friendship': Music, Cultivation and Identity in Schubert's Circle", in ed. Gibbs, *The Cambridge Companion to Schubert*, 56-71

²⁵⁹ January 1821, Deutsch, *Schubert: A Documentary Biography*, 162

²⁶⁰ *Ibid*, 31

²⁶¹ Nicholas Boyle, *Goethe: The Poet and The Age* (Oxford: Clarendon Press, 1991), viii-ix

Carl Blum, August Harder and Berhard (Joseph) Klein²⁶² as well as more famous lied composers like Johann Friedrich Reichardt and Carl Friedrich Zelter.²⁶³ As such, there were clearly high stakes at risk in composing for this text, with, on the one hand success placing Schubert equal to or surpassing the compositional talents and popularity of many contemporary composers yet on the other hand failure or indifference making him just one more amongst many average lied composers. Consequently, expectations would have been extremely high and not only did the young Schubert have to compose a brilliant lied early in his career, but also its context of performance and publication needed to help to establish the work's reputation.

Of course, Schubert's *Erlkönig* was immediately popular and has remained a staple of the repertoire ever since. Whilst many in-depth analyses of the song have been undertaken elsewhere, a very brief discussion of some of its most salient features can help to show how Schubert's song built on its text to create such a strong aesthetic experience.

Firstly, Schubert raises the status of the accompaniment by incorporating it into the dramatic action, with, for example, in the final published version of the song, a driving triplet quaver rhythm in the right hand. This triplet line is taken by many to suggest horses' hooves²⁶⁴ and its near-constant driving nature and sheer speed heighten the dramatic tension and seem to match the narrativity of the poem. Secondly, Schubert creates strong characterisation of the Erlkönig, the father and the son through his use of tonality. For example, the father's reassurances often pass through and cadence into major keys. This can be seen in the score which is presented in Appendix C.

This is far more complex writing than seen for example in a setting of the same poem by Zelter, completed only eight years before Schubert's setting, the score of which is also presented in Appendix C. Here, there is little characterisation within the musical writing, with for example the setting of the scene at the opening sung to virtually the same material as the child's distressed lines and his father's reassurances. This can be seen in bars 1-8 and 47-54 respectively.

Similarly, Schubert also characterises the Erlkönig with a quiet, lyrical line which sounds very distinct from the other voices within the setting. Indeed, Schubert's decision to set the words of the Erlkönig in this way is frequently commented upon,

²⁶² 'Erlkönig' <http://www.recmusic.org/lieder/get_text.html?TextId=6381> Accessed February 11th 2011

²⁶³ Christopher H. Gibbs, "'Komm, geh' mit mir": Schubert's Uncanny "Erlkönig", *19th-Century Music*, (Vol. 19, No. 2, Autumn 1995), 115

²⁶⁴ Lorraine Byrne, *Schubert's Goethe Settings* (Aldershot: Ashgate, 2003), 234

particularly in light of an anecdote about a young boy and composer who visited Goethe and expressed his belief that the *Erlkönig* should not sing ominously but alluringly, a point with which Goethe agreed.²⁶⁵ The inclusion of this anecdote in Schubert studies is clearly meant to show that Schubert was remaining true to Goethe's intentions in his setting of the poem, indeed Byrne describes it as an 'enlightening' story when considering the relationship between the two.²⁶⁶ How an anecdote of a meeting between Goethe and another composer unrelated to Schubert and which occurred twelve years after the composition of Schubert's lied can really be described in this way, especially without raising issues around intentional fallacy and the value of musical meaning in relation to texts, is something that Byrne and others fail to explain. It is not really satisfactory to judge Schubert's setting of Goethe's poetry by seeing if its musical content can be seemingly matched to Goethe's comments to a child, especially as these comments may well be apocryphal.

Nonetheless, Gibbs does raise the very valuable point that Schubert's *Erlkönig* became so popular that it managed to permanently change perceptions and common interpretations of the poem, for example by suggesting that the narrative takes place during a storm due to the choppy triplets at the opening, despite the fact that this is not stated in the poem.²⁶⁷ This, he believes, is because paradoxically the music can offer an element of realism not afforded by the poem.

Gibbs' idea can be extended since Schubert can clearly have been said to have understood the needs of the audience by setting the poem in such a bold and interpretative way. In fact, by using the music to add an element of narrative realism to the performance, and then heightening this realism by his intense characterisation, Schubert has transformed the popular poem. Through this characterisation for the father, son and *Erlkönig*, Schubert raises further the dramatic immediacy of the ballade, making it immediately relevant and accessible to an audience in the same way that poetry would have been to him and his friends. It was this background knowledge and sense of the significance of poetry that would doubtlessly have helped Schubert implicitly create his anticipations of lied performances and publication.

Since lieder needed to be performed successfully and to be able to translate this into publication and sales, the contextual framework that Schubert had managed to

²⁶⁵ Ibid

²⁶⁶ Ibid

²⁶⁷ Gibbs, 'Schubert's Uncanny "Erlkönig,"' 122-123

construct would play a vital role in structuring and enhancing his reputation and career and making it, for the most part, financially viable.

Furthermore, this point is within itself significant since Schubert (or more strictly, Schubert's publishers and friends) used the fact that both the private and public performances of his lieder were so prosperous to advertise and sell the printed collections on their release.²⁶⁸ In this way, Schubert was reaching a broad audience beyond that of a listener (thus to include critic, publisher and purchaser) within the single lied anticipation, suggesting that, within this genre at least, Schubert was far more able to meet the commercial demands of his compositions than accepted opinion allows.

Nonetheless, I believe it is important to highlight that much of this anticipatory process was unlearned and was a natural result of Schubert's own background and experiences. Thus, whereas in her study of Schubert's Goethe settings, Lorraine Byrne is correct to say that performance and reception had an impact on Schubert's composition, I take some issue, at least for lieder composition, with her acceptance of any tension between an autonomous composer's attitude and a desire to please an audience:

'The dichotomy between the composer's autonomy and his awareness of the musical audience is not as complete as it first appears';

'...the difference was not between audience and autonomy, but in being able to compose for an audience while remaining faithful to an inner artistic impulse.'²⁶⁹

Although this may very much be true of the larger works such as symphonies and operas, I believe that in actual fact the reason for Schubert's success in the genre of the lied was the lack of a conscious divide or difference between these two mental processes, especially since such a dichotomy tends to suggest that the pleasing of an audience cannot be an inherent and subconscious characteristic wholly consistent with an autonomy of vision on behalf of a composer: for the lieder at least the synergy of these two processes led to success.

Erlkönig epitomises the relationship between success in performance and future commercial gain through publishing and advertising. For example, a review of some of Schubert's lieder books published in early 1822 in the Viennese *Allgemeine Musikalische Zeitung* says 'we pass over the gifted composer's remaining songs; not

²⁶⁸ See for example Deutsch, *Schubert: A Documentary Biography*, 172, 176 etc.

²⁶⁹ Lorraine Byrne, *Schubert's Goethe Settings*, 41-42

because they fall behind those mentioned above (for we need only recall his admirable... ‘Erl King,’)’²⁷⁰; the *Grazer Zeitung* later the same year also refers to ‘the...composer’s favourite ‘Erl King’’ having been performed²⁷¹; indeed the song was even used to advertise performances of his opera *Fierabras*, with the *Theaterzeitung* referring to the ‘first grand opera by the much-promising Schubert, the ingenious composer of ‘Erl King.’’’²⁷² The composition was even acclaimed enough to advertise the publication of anonymous poetry such as demonstrated in the *Theaterzeitung* from five years later: ‘it is sufficiently known what a magnificent effect was made by Goethe’s poem, ‘Erl King,’ in Schubert’s masterly composition...’²⁷³

Erlkönig is thus one of the cornerstones of Schubert’s career and although it did not always receive entirely positive criticism, its ongoing popularity did demonstrate that when the cultural context of a work’s reception is so implicitly understood it has a far better chance of communicating successfully through the chain of communication and thus also creating an aesthetic experience. This aesthetic experience is available not only to the audience present at the original performances but in this case also the buyer of the musical scores.

Nonetheless one can sense, especially when reading concert reports and advertising for Schubert’s lieder, that much of the success of his career within this genre would not have been possible without the energetic hard work of his close friend Johann Michael Vogl, who, as Schubert himself acknowledged, upon retirement dedicated himself and his talents to enhancing Schubert’s career.²⁷⁴

The relationship between Vogl and Schubert has been the cause of some debate within musicological studies. Indeed, some scholars are concerned with the degree to which Vogl altered or interpreted the scores and the often supposedly negative effects that this and his charismatic performance style had on the reception of the songs.²⁷⁵ This is very much a modern-day preoccupation, especially in a post historically informed performance era, since it has the background assumptions that Schubert would

²⁷⁰ Deutsch, *Schubert: A Documentary Biography*, 208

²⁷¹ Ibid, 234

²⁷² Ibid, 291

²⁷³ Ibid, 610

²⁷⁴ Ewan West, ‘Vogl, Johann Michael’, in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/29603>> Accessed February 2nd 2011

²⁷⁵ Two interesting discussions of this are: Walther Dürr, ‘Schubert and Johann Michael Vogl: A Reappraisal’, *19th-Century Music* (Vol. 3, No. 2, November 1979), 126-140 and Eric Van Tassel, ‘“Something Utterly New”: Listening to Schubert Lieder. 1: Vogl and the Declamatory Style’, *Early Music* (Vol. 25, No. 4, 25th Anniversary Issue: Listening Practice, Nov. 1997), 702-714

have scored the songs exactly as he wanted them to be performed and that he anticipated that the performer would not make any changes - an assumption that completely goes against the evidence of the close working partnership between the two men. Even Sonnleithner, the contemporary musician and friend of Schubert²⁷⁶ who clearly did not like Vogl's style of performance complains only that Schubert may have been too swayed by Vogl's technical limits and that Vogl made changes beyond 'permissible limits' rather than suggesting that Schubert's texts should not be changed at all.²⁷⁷

As such, it is very clear that Schubert, who clearly benefited from Vogl's influence, therefore anticipated that the performer should have some input into the musical performance, and that although there were certain limits beyond which he was not willing to move²⁷⁸ there was a degree of discussion and influence moving both ways between the composer and the performer. Schubert, who often accompanied Vogl at the piano, would also have implicitly understood the whole chain of communication in performance, especially the intersubjective connection between composer and performer. Of course, it remains a truism to point out that if Schubert had been so dissatisfied with the changes made by Vogl he would either have told him or have broken off their working relationship altogether, something which was clearly not necessary. Fortunately, Vogl annotated some of the alterations he made to Schubert's scores in his *Singbücher*, copies of which remain today.²⁷⁹

These changes therefore indicate that of course Schubert, like Haydn before him, expected the performer to add his or her own layer of understanding to the construction and communication of musical experience. This ties in very clearly with ideas surrounding the characterisation of the song *Erkönig* since Vogl's singing would contribute to this phenomenon and thus help the construction of aesthetic experience by the audience.

To conclude, Schubert clearly was not composing for an 'ideal listener' but was writing music to be performed in situations in which he was vastly experienced and comfortable. By using Goethe's famous poem *Der Erkönig*, Schubert characterised the poem both in composition but also by ensuring that its performance would draw in

²⁷⁶ Ewan West, 'Sonnleithner' in *Grove Music Online*. *Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/26225pg4>> Accessed February 14th 2011

²⁷⁷ Dürr, 'Schubert and Johann Michael Vogl', 126-127

²⁷⁸ See Eduard von Bauernfeld's memoir of Schubert cited in *Schubert: Memoirs*, discussed in *ibid* 128

²⁷⁹ *Ibid*, 130, much of this article discusses in-depth some of the changes made by Vogl.

listeners to experience the poem in an unprecedentedly realistic fashion. In so doing, he also ensured that the context and situation for publication was prepared, most likely unknowingly, allowing his friends to take advantage of this to start Schubert's publishing career.

2.3.2 Schubert and Opera: *Alfonso und Estrella*

*'Vogl also says Schober's opera is bad and a perfect failure, and that altogether Schubert is quite on the wrong road.'*²⁸⁰

Whereas Schubert gained some acclamation and financial reward from his work within the genre of the lieder, an examination of his operas and their performance history tells a markedly different story. Both within his lifetime and posthumously, Schubert's operas have remained almost wholly unperformed in their original forms; indeed, even with alterations they have really only been of interest to the connoisseur and have therefore received only sporadic attention both musicologically and beyond.

This section examines *Alfonso und Estrella*, a grand opera²⁸¹ composed in 1821-1822, using a libretto written by Schubert's friend Franz von Schober.²⁸² This opera was regarded by the composer as his 'best and most suited to presentation'²⁸³ and he and many of his friends subsequently spent many years trying to persuade theatres to take on the work.²⁸⁴ Despite this, the opera was not performed in Schubert's lifetime, finally being premièred in 1854 by Liszt in a shortened version.²⁸⁵ Nonetheless, despite numerous and some substantial cuts made by Liszt to all three acts of the opera it was never repeated.²⁸⁶

²⁸⁰ Anton von Spaun's letter to his wife, 20th July 1822, quoted in ed. Deutsch, *Schubert: A Documentary Study*, 230

²⁸¹ Here I follow the usage of John Warrack who sees Grand German opera as a 'genre rivalling French grand opera in its use of historical or mythical subjects, imposing and often historically accurate scenery, multiple soloists and a large chorus and orchestra.' John Warrack, *German Opera: from the Beginnings to Wagner* (Cambridge: Cambridge University Press, 2001), 273

²⁸² Elizabeth Norman McKay, 'Alfonso und Estrella', in *The New Grove Dictionary of Opera*, edited by Stanley Sadie. *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/O900087>> Accessed February 23rd 2011

²⁸³ Sonnleithner in ed. Deutsch, *Schubert: Memoirs*, 10

²⁸⁴ Deutsch, *Schubert: A Documentary Biography*, passim

²⁸⁵ Elizabeth Norman McKay, 'Alfonso und Estrella', *The New Grove Dictionary of Opera*

²⁸⁶ See Till Gerrit Waiderlich, 'Alfonso und Estrella'. *Eine frühe durchkomponierte deutsche Oper: Geschichte und Analyse*, Veröffentlichungen des Internationalen Franz Schubert Instituts (Schneider: Tutzing, 1991), 39; 42-46

Some of the reasons for the opera's failure are musical and stylistic, whereas others were to do with the circumstances and cultural context of German opera in Vienna at the time. Nonetheless, all of these reasons can be related to the anticipation process undertaken by the composer at the work's formation; an anticipation process which in this instance did not successfully tie in with the expectations of the contemporary opera establishment or its audiences.

The very composition of the opera and its libretto is interesting because both Schober and Schubert retreated to St. Pölten and Ochsenburg to stay together to compose both libretto and music at the same time. Because of this close relationship there was much discussion between the two in the evenings when they 'compared notes' on what they had achieved each day.²⁸⁷ Thus the opera's formation took place in a fairly intense burst of ambition between the two men, but also in some isolation as they were not in Vienna amongst their usual companions. This way of composing the opera is, I believe, important in understanding some of the reasons that the opera failed and also in developing a picture of the anticipation process that Schubert undertook.

In fact, most scholars suggest that the opera failed because of its dramatic failings and libretto, although all agree that the opera is interspersed with some beautiful and well-written music. The libretto by itself comes into the most criticism, with Thomas A. Denny describing it as 'extraordinarily weak' due to both the unsatisfactory mix of action in the form of fashionable chivalry with static pastoral elements. He argues that Schober fails to keep these subordinate to the main action and that there is therefore a lack of dramatic highpoints.²⁸⁸ David Charlton similarly suggests that the libretto does not respond 'adequately if at all' to the three Romantic features of the storyline, a fault only mirrored in the musical setting.²⁸⁹ Liszt, who was sufficiently impressed with parts of the opera to facilitate its first performance in Weimar, was not satisfied with the libretto, spending some time hoping to commission an alternative French text which could be fitted to the existing music. He hoped that this would prove to be the key to the opera's success, since the musical score was 'crushed by the weight of the *libretto*.'²⁹⁰

²⁸⁷ Schober's letter to Josef von Spaun, 4th November 1821, Deutsch, *Schubert: A Documentary Biography*, 194-196

²⁸⁸ Thomas A. Denny, 'Schubert's Operas: "the judgement of history?"' in ed. Gibbs, *The Cambridge Companion to Schubert*, 230

²⁸⁹ David Charlton, 'Review: Revival or Survival?', *19th-Century Music*, (Vol. 2, No. 2, Nov. 1978), 161

²⁹⁰ Liszt to Breitkopf and Härtel, 24th February 1850 in ed. Deutsch, *Schubert: Memoirs*, 423

Even Schober himself, when reflecting upon the libretto to Schubert's nephew in 1876 said that the text was able to achieve acclaim as a poem yet was a 'miserable, stillborn, bungling pieces of work' as a libretto.²⁹¹ The fact that Schober, much later in life, had changed his opinion of the libretto of the opera is in itself significant when examining the anticipatory process that the two men undertook when composing the work, as will be discussed below.

The music for the opera is similarly problematic, especially in its troubled relationship with the words of the libretto and the dramatic happenings on stage; a relationship which at times borders on incongruent. A somewhat amusing example of this is cited by David Charlton, who describes how Estrella's father seemingly fails to notice a prop which represents the crux of the storyline's denouement, since he sings for 90 bars before commenting on it.²⁹²

Such lack of sensitivity to the dramatic narrative is not helped by Schober's use of poetic metre throughout the libretto, which the composer then sets almost entirely in symmetrical phrases, something which is a 'constant detriment to the dramatic flow, and sometimes makes parallelisms where the poet avoided them.'²⁹³ These problems all stem from the same issue: that neither Schubert nor Schober could anticipate the dramatic needs of an opera. A practical problem also faced Schubert when trying to get the work performed, since as described by Hüttenbrenner the music was at times uncompromisingly difficult, with keys such as C sharp minor and F sharp minor, which had to be transposed by a copyist, and music which placed 'too heavy a burden on the orchestra and choruses.'²⁹⁴

The context within which the opera was being composed, both within Schubert's circle and more broadly within German opera, can also be seen to be significant when examining the failure of *Alfonso und Estrella*, although unfortunately there is very little information regarding the work's original reception to be found in the available literature.

An attempt to break into German opera at the time faced some considerable obstacles, since the genre, whilst not having a completely barren period, was a fairly complicated area of music to negotiate due to, amongst others, a mix of tastes and

²⁹¹ Schober to Heinrich Schubert, 2nd November 1876, *ibid*, 208

²⁹² David Charlton, 'Review: Revival or Survival?', 162

²⁹³ *Ibid*, 161

²⁹⁴ Hüttenbrenner in ed. Deutsch, *Schubert: Memoirs*, 180-181

styles, a move towards through-composed opera, and censorship.²⁹⁵ The troubled political situations in Vienna meant that in the years prior to *Alfonso und Estrella*'s composition 'the theatre became almost entirely a place of recreation, with cosy pieces drawing reassuringly on local colour, stock figures and popular tunes.'²⁹⁶ Furthermore, during the period of 1816-1825 it was the Italian operas of Rossini which were in vogue, with twenty-five performed in Vienna.²⁹⁷ Overall, there was little demand for German opera in Vienna at the time and it was given only 'lukewarm support.'²⁹⁸

Thus the genre of the opera must be considered when establishing the reasons for its failure. The very storyline of the opera is in itself far from the tastes of Viennese opera goers or the opera establishment; the fashion of the time being short, accessible pieces.²⁹⁹ One of the most successful operas of the period was Weber's *Der Freischütz* (1821), a composition which Schubert admired greatly.³⁰⁰ The success of Weber's *Der Freischütz* can on the other hand be easily understood, since his opera successfully combined simplistic characterisation drawn from the *Singspiele* tradition with plot and musical elements with which contemporary audiences could relate.³⁰¹

Schubert did of course have experience not only of composing *Singspiele*, but succeeded in getting his 1819 farce *Die Zwillingsbrüder* performed by the Vienna Court Opera in June 1820. This performance starred Vogl in the role of both twin brothers.³⁰² This early performance of one of Schubert's works was received with mixed reviews, however the general consensus was that Schubert was a talented young composer who had written some good music in places but still had much to learn.³⁰³ In particular, the many modulations of the work and other complicated aspects such as its orchestration were criticised, with more than one reviewer commenting on this leading to a lack of repose in the work.³⁰⁴ The work's seriousness was also drawn out for some criticism

²⁹⁵ Thomas A. Denny, 'Schubert's Operas', 225

²⁹⁶ John Warrack, *German Opera: from the Beginnings to Wagner*, 297

²⁹⁷ W. E. Yates, 'Biedermeier', in *Grove Music Online. Oxford Music Online*,

<<http://www.oxfordmusiconline.com/subscriber/article/grove/music/03049>> Accessed July 30th 2012

²⁹⁸ Brian Newbould, *Schubert: The Music and the Man* (Berkeley: University of California Press, 1997), 186

²⁹⁹ John Warrack, *German Opera: from the Beginnings to Wagner*, 296

³⁰⁰ ed. Deutsch, *Schubert: Memoirs*, 27, 137

³⁰¹ *Ibid.*, 303-307

³⁰² ed. Deutsch, *Schubert: A Documentary Biography*, 132-133

³⁰³ *Ibid.*, 134-141

³⁰⁴ *Ibid.*

and it is clear that Schubert misunderstood the musical needs of setting a farcical plot by interpreting simple characters too seriously and heavy-handedly.³⁰⁵

There was clearly also some tension between Schubert's friends and others in the audience: 'the operetta has nothing to recommend it, yet Schubert's friends made a lot of noise while the opposition hissed.'³⁰⁶ The more measured Vienna 'Conversationsblatt' wrote that 'the general verdict on Schubert can only be favourable, although not to the point which his numerous friends endeavour to force it.'³⁰⁷ The composer's friends had clearly hyped up the appearance of the dramatic work for some time³⁰⁸ and in this way the work did just not meet the high expectations bestowed upon it, since whilst not being a failure it was still far from a wholly satisfying dramatic experience.

The reception of *Die Zwillingsbrüder* shows two notable phenomena which will only be repeated on a more extreme scale in the reception of *Alfonso und Estrella*. Firstly, that Schubert's friends were not very helpful when assisting Schubert to build expectations of what would be successful in theatres, seeing as they blindly built expectations up so high in Vienna that anything but perfection would fall flat with audiences. Secondly, that Schubert himself would misjudge the dramatic needs of texts and genres, in this case by composing music that was far too serious for a farcical comedy.

In contrast to *Der Freischütz*, *Alfonso und Estrella* has a long and complex storyline concerning love in the midst of dynastic politics and loyalties. This plot resolves to a conclusion in which heroism, love and forgiveness are all victorious. In this way the opera is more of the style of far earlier Italian opera seria, especially due to its 'good taste' and 'verisimilitude,' two characteristics that are frequently to be found in 18th century opera seria.³⁰⁹ Indeed, Schober's poetry was also more suited to the style of an opera seria due to its simplicity, something reflected in the mostly unchanging metre. As such, it can be suggested that Schubert was mistaken in composing an opera which was in many ways old-fashioned and which was certainly not to the tastes of the audiences or theatres for which it was intended.

³⁰⁵ Vienna 'Conversationsblatt', 20th June 1820, *ibid* 136. See also the comments of Mozart's youngest son, *ibid*, 135

³⁰⁶ From Josef Karl Rosenbaum's Diary, 14th June 1820, *ibid*, 135

³⁰⁷ Vienna 'Conversationsblatt', 20th June 1820, *ibid* 138-139

³⁰⁸ *Ibid*, 136

³⁰⁹ Marita P. McClymonds and Daniel Heartz, 'Opera Seria', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/20385>> Accessed March 22nd 2011

Indeed, this period in Vienna had premières of very few important new operas, with audiences preferring lighter works,³¹⁰ meaning that Schubert would already have had a struggle to get his operas performed. Unlike for his lieder, he was proactive in his efforts to get the work performed successfully, sending the score to theatres in Germany and communicating with friends to try to get the work performed through their contacts.³¹¹

In actual fact, the circle of friends who had been so helpful in securing the publication of the lieder, as described above, were clearly a hindrance, albeit unintentionally, when considering Schubert's operatic failures since they almost all encouraged the composer and librettist, who himself encouraged Schubert too, offering false hopes for the work's success rather than helping them to see the work's failings and improve in the future:

‘...the fair Estrella will doubtless soon reward our patiently endured expectation’,³¹²

‘What about your operas?...I have means of getting at Spontini; would you like me to make an attempt to see if he could be induced to give a performance?...I am sure it is only matter of doing a complete work to revive popular enthusiasm for you...’,³¹³

‘I heard that you have written several operas and should like you to let me know whether you would not be inclined to have an opera performed in Berlin, and whether I may, or ought to, use my influence with the office of intendant on your behalf.’³¹⁴

From these quotations it can be seen that Schubert and his friends had extremely high expectations of the opera and hoped that its performance would give him enough prestige to make him a popular and well-respected composer. This made the subsequent failure of the opera harder to bear for Schubert, who writes to Schober to say that problems at the opera house meant that there was ‘scarcely any hope’ for his opera. He immediately follows up this comment by adding ‘besides it would really not be a great stroke of fortune, as everything is done indescribably bad now.’³¹⁵ This latter comment

³¹⁰ See *ibid*, passim and ed. Deutsch, *Schubert: A Documentary Biography*, passim

³¹¹ Deutsch, *Schubert: A Documentary Study*, passim

³¹² Anton Doblhoff to Schober (1823?) in *ibid*, 271

³¹³ Schober to Schubert, *ibid*, 385

³¹⁴ Anna Milder to Schubert, 12th December 1824, *ibid*, 389. In response to this Schubert sent a copy of *Alfonso und Estrella*.

³¹⁵ Schubert to Schober, 30th November 1823, *ibid*, 300

can only be read as petulance and frustration on the composer's part, given that he was still trying to get the work performed over a year later.³¹⁶

Clearly, as described above, Schober had time to reflect on his work and develop a more realistic understanding of the opera's failings later in his life, something that Schubert never had the opportunity to do due to his premature death.

Interestingly, the only person who, to our knowledge, warned Schubert that the opera would be a failure is his friend Vogl, who as seen above, was instrumental to the success of *Erlkönig*. Sadly, there are no further explanations of why Vogl believed this in the available literature. Nonetheless, I believe Vogl, who was a successful professional singer before retiring, was far more able to gauge what would be necessary for an opera to succeed, having had firsthand experience himself. Thus, it can be suggested that the fact that he had warned Schubert as early as 1822 that the opera would be a failure, rather than merely saying the situation for a performance was not favourable, further exemplifies that the problems with it were immediately clear to an expert, and that these faults were created at some point during the composition process.

Despite these many problems with the opera and its scoring and context, regret is frequently expressed that both this and Schubert's other dramatic works were not more successful. This sense of regret is only heightened due to the clear documentary evidence that has survived showing that Schubert had great hopes for his opera and that his failure to compose successfully within the genre caused him great disappointment and distress.³¹⁷

This regret is often expressed through attempts to foreground the positive aspects of Schubert's writing and also to debunk the notion that Schubert was not an overall failure at composing for the dramatic medium and has been unjustly overlooked as a theatrical composer, instead having a few fatal flaws which have overshadowed his achievements. An example of why it is supposedly wrong to overlook the composer in this way is due to the fact that he actually used more manuscript paper on writing for operas and operettas than for all his lieder combined,³¹⁸ so therefore was not inexperienced. Nonetheless, this argument instead suggests to me that Schubert's failure in this genre clearly was caused by more than sheer bad luck or poor circumstances but

³¹⁶ See footnote 314 above.

³¹⁷ Peter Branscombe, 'Schubert and his Librettists. 1: Settings of Existing Librettos', *The Musical Times* (Vol. 119, No. 1629, Schubert Anniversary Issue, Nov., 1978), 943

³¹⁸ P. Reinhard van Hoorickx, 'Les opéras de Schubert', *Revue belge de Musicologie*, (Vol. 28/30, 1974-1976), 238

was down to a systematic failure during the composition process. To say that Schubert had experience of composing dramatic works shifts the focus away from the main point; that he in actual fact had no experience of the practicalities of opera beyond the score, having only had the short *Singspiel Die Zwillingsbrüder* performed previously. This clearly affected the anticipation process as he could only work towards completing the music and not for its performance.

The composition process for this opera, as described above, was slightly unusual in that Schober and Schubert wrote the libretto and music whilst together on an extended trip away from Vienna. In this way the intersubjective relationship at the work's conception was in actuality between Schubert and Schober, both of whom were working towards a common object of creating an opera. As such, it is not unrealistic to suggest that neither of the men truly anticipated an opera performance which was to engage with many parts of the chain of communication, since neither of them would have had any experience of what was needed to get an opera of this scale performed successfully. Indeed, the reasons given above for the opera's failure such as the poetic metre of the libretto and the lack of dramatic highlights further demonstrate that neither of the creators could successfully anticipate the ideal listening situation of the work. This problem would very likely have been compounded by the lack of criticism from external sources, since they were, by their own admission writing with 'very happy enthusiasm but in very great innocence of heart and mind'³¹⁹ leading to a friendship which 'was too comfortable, without a critical edge.'³²⁰ Similarly, the way in which the two shared and discussed their ideas with one another immediately after writing prevented them from achieving any objective distance from the work, which again would prevent problems from being identified and remedied. This would in this way also create an introversive intersubjective relationship rather than the necessary outward-facing one that could engage across the chain of communication. This is made even more apparent when one considers that Vogl, as discussed above, could see that the opera would be a perfect failure due to his past first-hand experience of what was needed for an opera to achieve in the theatres in Vienna at this time. Nonetheless, unlike with the *lieder*, Schubert had separated himself from the close circle that helped him to anticipate the needs of *lieder* audiences and so could not rely on their help. To further

³¹⁹ Schober writing to Ferdinand Schubert (draft), 18th March 1848 in ed. Deutsch, *Schubert: Memoirs*, 420

³²⁰ John Warrack, *German Opera: from the Beginnings to Wagner*, 314

worsen this situation, many of the composer's friends then encouraged him by suggesting that the opera would be eventually be successful, rather than, as with the lieder, giving practical assistance and advice (often albeit without expressing themselves didactically) to help this become an actuality.

As demonstrated by the issues discussed in relation to the diagram on page 82 above, at the anticipation point of the opera, neither Schubert nor Schober could really build their expectations correctly since they did not have great enough knowledge about the context of how an opera would be performed. In Schubert's case, his only previous dramatic works to have been performed were short and of a different genre. However, as rightly pointed out by John Warrack, had Schubert 'possessed dramatic genius, none of it would have mattered,'³²¹ sadly, since he did not, a successful anticipation process was needed instead.

It has therefore been shown in the two sections above that the anticipation process undertaken by Schubert was critical to the success or failure of his lieder and operas. However, these are just two examples of extremes that can clearly be categorised as successes or failures, a phenomenon that is certainly not true for all of the composer's works, such as the symphonies.

2.3.3 Schubert the Symphonist: Two C major Symphonies (D589 & D944)

Whereas Schubert is most famous for his lieder, a good deal of his modern day reputation is built upon his symphonic works, in particular the Symphony No. 8, 'Unfinished' and to a slightly lesser extent the Symphony No. 9, 'The Great.' However, to his contemporaries he was not renowned as a symphonic composer at all; never having a symphony publicly performed in his lifetime. Perhaps more tellingly, throughout his whole documented life he never entered into any meaningful correspondence with any of his friends or family about any of his symphonic compositions, a notable contrast to his lieder and dramatic works. This fact is frequently discussed within Schubert studies which suggest that he considered his symphonies and operas to fall within a separate category of musical composition to his other works.

Indeed, in a letter to a publisher Schubert separates vocal pieces and chamber music from 'three operas, a Mass and a symphony' calling these 'strivings after the

³²¹ Ibid, 299

highest in art.³²² Griffel suggests this is because he felt these offered a chance for him to 'link his name to those of Haydn, Mozart, and...Beethoven.'³²³ Thus in this way Schubert could compose for posterity or prestige rather than just for contemporary audience consumption, a suggestion very much backed up by both the evidence of Schubert's attitudes and the compositional fabric of the symphonies. The fact that Schubert put considerable effort into getting his operas performed but did not do the same for his symphonies shows how he was composing the operas in the hope of gaining prestige through performance. This was clearly not the case for his symphonies.³²⁴

Schubert completed seven symphonies, as well as composing other fragments such as the famous 'Unfinished',³²⁵ and writing other sketches and drafts which are in various stages of completion. The first six symphonies were composed between 1813-1818 whilst Schubert was still very young. The Symphony No. 1 in D major was even composed for his school orchestra, whilst the other symphonies, if being performed at all, would have been part of *Tafelmusik*-like private performances.³²⁶ Records do exist of performance materials in the archives for the *Gesellschaft der Musikfreunde* for all of these early symphonies with the exception of No. 4, but these were not for public performances.³²⁷

This section briefly examines the Symphony No. 6 in C major and the so-called 'Great', also in C major, to show the importance of considering an anticipatory process when examining the aesthetic reception of works.

The Symphony No. 6 was completed in 1818, and may very well have been performed privately by Otto Hatwig's orchestra, with whom Schubert performed.³²⁸

³²² Schubert to B. Schott's Sons, 21st February 1828 in ed. Deutsch, *Schubert: a Documentary Biography*, 740

³²³ L. Michael Griffel, 'Schubert's orchestral music: strivings after the highest in art' in ed. Gibbs, *The Cambridge Companion to Schubert*, 193

³²⁴ This attitude is completely different to that shown by Haydn in his London symphonies, demonstrating the remarkable shift in compositional attitudes in just a 20-25 year period, a shift which in turn affected what composers would consider at the anticipation point of composition.

³²⁵ Discussions as to the degree of completion and reasoning behind Schubert's incompletion of this and other symphonic fragments are for the most part unnecessary for my arguments; however Brian Newbould, *Schubert and the Symphony: A New Perspective* (London: Toccata Press, 1992) offers interesting starting points for a full overview of the matter.

³²⁶ David Wyn Jones, *The Symphony in Beethoven's Vienna* (Cambridge: Cambridge University Press, 2006), 143-144

³²⁷ Otto Biba, 'Schubert's Position in Viennese Musical Life', *19th-Century Music* (Vol. 3, No. 2, Nov. 1979), 108

³²⁸ Brian Newbould, *Schubert and the Symphony*, 136

This is the last of Schubert's six symphonies to be composed before a break of seven years during which no more complete symphonies were composed.

However, the 'Great' symphony, most probably composed in 1825,³²⁹ was to mark a change from these smaller private undertakings by becoming the first of his symphonies to be written in a more developed individual style as well as being larger in both length and forces required. There is a good chance it was also written with the hope of some sort of musical performance since an extant letter replying to the composer from Moritz von Schwind in 1825 refers to a strong likelihood of a performance of the symphony, although Schubert's letter to him is unfortunately lost.³³⁰ The score then was sent to the *Gesellschaft der Musikfreunde*, who rehearsed the symphony but never had it publicly performed.³³¹

However, whether or not this symphony can be so simply separated from the others on the strength of this evidence is not clear, since there is some confusion over whether or not it was intended to be performed publicly by the Society or if they just rehearsed it for the composer's benefit. Sonnleithner wrote in 1861 that the Society had rehearsed the symphony in practices at the Conservatoire 'but it was provisionally put on one side because of its length and difficulty.'³³² Nonetheless, Otto Biba writes that 'the widespread belief that the musicians preparing...its premiere rejected it because of its unreasonable difficulties is false. The well-preserved records of the *Gesellschaft* make it clear that the work was never planned for an official public performance.'³³³ Brian Newbould, in his discussion of these passages, correctly points out that Biba's unqualified statement does not dispute Sonnleithner's report;³³⁴ however further clarification could prove to be of significant interest to the study of the symphonies.

The symphony was also clearly separate in the mind of Schubert, a fact mirrored in his sending the score to the Society as a gift and by his letter to the publisher referenced above, where he only mentions one symphony since he clearly viewed the previous six as juvenile works and thus, in common with other pre-1824 works, part of

³²⁹ There are many complications surrounding the dating of the symphony, which was probably completed in 1826 and revised afterwards. See Brian Newbould, *Schubert and the Symphony*, 208-214

³³⁰ Ibid, 212

³³¹ Ibid, 212-213

³³² Leopold von Sonnleithner to Selmar Bagge, Published 26th January 1861 in ed. Deutsch, *Schubert: Memoirs*, 431

³³³ Otto Biba, 'Schubert's Position in Viennese Musical Life', 108

³³⁴ Brian Newbould, *Schubert and the Symphony*, 214 fn

‘a pre-professional series, unworthy of appearing in public bearing his name.’³³⁵ Clearly in this symphony Schubert had developed to a point in his symphonic writing where he felt satisfied that the symphony could enter into the public domain in some way.

One final contextualisation is necessary when examining the anticipation process undertaken by Schubert for his symphonies and that is the influence of past composers such as Haydn and Mozart as well as the role played by the looming figure of Beethoven at the time the ‘Great’ was composed. In the early nineteenth century the symphony was starting to hold an important aesthetic status within culture and a far greater recognition of symphonic heritage and achievement was coming to the fore.³³⁶ In Vienna in particular, from 1819, symphonic life in public concerts became stable and durable with the presence of Beethoven’s symphonies at performances being so frequent as to be ‘overwhelming.’³³⁷ Obviously, much more could be said on this cultural backdrop but it is enough to state here that this was the broader symphonic culture within which Schubert had to compose, one tempered by knowledge and appreciation of past symphonic greats whilst very much under the spell of Beethoven’s genius. This was particularly the case as one of the main promoters of the symphony within Vienna at the time, the *Gesellschaft der Musikfreunde* ‘was clearly anxious to promote the symphony as a genre but it laid greater emphasis on the past than on the future.’³³⁸ As such, Vienna had a thriving symphonic performance culture, but lacked a similar commitment to the development of new symphonic compositions.

One must also bear in mind that Schubert’s own musical experiences would have been very much focussed on performances by his school orchestra of old masters such as Haydn, Mozart and Kozeluch. He was a member of this orchestra, and later would have had growing experiences as a listener and possibly performer of other composers including Beethoven through his membership of the *Gesellschaft der Musikfreunde*.³³⁹

In this way it can be suggested that in the ‘Great’ symphony Schubert was not just composing for the gratification of a specific audience, but to connect back to the great Viennese masters before him as well as to engage with the contemporary

³³⁵ John M. Gingerich, ‘Unfinished Considerations: Schubert’s “Unfinished” Symphony in the Context of his Beethoven Project’, *19th-Century Music* (Vol. 31, No. 2, Autumn 2007), 104

³³⁶ Mark Evan Bonds, ‘Symphony, §II: 19th century’, in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/27254pg2>> Accessed March 7th 2011

³³⁷ David Wyn Jones, *The Symphony in Beethoven’s Vienna*, 184

³³⁸ *Ibid*, 189

³³⁹ *Ibid*, 143, 205-206

symphonic status afforded, for the main, by Beethoven. In addition to this it is most likely he would have wanted to compose for posterity, so as to position himself within the historic tradition he saw thriving around him.³⁴⁰ This argument is strengthened when it is considered how the symphony, especially due to its lengthy preparation time, difficulty in performing and high performance costs, offered no commercial gain for composers, and as such was 'seen as a means of achieving fame, but not fortune.'³⁴¹

The two symphonies in C major can therefore be seen to be extremely different, with one a small, private undertaking which Schubert did not even attempt to get into the public domain and the other a composition which he was proud to write about and felt sufficiently happy with to send to a prestigious music society and hope to get performed. In this way it is possible to say that the two works were written with entirely different aims: the Symphony No. 6 for the compositional development of a young composer and the 'Great' to establish a more mature composer within the line of great symphonic composers. The differences between these two symphonies are presented in Table 2.3 below.

³⁴⁰ Thus it can be seen that at this historical point there is a growing tension between composing for immediate popularity and ensuring a prestigious posthumous reputation. This phenomenon is often seen to reach its worst in the struggles of Johannes Brahms who spent years trying to resolve these tensions in his own symphonic works. George S. Bozarth and Walter Frisch, 'Brahms, Johannes', in *Grove Music Online. Oxford Music Online*

<<http://www.oxfordmusiconline.com/subscriber/article/grove/music/51879>> Accessed March 25th 2011

³⁴¹ Mark Evan Bonds, 'Symphony, §II: 19th century', *Grove Music Online*

	Symphony No. 6	‘Great’
Expected Performance Situation	Possible private performance	Intended for public performance
Aims	Compositional development	Creation of symphonic reputation; posterity
Early 19th Century Outcome	Deemed suitable for posthumous performance in 1828. ³⁴²	Deemed unsuitable for performance until 1839. ³⁴³
Long-term Outcome	Only occasionally found in symphonic repertory although not completely unperformed.	Second only in popularity to the ‘Unfinished’ and seen as part of the core Schubert repertoire.
Duration	c. 32 minutes	c. 60 minutes
Style	Influenced heavily by Haydn, Beethoven and Rossini. Classicism.	More developed individual style combined with elements of Classicism. ³⁴⁴

Table 2.3: An overview of the two C major symphonies

Literature concerning the composer and his symphonies often paints a bleak picture of an ‘unfulfilled’ composer who struggled against his contemporary situation in an attempt to get recognition as a master composer,³⁴⁵ a picture which despite some factual basis has been turned into myth and exaggerated.³⁴⁶

However, the table above shows that Schubert was not such a failure with the ‘Great’ symphony as the facts concerning performances would suggest. This is because he considered a very broad field of reception during his anticipation in the compositional process: that is to say that rather than composing for an audience he composed for an ideal listening situation which would include an audience with an awareness of the perception of his relationship to Haydn, Beethoven and other symphonic greats. In this way therefore the symphony has actually been successful since it has survived the test of posterity and has become part of the same repertory as the symphonies of Mozart and Beethoven. Nonetheless, it does reflect a growing tension in symphonic music from this period onwards; a tension between the needs of orchestras and practical music-making and composer aspirations with reference to a tradition. This tension of course led to situations whereby new works would just no

³⁴² David Wyn Jones, *The Symphony in Beethoven’s Vienna*, 189

³⁴³ Ibid, 206

³⁴⁴ Brian Newbould, *Schubert and the Symphony*, 214

³⁴⁵ David Wyn Jones, *The Symphony in Beethoven’s Vienna*, 204

³⁴⁶ Christopher H. Gibbs, ‘“Poor Schubert”: Images and Legends of the Composer’, *The Cambridge Companion to Schubert*, 36-55

longer be able to be premièred to immediate success and acclaim, such as was the case with Haydn's London symphonies.

As such it can be concluded that Schubert did indeed contribute to the fact that his career was less successful than was hoped for by both his contemporaries and modern-day scholars. However, this was not entirely down to his lack of effort or pragmatism, as shown in the case of *Alfonso und Estrella*, but was rather down to his continued misanticipations of the performance situations of his works.

The Schubert works discussed in this chapter and the failures and successes of his anticipation of the chain of communication for each is presented in Table 2.4 below.

Composition	Successful Anticipation	Unsuccessful Anticipation
<i>Erlkönig</i>	The music and its poetry as a performance.	Needed much assistance from friends for publication.
<i>Alfonso und Estrella</i>	Failed to achieve any of the composer or librettist's aims, in particular because it was not performed and thus could not be the source of prestige.	Focussed far too heavily on creation of opera as an object and overlooked the necessary dramatic relationships between performers and audience in opera.
Symphony No. 6	Compositional development through engagement with existing models; pleasant music for private setting.	Not anticipated as a symphony for the public domain so cannot be said to be unsuccessful.
'Great' Symphony	Composing for posterity and to fix a place in the Viennese tradition.	Practicalities to ensure performance.

Table 2.4: Schubert's successful and unsuccessful anticipations in a selection of works

2.4 Conclusion

It can be seen from the discussions above that both Haydn and Schubert worked to anticipate the intersubjective relationships created by their music, with varying degrees of success. Thus, it can also be seen that both composers worked with varying degrees of success to create aligned chains of communication. For the works by Haydn discussed above, the composer successfully anticipated the intersubjective relationship between composer and performer and in so doing used this to create alignment within the chain of communication. This enhanced and shaped the aesthetic experience of the listeners and others forming part of the chain.

Schubert, on the other hand, was not so universally successful in anticipating these relationships, and consequently did not always create very well-aligned chains. In some cases, this did not greatly matter, such as in the case of his *Erlkönig*. For this lied, Schubert successfully anticipated performance relationships and his friends helped with the relationships necessary for publication. However, in the case of the wholly unsuccessful opera *Alfonso und Estrella*, Schubert created a misaligned chain of communication by being unable to anticipate the intersubjective relationship successfully. Furthermore, this chain has, despite more recent attempts to re-align it, remained so fundamentally misaligned that the work has not managed to become accepted as part of mainstream opera repertoire.

The fate of Schubert's Symphony No. 9, 'The Great', contrasts a great deal with that of *Alfonso und Estrella*. Here, Schubert composed with a broader intersubjective relationship in mind, that between him and future performers (and indeed listeners). Thus, in this way, Schubert worked to create a chain which was only posthumously aligned: that is to say that once the chain's context had altered and the symphony became understood in light of the history of the Viennese symphony and Schubert's life, the chain became sufficiently aligned for the work to enter the symphonic canon, as its composer very likely would have hoped.

The case studies above have shown that the compositional process is itself key to the construction of aesthetic experience; since anticipations made during it have an important impact on the way in which music is received and understood, not only during the period of its composition but during later historical periods as well. It was seen that the compositional process is best understood when viewed as being constructed from a set of relationships and networks between the composer, performer

and listener, since when a composer writes he or she does not so much anticipate the end-product as a score but as a set of relationships brought into play through the performance of it. It was also seen that this performance relies on certain conventions and contexts and an awareness of these also can help to understand why music is experienced as it is, by, for example explaining how Haydn's symphonies can be so much more immediately popular than those of Schubert.

As such, to examine the compositional process as closed upon completion of the score and of little importance to the understanding of music experience is thus to limit the impact had by performers, historical situations and tensions between composer's anticipations of different parts of the chain of communication.

3. The Performer's Role in the Construction of Aesthetic Experience

3.1 Introduction

The previous two chapters have examined the roles of the listener and the composer and have demonstrated the importance of examining their expectations and anticipations when developing an understanding of aesthetic experience. This chapter expands the work of these two chapters by further examining the relationships within the chain of communication, with a particular focus on the role of the performer.

In Chapters One and Two it was seen that despite some overlap between each role within the chain of communication, certain aspects could be isolated and described as being specific to the role of either the listener or the composer. The performer's role is not so easily described, as in many cases it is very difficult to separate much of what a performer does from aspects of the musical text that he or she is performing; that is to say the act of performing is hard to separate from the music being performed. Indeed, for the repertoire which can be said to form the Western classical canon the visibility and impact of the performer's role is often purposely obscured in order to allow the 'intentions' of the composer to be foregrounded. This can make it problematic to use many classical music case studies to examine the full potential of the performer's role in the construction of aesthetic experience.

For this reason, this chapter begins by using a popular music case study as the chain of communication is simplified within this example, since the performer acts as both composer and interpreter of the music. In this way, the musical 'text' is far more fluid than would conventionally be the case in present-day performances of classical music, as it can be altered for every single performance of the music. This is because there is no fetishized and supposedly authoritative text, and thus each performance of the work can be seen as equally authentic. This goes some way to overcoming the problem of examining the performer's role as a discrete entity, as alterations made for performances are automatically part of the performer's role, since there is no separate composer.

Similarly, in this popular music study, the band and the audience have a very close and often mutually beneficial relationship, with the behaviours of fans often mirroring those of the band and vice versa. In this way, it is possible to see the direct implications of the relationship between the performers and their various audiences, and

in turn to draw conclusions about how these relationships work to create stronger aesthetic experiences. In studying the intersection between performance and reception and in regarding them as closely interrelated, my approach expands many existing theories of performance, particularly those which see the listener as a socially situated, yet passive, recipient of music.³⁴⁷ Instead, this chapter shows how the communicative process between performers and their audiences can be a two-way one; with these communications affecting both performative aspects of the music as well as its musical content or 'text.'

In the same way, the performer's role resists generalisation, as it is often very specific to its genre and performance situation. For example, the performer plays a notably different role in a historically informed performance setting than at a glam rock concert. Of course, there are a few key elements of the performing process which remain the same even in remarkably different situations, which enables the tentative formulation of a theory of performance.

Existing musical performance studies have provided detailed examinations of the performer's role more generally, ranging from issues around the psychology of the actual performance itself to broader enquiries into the role that musical analysis can have in preparing for a performance. One particularly popular issue within such studies is how the performer should best engage with and perform historical music, and the broader consequences that performance decisions, such as whether to use historical instruments or not, have on the reception of the music.³⁴⁸ Other areas of performance studies aim to discover ways to analyse and understand performances, particularly as archived on audio and video recordings. This is in order to find methods to deal with a contemporary issue of an ever-increasing number of performance records.³⁴⁹

Despite this recent growth in the field of performance studies, one area that has not yet been adequately explored is how the role of the performer relates to and alters

³⁴⁷ Even more inclusive studies of musical performance such as Nicholas Cook's 'Between Process and Product: Music and/as Performance' do not fully explore the role of the audience. (*Music Theory Online*, (Volume 7 No. 2, 2001))

³⁴⁸ These concerns are exemplified by the collections of articles in John Rink (ed.) *The Practice of Performance* (Cambridge: Cambridge University Press, 1996) and John Rink (ed.), *Musical Performance: A Guide to Understanding* (Cambridge: Cambridge University Press, 2002)

³⁴⁹ Such as the work of the CHARM project, <<http://www.charm.rhul.ac.uk/index.html>> Accessed August 18th 2011. Another major project to examine performance was set up by the AHRC Research Centre for Musical Performance as Creative Practice, <<http://www.cmpcp.ac.uk/>> Accessed July 28th 2012

the aesthetic experience created by the performance, and how this role interrelates with the roles of the composer, if indeed there is a separate composer, and the listeners.

This chapter therefore addresses this gap in performance studies by using two case studies to develop a new theory of performance. The first of these looks at Procol Harum's 1969 song 'A Salty Dog,' which has been performed in three main versions throughout its long performance history, with these three versions straddling two different subgenres of rock. This change in genre, which is reinforced by changes both to the song's core elements and the ways in which it is performed, can be seen to meet with audiences' expectations and thus plays an important part within their construction of aesthetic experience. In this way, the case study also looks at how the fans are active participants in the construction of aesthetic experience, rather than passive recipients, and how the band mirrors the behaviours of a core group of fans to enter into a quasi-contract with them.

The second case study examines the work of the Early Music ensemble Red Priest, showing how the changes they make to the existing and mostly famous compositions by others privilege live performance and its reception above all other aspects of musical experience. In so doing, Red Priest bridge the historical gap between the composition and reception of Early Music by constructing a new chain of communication. This is a notable contrast to the mainstream of the historically informed performance movement with which they are compared within this case study.

Both of these case studies therefore look at the ways in which the chain of communication can be brought into alignment through the actions of the performers, especially in response to the expectations and behaviours of their listeners. In Procol Harum's case, this is through the mirroring of the behaviours of the audience and alterations made to the music in light of audience expectations, both of which pull the chain of communication into better alignment.

Red Priest similarly create an aligned chain of communication for their audiences, but rather than constantly altering an existing chain to ensure alignment, they construct a whole new aligned chain of communication which relates to, but is not identical to, the one of their historical repertoire's original reception.

3.2 Procol Harum

Procol Harum (commonly referred to as Procol) are one of the most misrepresented bands in British musical history, having a reputation as a one-hit wonder due to the phenomenal and enduring success of their debut single, 'A Whiter Shade of Pale.' This reputation obscures the true diversity of their music and the continued popularity of their other songs, which are often stylistically dissimilar to this single.

Procol Harum have in fact released eleven studio albums, the first *Procol Harum*, in 1967 and the most recent, *The Well's on Fire*, in 2003. In addition to these studio albums, they released nine live albums and DVDs between 1971 and 2012. Stylistically these releases are diverse, encompassing elements of rock, rhythm and blues and progressive rock whilst usually resisting simple categorisation into just one genre.

The history and evolution of Procol from the 60s until the present day is complex since their line-up has been extremely fluid, with a frequently altering membership which at times varied between a quintet and a sextet.³⁵⁰ These changes are very important when considering the chosen case study and therefore a brief look at the band's formation is necessary for the full context of the music to be understood.

Procol Harum were founded in 1967 and quickly settled to their first stable line-up of Gary Brooker on piano and vocals, Matthew Fisher on Hammond organ, Robin Trower on guitar, David Knights on bass and Barrie "BJ" Wilson on drums.³⁵¹ Gary Brooker is the band's primary composer, although Fisher and to a lesser extent Trower have both contributed material in the past. In addition to these musical performers, Procol have always credited lyricist Keith Reid as an equal member of the band.

The band had numerous line-ups between 1967 and 1977, with only Wilson, Reid and Brooker being band members throughout the entirety of this period.³⁵² Nonetheless, the band released ten albums in this time as well as continuing to perform until 18th October 1977.³⁵³ At this point Procol disbanded and the members pursued either other musical directions or other careers entirely.³⁵⁴

³⁵⁰ Including lyricist Keith Reid in both instances

³⁵¹ Peter Frame et al, 'A Graphical Pedigree of Procol Harum (Old Testament)', <http://www.procolharum.com/99/ph_pedigree1b.htm> Accessed May 7th 2011

³⁵² Ibid. The band also at times had a varying instrumentation

³⁵³ Ibid

³⁵⁴ Peter Frame, 'A Graphical Pedigree', <http://www.procolharum.com/99/ph_pedigree1b.htm>

Sadly, BJ Wilson died in 1990 following a long illness,³⁵⁵ an event which altered the sound of Procol considerably, since his drumming style had been very unusual and was highly valued by the band's fans. For example, his performances were particularly expressive since rather than just reinforcing the beat he would sometimes pull away from it to heighten the dramatic tension of the music.³⁵⁶ At the same time, he would sometimes give rhythmically unexpected or ambiguous performances which would add extra depth to the music.

His physical positioning was also a notable part of Procol's stage presence, as through his career he sat progressively lower to the ground, having to reach up to the drums when performing. This characteristic style was mocked by some for being over-exhibitionist. This can be seen in Steve Peacock's review of a 1971 performance of the band in which he says that 'at times Wilson thrashed about like an octopus in a hot bath, distracting your attention totally from anything else that was going on.'³⁵⁷ However, fans of the band thoroughly enjoyed watching BJ perform and in later years he was positioned at the front of the stage to the right hand side. This unusual positioning made BJ and his drumming a visual focus for the audience.

3.2.1 Three Versions of 'A Salty Dog'

'A Salty Dog,' which is the first track on Procol's third album, *A Salty Dog* (1969), was composed by Brooker and then put together with Reid's words.³⁵⁸ It was recorded by a line-up of Brooker, Knights, and Wilson with Matthew Fisher acting as the producer rather than playing the organ; as a consequence there is no organ part in the studio recording. Similarly, Robin Trower did not play on this studio recording as it has no guitar part. The recording also includes a string ensemble, whose part was composed by Gary Brooker. The song was released as a single in 1969, but failed to gain any real

³⁵⁵ 'Barrie Wilson: obituary from his local paper', <http://www.procolharum.com/99/bj_memorial2.htm> Accessed May 8th 2011

³⁵⁶ As Pete Solley (who was briefly a band member) said: 'The whole idea of Procol was you slowed down and sped up, 'cause that's what made it dramatic. That's of course one of the problems since BJ died - that all the drummers don't get the concept, the idea of not necessarily playing in strict time, but taking things up and down, and playing them more like an orchestra would play.' 'Pete Solley interviewed by Ron Smith', <<http://www.procolharum.com/pstxt1.htm>> Accessed May 8th 2011

³⁵⁷ Steve Peacock in *Sounds*, quoted from 'The 'Octopus in a Hot Bath' is born', <<http://www.procolharum.com/press3.htm>> Accessed June 8th 2011

³⁵⁸ This being the normal process for song composition in Procol's oeuvre, resulting in some problems as the words do not always fit the music (cf 'Broken Barricades' and 'As Strong as Samson'). Gary himself remembers that the words and music of 'A Salty Dog' were written in entirely separate processes, 'Procol Harum's Gary Brooker talks about songwriting to 'Songfacts', <http://www.procolharum.com/2010/101014_songfacts-gb-int.htm> Accessed May 9th 2011

commercial success reaching only number 44 in the UK singles chart.³⁵⁹ Despite the lack of success on this front the song became an instant favourite amongst fans and is still, according to the results of a survey conducted in 1998 and other informal evidence, the fans' most popular Procol song to date.³⁶⁰

The song has a long and complicated performance history, with three different versions of the song currently recorded and performed. The rest of this section will therefore take these three versions as its focus in order to show how the changes made to the song have both reflected and reinforced the context of its production and the band's relationship with their fans.

For this study I undertook an in-depth examination of a sample of eleven live and studio recordings of the song which were chosen to be as representative of the full breadth of stylistic changes as possible, as well as being distributed evenly through the song's long performance history. This sample was drawn from an initial survey of over twenty recordings, details of which are shown in Appendix D.

3.2.2 Studio Versions (Recordings a-m)

The first of these three versions, which I have for convenience labelled the studio version, are the recordings which reflect the main structure and performance style of the 1969 single. This recording of the song³⁶¹ is fairly simple with a strophic structure, and this is reflected in its performance which is very slow, (crotchet = c. 55), and can best be described as ebbing and flowing between gentle, exposed sung lines and more climactic verse endings, which are accompanied by soaring string orchestrations. Appendix D2 shows a lead sheet of the song and Table 3.1 below gives a structural breakdown of the music which also describes the features which cannot be shown on a lead sheet.

³⁵⁹ 'One-hit Wonders? PH in the UK Charts', <<http://www.procolharum.com/ukphchart.htm>> Accessed May 8th 2011

³⁶⁰ Roland Clare, 'Ian Chippett's Top Thirty poll, 1998', <<http://www.procolharum.com/topten.htm>> Accessed May 8th 2011

³⁶¹ Recording a

Bars	Features
In free time	Seagull sounds
1-4	Instrumental introduction. The seagull sounds continue to a fade out, but are now joined by crotchet piano and string chords. The string chords play the same chords as the piano, but in different inversions.
5-8	The first verse starts. A repeat of the piano and string chords, now heard with very gentle ship's bell sounds on the second quaver of each beat. A bosun's whistle is played on the final beat of bar 5.
9-13	The strings stop their crotchet movement to play a smooth accompanimental line, but remain harmonically parallel to the piano chords. The vocal line becomes more intense.
14-20	A powerful entry on the drum kit noticeably increases the tempo. ³⁶² The string parts soar above the vocal line. The verse concludes with a diminuendo and large decrescendo.
21-36	There are snare drum punctuations throughout the beginning of this verse, playing the rhythm seen in Example 3.2 on page 149 below. These lead into a more powerful drum part at the end of the verse, as in verse one.
37-40	Instrumental bridge
41-end	A snare roll leads into a reprise of material from the instrumental bridge, which moves to longer sustained chords before a tremolando. The seagull sounds return over this tremolando and draw the song to its conclusion.

Table 3.1: The main extra features of the studio recording (a) of 'A Salty Dog'

One particularly characteristic feature of the song is the use of suspensions, as can be seen in bars 2 and 4 on the lead sheet. This use of horizontal voice-leading techniques within an otherwise very vertical chord movement is highly reminiscent of a classical choral style and is an important feature which is expanded into more prominent elements in the other versions of the song.

The words of the song, which are reproduced in Appendix D3, do not suggest a simple narrative or interpretation, although they do have a narrative immediacy particularly enhanced by the balladic singing style of Brooker.³⁶³ Nevertheless, they are clearly and intentionally ambiguous; a characteristic feature of Procol Harum's work and one which crosses into the many different styles in which they perform.

Although a detailed exegesis of the song's words is not insightful, it is worthwhile briefly to describe a few salient features of them, especially since they form only one layer of the written text of the choral version, as will be discussed on pages 150-154 below.

³⁶² A tempo graph can be seen in Appendix D6 which shows how the tempo changes considerably throughout this recording of the song.

³⁶³ The balladic, first-person singing style also tends to suggest a different persona to that presented in later versions, particularly because of the other singers' presence on stage. Nonetheless, a full description of musical personae is beyond the scope of this case study, but will be expanded upon later in the chapter. Philip Auslander, 'Musical Personae', *TDR: The Drama Review*, (Volume 50, No. 1(T 189), Spring 2006), 100-119

Possibly the most immediately noticeable feature of the words is their ambiguity. This sense of ambiguity is enhanced by the use of smaller phrases within the verses which seem to make sense within themselves but cannot be related to any one broader reading of the text as a whole. This is apparent in the first line of the song, in which the simple narrative of a ship running into trouble is negated by the unemphasized 'run afloat'; clearly a non-sequitur since how could a ship run afloat rather than aground and even if it could, why would it be a problem that needs a call of 'all hands on deck'?

Despite this lack of clear meaning, the song's words are frequently read as a religious allegory,³⁶⁴ particularly due to the port of call being 'unknown to man' and 'no mortal place at all'. Both of these descriptions seem to point towards a religious interpretation of the text. In the same way, the 'seventh seasick day' can have clear religious connotations since the seventh day is the Sabbath in both Christian and Jewish traditions; yet once again this is deemed ambiguous by being described as 'seasick'.

Thus, the core materials of the studio versions characterise it as a simple yet emotionally charged song, which alternates between fairly stark moments of repose and fuller, climactic verse endings. The performances of this version all prioritise the vocal line and its narrative over the other parts, which, although spotlighted on occasions, always remain accompanimental in nature.

3.2.3 Orchestral Versions (Recordings n-p)

I have termed the second of the three versions the orchestral version. At times in its performance history it is almost identical to the studio version, although it is always performed with a full symphony orchestra rather than the small string section heard on the single. However, at other times it is quite considerably different from the studio version since it has more sophisticated orchestral parts for the strings, and uses woodwind, brass and percussion.

Procol first performed with an orchestra in Stratford, Ontario in July 1969,³⁶⁵ although no recordings were made. Thus, the first recording which includes an orchestra is found on the famous album *Procol Harum Live in Concert with the Edmonton Symphony Orchestra* which was recorded in November 1971 and released in 1972.


³⁶⁴ As seen on various websites, forums and reviews. See for example, Kendra Johnson, 'Faith and the Sea', <http://www.procolharum.com/99/asd_kendra.htm> Accessed February 14th 2012

³⁶⁵ 'Procol Harum 1969: Stratford programme', <http://www.procolharum.com/ph_stratford_prog.htm> Accessed May 27th 2011

The importance of this recording cannot be overstated as it set the benchmark for future collaborations between rock bands and orchestras, with the press at the time seeing the concert as fusing ‘the classics and rock into a firmer foundation than ever before.’³⁶⁶ The preparations for the concert and its recording had gone disastrously³⁶⁷ and so it was completely unexpected when the album was certified as a Gold record, spending nineteen weeks in the American album charts, thus proving to be Procol’s most successful album throughout their entire career.³⁶⁸ In this way, the album proved to Procol that their music worked well when performed with an orchestra and chorus, and indeed could be more commercially successful than recordings made by the band by themselves. The commercial success of this album, particularly in America, helped to give the band a reputation for symphonic collaboration which has remained to the present day, once more somewhat obscuring the rest of their output.

The orchestral version has not remained static, itself undergoing a series of changes pulling it further away from the sound of the studio version. In 1995 this culminated in the recording of *The Long Goodbye* by three London orchestras, an album which is subtitled the ‘symphonic music of Procol Harum’. This album is not strictly a Procol release, although Gary Brooker produced it and sings on most of the tracks, with six other band members (past or present) contributing as well. On this album, an extended version of ‘A Salty Dog’ is presented, with a new orchestral prelude composed by Darryl Way. Despite this album not strictly being a Procol Harum release, the orchestral arrangement and prelude from this recording have since been used by the band in at least one live performance and therefore can be considered a part of their oeuvre.³⁶⁹

The orchestral prelude is the most extended addition to the song throughout its performance history. This twenty four bar prelude starts with a sforzando ‘cello single-pitch entry followed by brief silence. After this, there is a tremolando in the low strings with a fast-moving legato clarinet line which alternates between two pitches. From the end of bar three the following motif is heard in the bassoon:



This is developed from the motif heard in bar 11 of the studio version and plays an important

³⁶⁶ Tony Steward in NME April 1972, quoted in liner notes to *Procol Harum Live in Concert with the Edmonton Symphony Orchestra*, Salvo: SALVOCD023, 2009 (extended re-release, original album released 1972)

³⁶⁷ Liner notes to *Procol Harum Live in Concert with the Edmonton Symphony Orchestra*

³⁶⁸ <http://www.procolharum.com/billb_charts.htm> Accessed June 10th 2011

³⁶⁹ For example, in recording t as shown in Appendix D1

role within this orchestral prelude. The second half of the prelude is characterised by more development, particularly in the brass which now take over the performance of the main motif, which is now harmonised. The prelude concludes with a short descending motif played in octaves in the strings which fall to form a bass under the extended main motif played by the brass; this motif is now performed *forte* and with full harmonisation. This moves to a dominant seventh chord which crescendos to a climax followed by a silence. After this silence the song continues as in the other versions but with a full orchestration.

This orchestral prelude differs from both the studio versions and the main body of the orchestral version of the song in a variety of ways, but especially through its symphonic complexity which contrasts heavily with the simplicity of the rest of the material. An example of this is the use of the rhythmically diverse contrapuntal lines, especially after bar 12. This complexity is also reflected in the technique of motivic fragmentation and expansion, such as heard in the treatment of the motif drawn from a melodic line of a verse, first heard in bar 3, as discussed above. Although this is a dominant motif within the rest of the song, it is only developed in the orchestral prelude, always appearing in its original form elsewhere. A similar technique can be noticed in the harmonisation of this motif, which contrasts with the monophonic voicing of the melody line in the rest of the song. In the same way, the sudden dynamic changes of the prelude contrast a great deal with the gentle ebbing and flowing material that follows it.

The alterations made to other sections of the orchestral versions also reflect a move towards symphonic complexity. For example, all of the fully orchestrated orchestral and choral versions of the song include brass fanfares which accompany the vocal part (Ex. 3.1).³⁷⁰

Brass

Voice

Up-on the se- venth - sea-sick day - we made our_ port of call

Brass

Voice

A sand so white - and sea so - blue -

Example 3.1: A reduction of a typical ending to verse 2 showing brass fanfares

³⁷⁰ Thus not including recording q, where no brass performers were present at the performance.

These fanfares are not present in any of the studio versions of the song and act as a realisation of the military signs hinted at in the rhythm section of the studio versions.

One such example of what is arguably a military sign is the use of the rhythmic cell shown below in Example 3.2. This rhythm, which is a rhythmic diminution of what Moore calls a ‘‘classical’ rock rhythm’³⁷¹ is not performed in the manner of a conventional rock drum rhythm, being heard only at certain points and never through the whole bar. As such, it seems to function more as a military sign, particularly when performed on the snare drum.³⁷² Thus, the fanfares seem not only to illustrate the military references of the words, but also make more explicit the signs that are hinted at in many of the studio versions.



Example 3.2: Rhythm frequently heard in studio versions

A similar trend can be heard in the music accompanying the vocal line ‘we fired the gun’ in verse three. The setting of this line includes no word-painting in some recordings, yet in others is accompanied by loud cannon shot imitations, with the other versions falling between these two extremes. Although not without exceptions the general pattern has been that earlier versions, particularly those of the studio version of the song, have less word-painting. In these earlier versions the main percussive features have been the tom-toms being struck on the offbeat or the use of the bass drum and cymbals,³⁷³ whilst in the later versions, these have gradually become louder offbeat timpani sounds, often followed by cymbal crashes, giving far more explicit word-painting.³⁷⁴

Orchestral features such as these work by developing an orchestral complexity out of the far simpler studio version of the song through the realisation of implied rhythmic elements into fully orchestrated parts and the increased use of word-painting techniques. These aspects work to reduce the song’s ambiguity since they help to construct a seemingly clearer narrative, which is more strongly related to the smaller

³⁷¹ Allan F. Moore, *Rock: The Primary Text*, second edition (Aldershot: Ashgate, 2001), 56

³⁷² This can be heard on recordings a; b; e; g; h; k and once on m. It is usually but not exclusively played on the drums. Recordings f and l have one clearly audible instance of this rhythm in the piano part.

³⁷³ Recordings f and j respectively.

³⁷⁴ For example, recordings p and s respectively.

units found within the song. Consequently, the way in which the song is experienced is also altered.

3.2.4 Choral Versions (Recordings q-t)

The final version of the song, which I have termed the choral version, is the most different from the original single and, as with the orchestral version, was first heard in a side-project, this time during two church fundraising concerts by The Gary Brooker Ensemble. These were performed with some other members of Procol Harum in Surrey and were recorded live for the album *Within Our House* (1996). This version has again been fully appropriated by Procol Harum, who frequently perform it live, although notably always with both a choir and an orchestra, never opting for a choir without an orchestra, despite there being no musical reason for this not to be a possibility.

The choral version moves the song further away from its progressive rock roots by making it even more symphonically complex. The alterations made to this version are immediately noticeable, with the opening chords arrested after just two bars only to return to the beginning of the progression, this time mirrored by a four-part chorus which chants similar material to the piano (Ex. 3.3.).

♩ = 55

Piano

SOPRANO
ALTO

TENOR
BASS

Non na-vis ac - ta hi - em - e por-tum po-sse ca-pi-et ni - si

Pno.

S.
A.

T.
B.

do-mi-num pa-trem fi - li-um-que et spir-i - tum - sanc - tum - -

Example 3.3: A reduction of the introduction of the choral versions

The choir is heard through much of the song, with chanting underpinning all of the sections except for the instrumental bridges and the corresponding instrumental section in the introduction. There are also more conventional ‘ooohs’ sung under the third and fourth lines of each verse. At the end of the song, the choir can be heard chanting the coda during the final play-out by the band, the words for which can be seen in Appendix D4. Clearly, the use of the choir in this version develops the implied classicism of the suspensions in the original song into an explicitly classical choral sound which has now become a key part of the song.

The use of a Latin text is particularly interesting since it can work on two different levels. As can be seen in Appendix D4, the Latin words describe a very clear religious allegory, that of a ship safely reaching its port by following the truth of the Father, Son and Holy Spirit. These words, when understood in their literal meaning, seem to take away the ambiguity of the English text being sung with them. That is

because words and phrases within the English text which could have been interpreted as an allegory now seem to be subsumed within the broader Latin allegorical context and thus seem less ambiguous. The ‘subtext of New Testament piety’³⁷⁵ added by the Latin text therefore functions to suggest a far less ambiguous meaning in the choral version of the song than heard in the orchestral and studio versions.

Nonetheless, it is unlikely that the majority of the song’s listeners would understand the literal meaning of the Latin text,³⁷⁶ and even if they could it is doubtful that they would be able to hear the Latin words clearly enough to translate them, since only the introduction and the coda are heard independently of the English text. In this way, the Latin text only really functions as a sign of religiousness, sung by a typical sacred music ensemble and occasionally including words that many would recognise as sacred Latin, even if they did not understand the exact meaning. On this level it is therefore almost irrelevant that the literal meaning is not understandable, since the psychological effect of listening to it would be the same, that is to say to enhance the religious and allegorical interpretation of the music.³⁷⁷

As a brief aside, there is one other example of Procol Harum using a Latin text in a song which originally contained only an English text, albeit in this case on a far smaller scale and for a slightly different effect. This is in some live versions of the song ‘Into the Flood,’ an outtake from the 1991 comeback album, *The Prodigal Stranger*, which was later released in Germany as a single.³⁷⁸

This song, which was originally quite short and used mainly just a verse-chorus form, is extended when performed live through the use of a short section sung by a capella choir followed by a longer section played only by the strings. In older versions of this song, such as heard in 1992,³⁷⁹ the choir just sings ‘ah’ to a very simple harmony section constructed around smooth, sustained falling lines and the subsequent suspensions and resolutions these create, characteristic of countless classical choral works.

³⁷⁵ Roland Clare, ‘Gary Brooker Ensemble, Aldershot, October 1997’, <<http://www.procolharum.com/aldershot.htm>> Accessed May 26th 2011

³⁷⁶ Of course, dedicated Procol fans could at later performances understand the Latin text, having had the opportunity to read the words and their translation online.

³⁷⁷ Indeed, Gary Brooker himself suggests that this was the purpose he added the text, see Clare, ‘Gary Brooker Ensemble’, <<http://www.procolharum.com/aldershot.htm>>

³⁷⁸ ‘Taking Notes & Stealing Quotes’ on ‘Into the Flood’, <http://www.procolharum.com/tn+sq/ps_0z_flood.htm>

³⁷⁹ As heard on the compilation album *Secrets of the Hive* (2008) which has a recording of the track as performed in Edmonton in 1992.

The newer versions of this song, as performed since 1996,³⁸⁰ add Latin words, orchestral accompaniment and a varied rhythmic pattern to this choral section, with the choir singing ‘*Gloria, Gloria, Gloria in Excelsis, Sanctus, Deus, Amen et Amen.*’ Clearly, this Latin does not make much sense or form any sort of narrative, functioning purely as a selection of common words recognisable as sacred Latin. As such, Latin in this song is used for effect, rather than because it adds anything significant to the music. However, it does show that, as with ‘A Salty Dog’, Gary Brooker clearly sees using such sections as a novelty which alters the way in which the music is experienced by audiences.

The structure of the choral version is the furthest away from the simplicity of the studio versions, since it includes the only material not to fit into neat four-bar units. The introduction is the best example of this, with its ten-bar structure subdividing into uneven units of two followed by eight bars, as seen in Example 3.3 above. This forces the opening progression to go back on itself, with bars three and four being an exact harmonic replication of bars one and two. This gives a slightly uneven and jolting effect, particularly when the simpler four-bar progression is known and expected.

Furthermore, the eight-bar chord sequence of the choral version’s introduction, which is harmonically identical to the first eight bars of each verse, takes the harmony too far from the material of the verse to be able to slide back up to a D-flat in the bass, as in the fourth and fifth bars of the studio versions.

To overcome this issue, the choral version has an additional bridge section, with identical material to that found between verses two and three, which successfully takes the material back to where it needs to be for the harmonies of the verse. In so doing, the extension of this section gives the music a far clearer and more stable tonal identity, because it reduces the relative amount of time spent on harmonic structures constructed on tritones. This lessening of ambiguity in the harmony of the opening reflects the broader changes heard in the music, such as its less ambiguous text and orchestration. As such the song can be described as moving from a simple yet ambiguous progressive rock song to a more complex, yet less ambiguous, symphonic rock song.

Despite the many changes to the song over its long performance history, the harmonic and melodic structures of the music remain almost entirely the same, as does much of the orchestration. The structure of the three versions can be seen in Table 3.2

³⁸⁰ Ibid and *In Concert with the Danish National Concert Orchestra and Choir* (2009), which was recorded in 2006.

below, with the roman type showing the sections found in all studied recordings and the italicized type showing sections found only in some recordings:

Bars (in length)			Section	Versions ³⁸¹
24			<i>Prelude (Symphonic)</i>	<i>p t</i>
<i>Free time and overlaps (sometimes entirely) with next section</i>			<i>Seagulls, cymbals or guitar (or combination)</i>	<i>a f j m n o r s t</i>
4	10		Introduction	a f j m n o p q r s t
4			<i>Instrumental Bridge</i>	<i>q r s t</i>
16			Verse 1	All
16			Verse 2	All
4	8		Instrumental Bridge	a j m n o p q f r s t
16			Verse 3	All
4	8	6? Free	Ending (material from bridge)	a f m n j p q r s t o
<i>Free time</i>			<i>As above with seagulls etc</i>	<i>a j m n o p r s t</i>

Table 3.2: The structure of ‘A Salty Dog’ as demonstrated in eleven recordings from 1969-2010

As can be seen from the table above there can be large differences between the lengths of different recordings and versions of the song, with over thirty additional bars of material in the longest version compared to the shortest. The relatively slow tempi of the recordings ensure that this extra structural length is a significant factor in the temporal experience of the music and contributes a great deal to the sense of increasing symphonic complexity in the longer choral and orchestral versions.

3.2.5 Musical Changes and their Broader Contexts

The alterations made to the music discussed above demonstrate that Procol Harum have used a variety of different performance styles in ‘A Salty Dog’ over its long performance history, ranging from the band-only recording of 1976,³⁸² which includes no real references to classicism, to the recent symphonic performance in Copenhagen which included the full orchestral prelude as well as a choir.³⁸³ The performances of the song can therefore be said to be scattered along the continuum between these two extremes. Although there has been a move towards the more symphonic end of the scale in more recent performances of the song, all three versions are still a valued part of

³⁸¹ See Appendix D1 for the key and a full description of each recording.

³⁸² Recording f

³⁸³ Recording t

Procol Harum's repertoire, with no sense of later versions superseding those preceding them chronologically.

The changes also have broader consequences for the experience of the song, operating not only at a localised level but affecting the overall sound, spectacle and appeal of the music. These musical changes can therefore be related to the broader contexts of the music's production and reception.

3.2.6 A Change in Genre: Progressive Rock and Symphonic Rock

One of the most significant of these broader contexts is the shift in the music's genre from progressive rock to symphonic rock. Nonetheless, even this seemingly straightforward description must be used with extreme caution, since Procol Harum cannot unproblematically be termed a progressive rock band, although this is often assumed. Furthermore, symphonic rock is not an accepted genre within musicology.

The term 'progressive rock' is frequently used in everyday discussions of popular music, yet as is often the case, its popularity as a term has not helped a clear definition for the subgenre of rock it describes to be reached. This is because there are many different musical attributes said to describe this genre, yet most progressive rock songs or instrumentals can only be said to match a few of these features, with many pieces crossing over into other genres and subgenres.

Despite this, key scholars of progressive rock do for the most part agree that the subgenre is characterised by musical complexity³⁸⁴ (for example such as heard in rapidly changing or irregular metres, contrapuntal textures etc.); virtuosity of both material and performance;³⁸⁵ lengthy musical forms;³⁸⁶ a serious attitude and a sense that the music's purpose is for listening (as opposed to dancing);³⁸⁷ eclecticism and experimentalism³⁸⁸ and finally the incorporation of elements more normally expected in an art music or Classical music tradition.³⁸⁹

³⁸⁴ John Covach 'Progressive Rock, "Close to the Edge" and the Boundaries of Style', in John Covach and Graeme M. Boone (eds), *Understanding Rock: Essays in Musical Analysis* (Oxford: Oxford University Press, 1997) 4; Edward Macan, *Rocking the Classics: English Progressive Rock and the Counterculture* (Oxford: Oxford University Press, 1997) 13, and Kevin Holm-Hudson 'Introduction', in ed. Holm-Hudson *Progressive Rock Reconsidered* (London: Routledge, 2002) 2

³⁸⁵ Covach 'Progressive Rock', 4; Macan, *Rocking the Classics*, 13; Bill Martin, *Listening to the Future: The Time of Progressive Rock* (Illinois: Carus, 1998) 103

³⁸⁶ Macan, *Rocking the Classics*, 13

³⁸⁷ Covach 'Progressive Rock', 4

³⁸⁸ Covach 'Progressive Rock', 4; Macan, *Rocking the Classics*, 22

³⁸⁹ Covach 'Progressive Rock', 3; Macan, *Rocking the Classics*, 13

This list marks out only some of the main features of the genre, yet goes far in demonstrating what is probably the most immediately noticeable aspect of the music that forms it, that ‘progressive rock is marked, above all, by its diversity.’³⁹⁰ Furthermore, it is not really possible to label bands or individual performers as falling into the genre of progressive rock, since it is more ‘a stylistic category that depends on characteristics to be found in the musical texts themselves.’³⁹¹

This is certainly true in the case of Procol Harum, whose music covers a range of genres, particularly rhythm and blues. Nonetheless, the studio recordings of ‘A Salty Dog’ can best be described as progressive rock, having some of the main characteristics of the genre, with only one recording arguably having less progressive rock features.³⁹² Even so, the song does not neatly fit into the genre, particularly when compared to the work of other, more conventionally progressive rock groups, although no other genre description seems to fit the music more comfortably, as shown in Table 3.3 below. As such, it is probably best to describe the music as being progressive rock, whilst simultaneously bearing in mind the difficulties associated with both the term and its usage.

Progressive Rock features	Non-progressive rock features
Use of a string ensemble and thus timbres associated with the art-music tradition.	Relatively short length
Ambiguous lyrics	Lack of complexity, particularly through the use of a 4/4 time signature and 4-bar units.
Attitude of seriousness; music for listening, particularly due to slow tempo.	Lack of virtuosity
Recitative-like vocal line ³⁹³	Simple strophic structure

Table 3.3: Features of the studio recording of ‘A Salty Dog’³⁹⁴

Whereas progressive rock is an ambiguous term which scholars struggle to define clearly, there have been no similar attempts to define symphonic rock, despite the term’s use both in academic discussions and far more widely on the internet. For example, in his Grove article on ‘Art Rock’, Robert Walser states that The Moody Blues ‘established a model for ‘symphonic rock’’ in their 1967 collaboration with the London Festival Orchestra,³⁹⁵ yet does not explain what characteristics best describe this model, nor is there a separate article explaining the term. Clearly, symphonic rock

³⁹⁰ Allan F. Moore, *Rock: The Primary Text*, 114

³⁹¹ Covach ‘Progressive Rock’, 7

³⁹² This being recording f, due to its use of the organ instead of string sounds

³⁹³ A feature of progressive rock commented on by Macan, *Rocking the Classics*, 39

³⁹⁴ Other performances of the studio version are even less conventional progressive rock, particularly through the use of the organ rather than string timbres.

³⁹⁵ Robert Walser, ‘Art Rock’, in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/49138>> Accessed May 28th 2011

is a term that has enough intuitive meaning to be used in the context of subgenres of rock, yet beyond this there are no established boundaries for the music it describes.

The use of the term ‘symphonic rock’ that seems to be most prominent within everyday usage is that which describes classical arrangements of popular rock and pop songs. In these arrangements there is usually some crossover between the genres of classical music and rock or pop, such as in the performances and recordings of the foremost performers of this type, the Royal Philharmonic Orchestra.³⁹⁶

However, the term ‘symphonic rock’ often seems to be a misnomer in this situation, as it is quickly apparent that the degree of crossover is often limited to the use of a drum kit playing with the orchestra or some spectacular performance style reminiscent of the large stage shows of some progressive rock artists.³⁹⁷

Within many musicological sources the term symphonic rock is passed over quickly as a synonym for progressive rock,³⁹⁸ a wholly unsatisfactory situation as it is not used in this way by most people who employ the term. This idea is extended by Stephen Caudel who describes how ‘since early in the history of progressive rock, the term has been used...to distinguish between more classically influenced progressive rock music... [and] the more psychedelic and very experimental offerings.’³⁹⁹ This definition is in itself wholly ambiguous, since progressive rock could, for example, be both classically influenced and very experimental at the same time.

Even so, the real strength of this definition is that it accepts that there can be a strong audible difference between two pieces of music which would otherwise both fit into the sub-genre of progressive rock. Thus, I argue that ‘symphonic rock’ can best be defined as progressive rock that has the following characteristics:

- An extended use of classical instrumentation with sophisticated orchestration. (e.g. functioning beyond conventional string effects or the addition of ‘novelty’ instruments).⁴⁰⁰
- The use of a recognisable rock ensemble.

³⁹⁶ Such as demonstrated in a recent concert at the Royal Albert Hall. ‘Royal Philharmonic Orchestra: Symphonic Rock’, <<http://www.royalalberthall.com/tickets/royal-philharmonic-orchestra/symphonic-rock/default.aspx>> Accessed May 31st 2011

³⁹⁷ A feature of progressive rock discussed by Macan, *Rocking the Classics*, 3; 61-66

³⁹⁸ See Kevin Holm-Hudson ‘Introduction’, 3 and Covach ‘Progressive Rock’, 3 for examples.

³⁹⁹ Stephen Caudel, <<http://www.symphonic-rock.com>> Accessed May 31st 2011

⁴⁰⁰ This can include a chorus, although I suggest this should be used in addition to classical instrumentation rather than instead of it in order to be ‘symphonic.’

- Both the rock ensemble and classical instruments should play a substantial and fundamentally important role in the overall construction of the music.

As can be seen from the above list, all symphonic rock can also be viewed as progressive rock, yet the same cannot be said in reverse.

The different recordings of 'A Salty Dog' are spread across the continuum of progressive rock, with recordings f and t lying at the two extremes, whilst still retaining some core elements in common. Indeed, of all the studied recordings of the song, only four can truly be described as symphonic rock, since the two earlier recordings which use an orchestra do so only with limited orchestration; clearly the orchestra are there for effect and spectacle rather than forming a fundamentally important part of the music.⁴⁰¹

Therefore, one of the main contrasts between the different versions of the song is the change in genre from progressive rock to its subgenre of symphonic rock. This change in genre works in three different ways: by revitalising an old song; appealing to a broader market and finally by mirroring the band's changing (and ageing) fanbase.

The change of genre heard in the different versions of 'A Salty Dog' can thus function as a revitalising of a song that is now over 40 years old. By altering the song, the band can ensure that the song remains fresh and appealing to existing fans whilst retaining enough familiar material for it to remain recognisable and popular. This is seen in the fact that the core material of the song remains unchanged throughout all the different versions and performances.

Nonetheless, far from being seen as revitalising older music, artists who cover their own songs in later recordings are seen by some as being lazy and self-indulgent. For example, George Plasketes describes how the use of self-covers can be seen as a 'superfluous and uninspired approach to interpretation, a sure sign of a songwriting slump.'⁴⁰² Yet, at the same time Plasketes concedes that in performing and recording self-covers, artists can create the 'possibilities for a new place for a song to be heard.'⁴⁰³

When Gary Brooker was asked in a 1997 interview about how his music keeps 'pushing back the boundaries and trying new things,' he responded by saying:

⁴⁰¹ This can be heard in recordings n and o, with recording n being a near reproduction of the studio recording with only a small amount of additional brass. Recording o is borderline symphonic rock, but again does not have the sophistication of later orchestrations such as heard in recordings p or t.

⁴⁰² George Plasketes, 'Re-flections on the Cover Age: A Collage of Continuous Coverage in Popular Music', *Popular Music and Society* (Vol. 28, No. 2, 2005), 154

⁴⁰³ Ibid

Well, what it is, is that I've been so busy I haven't had time to write anything new! That's the trouble. And one's thought, well, can't just play this the way we played it another time, let's get a new angle on it. And – I suppose it says something for the songs (that they stand up to new approaches). *A Salty Dog* has a different life now, particularly at the beginning. I've got a new slant on *Salty Dog* with the Latin verses. It's another angle, but I don't think I can think of anything else...⁴⁰⁴

The attitude shown here by Gary Brooker could merely be read as confirmation that the band is using self-covers to make up for a lack of creative inspiration and new material. However, it also expresses a belief that the fans of the music deserve to hear the song performed in a new and exciting way. Furthermore, by performing the song in the different versions, Procol have found new places for it in their repertoire, and these new places have in turn reflected the changing contexts of the song's reception, as will be discussed in far more depth below. Interestingly, Procol Harum have continued to use these new versions of the song well after Gary Brooker found the time to write an album's worth of new material for *The Well's on Fire* (2003). This clearly shows that re-arrangements of the song are still valued by both the band and its fans and are not being used as a substitution for new material.

The change in the genre of the music also mirrors the changing fanbase of the band. These fans can essentially be separated into two different groups: dedicated fans and casual fans. The casual fans are those who know some material by Procol, but are attracted to seeing the music performed live by the way in which it is marketed and presented. It is also likely that some of these people would remember the name Procol Harum from their youth, or just because of the popularity of 'A Whiter Shade of Pale,' and would thus be interested in seeing them at a crossover event. These fans and crossover marketing will be discussed in more depth below.

The alterations made to the song are of course most noticeable to the dedicated fans of the band and it can be argued that these are also the people who would most appreciate the experimentation with the song, since, as discussed above, it makes the music seem more exciting after many years of listening to similar performances of the same version.

Indeed, it is not only the band themselves who have chosen to experiment with original songs, but also a group of dedicated fans who perform, record and distribute

⁴⁰⁴ 'Gary Brooker, interviewed in 'Shine On,' August, 1997',
<http://www.procolharum.com/gb_so_int.htm> Accessed June 2nd 2011

their own experimentations with both music by Procol Harum and the band members' solo projects. This group of people who come from across the world are known as the Palers' Band⁴⁰⁵ and meet before and around Procol gigs to perform their experimentations, often joined by band members themselves.⁴⁰⁶

The music performed by the Palers' Band is extremely broad in its genres, instrumentations and structures. Some pieces retain many of the musical features of the original works, whilst others drastically re-compose the music with different harmonies, melodies and structures. Indeed, a few of the Palers' Band's tracks are new compositions inspired by aspects of Procol's music (such as the lyrics) and are in almost every aspect entirely different to the originals.

In this way, the work of these dedicated fans mirrors that of the band and also shows that experimentation with familiar songs is something that is extremely valued by both groups. As such, these fans form an audience who are far from the usual idea of a passive group of listeners, but are actively involved participants in the musical creation process.

The Palers' Band have also released three albums of their works and use the profits from the sales of these to fund 'Beyond the Pale', the semi-official Procol Harum website.⁴⁰⁷ This further highlights the importance of considering the audience as an active participant in the construction of aesthetic experience, as it shows the band and their fans entering into a symbiotic relationship which assists the development of the music.

Of course, the change in genre can also act as a marketing tool to appeal to a broader market, particularly for large live performances. Since 2003 and the release of *The Well's on Fire*, Procol have only given live performances and not recorded any new material. Similarly, the only recordings that have been released are live CDs, live DVDs and live download-only albums. Therefore, the focus has been very much on live performance and recordings thereof. This means that the change in genre becomes a useful way in which to sell these different recordings of the same song, an unsurprising technique since, as demonstrated by Negus, popular music genres have always been

⁴⁰⁵ 'This is the website of the Paler's Project', <<http://www.palersproject.com>> Accessed June 2nd 2011

⁴⁰⁶ 'The Paler's Band.....what is it?', <http://www.procolharum.com/palers_band.htm> Accessed June 2nd 2011

⁴⁰⁷ 'Contribute to the forthcoming Paler's Project album', <<http://www.palersproject.com/forthcoming.htm>> Accessed June 2nd 2011

closely related to the commercial side of music consumption, in addition to other musical and sociological factors.⁴⁰⁸

It is doubtlessly the larger-scale symphonic concerts which, through their very nature, attract larger crowds and thus appeal to a wider range of people. Amongst some of Procol's largest concerts were the 1973 concert at the Hollywood Bowl (capacity nearly 18,000)⁴⁰⁹ and two gigs at Ledreborg Castle (capacity around 10,000).⁴¹⁰ It is interesting to note that even in 1973 Procol Harum used collaboration to fill such a large stadium, with true A-list bands such as The Beatles selling out the whole venue in hours by themselves.⁴¹¹ Although some of the venues used for band-only gigs have also been fairly large, such as the South Shore Music Circus (capacity 2,250)⁴¹² and Tarrytown Music Hall (capacity 843)⁴¹³ these are obviously on a different scale to the venues which Procol can fill through collaborating with other ensembles.

To be able to offer an interesting symphonic spectacle, the original music needs to be adapted to the larger ensembles with which Procol collaborate. In particular, the arrangements need to showcase everyone involved; this is especially true of events after the reformation of the band in the 90s, since admittedly Procol could no longer rely on any sort of chart success or their own publicity to draw in spectators. As such, the change of genre in the music can be seen as a necessary alteration if large-scale symphonic concerts are the desired creative output.

The way in which Procol Harum's live concerts are advertised shows a similar crossover trend. For example, the advertising material for the Hollywood Bowl gig of 1973 presented on page D11 of Appendix D gives the orchestra equal billing to the band and is worded in the style of a formal invitation. It also shows Procol (including lyricist Keith Reid) dressed not as rock stars but in top hats, images which tie in with the artwork for their 1973 album, *Grand Hotel*, some of the music of which showcases the more symphonic side of the band's repertoire. The fact that the band wears these outfits is interesting as it not only instantly links the live performance to commercially

⁴⁰⁸ Keith Negus, *Music Genres and Corporate Cultures* (London: Routledge, 2002), 57

⁴⁰⁹ 'Hollywood Bowl Seating Chart, Hollywood Bowl Tickets, Hollywood Bowl Map', <http://www.gotickets.com/venues/ca/hollywood_bowl.php> Accessed June 4th 2011

⁴¹⁰ 'Procol at Ledreborg Castle, 19 and 20 August 2006',

<http://www.procolharum.com/006/ledreborg_index.htm> Accessed June 4th 2011

⁴¹¹ 'History- Rock & Pop', <<http://www.hollywoodbowl.com/philpedia/hollywood-bowl-history/rock-pop.cfm>> Accessed June 30th 2011

⁴¹² 'The South Shore Music Circus – Seating', <<http://www.themusiccircus.org/find-my-seat.php>> Accessed June 4th 2011

⁴¹³ 'Rental Info', <<http://www.tarrytownmusichall.org/rentalinfo.html>> Accessed June 4th 2011

available recordings, but is simultaneously suggesting that the band has connections with a high-art style.

Similarly, the brochure presented on page D12 in Appendix D advertises Procol Harum as ‘one of the most influential symphonic rock bands in history’, thus here the change to the symphonic rock genre is the underlying premise of the whole advertising campaign. This is a direct contrast to the poster used to advertise Procol’s 1995 tour of the UK, for which they used neither an orchestra nor a choir. This is reproduced on page D13 of Appendix D. This is heavily focused on the band’s hit, ‘A Whiter Shade of Pale’, particularly through the use of an image of a young woman, as associated with the single due to its lyrics.

This helps the music to appeal to the casual fans since it markets the music in ways that seem instantly accessible to them, such as by drawing on their memories and appreciation of ‘A Whiter Shade of Pale’. In the same way, by using crossover marketing techniques for their symphonic rock performances, the fact that casual fans may not know much music by Procol Harum becomes secondary to the appeal of the spectacle and approachable classicism of a large-scale symphonic event.

3.2.7 ‘A Salty Dog’ as a Memorial

Another important aspect of the changes in the music can be seen when the song is examined within the context of Barrie Wilson’s death and the desire of both the band and the fans to remember him. For many fans, the studio recording of ‘A Salty Dog’ was one of the finest achievements in the drummer’s recording career and thus listening to this version reminds them of him.⁴¹⁴ Similarly, Gary Brooker also uses the song as a way to remember BJ, by mentioning him in interviews and anecdotes about the song’s composition and history:

It [‘A Salty Dog’] was made great ... by BJ Wilson ... I must say that. He’s the only one who could have played drums on it, really there is no drums on *Salty Dog*, but BJ *made* drums for it.⁴¹⁵

He [Gary] played it the first time to B.J. on a dark day in a London flat on the piano. When the music filled the room, suddenly a sunbeam came through the

⁴¹⁴ Such as mentioned by three different fans at a BJ tribute page ‘BJ fan tributes’
<http://www.procolharum.com/bj_fantributes.htm> Accessed June 6th 2011

⁴¹⁵ ‘Gary Brooker interviewed at Gryon, June 1998’
<http://www.procolharum.com/gb_bourdon_acb.htm> Accessed June 6th 2011

window and fell on Barrie's face to stay there. When Gary finished he said to him that it was the most beautiful song he ever heard.⁴¹⁶

In the same way, Gary often introduces the song in live performances as either being for friends who have passed away in general or more specifically for BJ.⁴¹⁷

The addition of the sacred Latin text to the song can then be seen as reflecting this change in the song's position and meaning within the band's broader repertoire, since it makes more explicit a meaning of life as a journey towards heaven; a message which is clearly comforting to fans and friends of BJ. Although of course this change is only made to the choral version of the song its broader influence would by association affect the way in which the other versions of the song are experienced by the fans who know of the choral version. Indeed, in the performance of the song in Moscow in 2009⁴¹⁸ the coda of the Latin text was included in the band-only version, which shows that the boundaries between the different versions have started to overlap.⁴¹⁹

Of course, it is not in any way unusual that a band that has lost one of their core members should choose to alter their repertoire after such an event. In the case of 'A Salty Dog' it is likely that the band did not want to continue performing the song in the same way and also realised that the fans would not want to hear the song performed as though nothing had happened. Further evidence of this is found by comparing pre- and post-BJ recordings of the song, the latter having a drum part that has been simplified and plays a far more background role than the recordings from the 60s and 70s. The tempo graphs in Appendix D6 give a visual demonstration of this, showing how much the sound of the band has moved away from the characteristic tempo changes caused by BJ's entries near the end of each verse. This can clearly be seen when comparing the sinusoidal shape of the curve in the recording with which BJ is most commonly associated to the more consistent tempo which is characteristic of later performances.

In the same way, Procol withdrew the song 'Power Failure' from their live repertoire entirely after BJ's death, since it was constructed around a very characteristic BJ drum solo, particularly through the extended use of the cowbell. The band now uses

⁴¹⁶ An anecdote told to Michael Ackerman, <<http://www.procolharum.com/bjtxt2.htm>> Accessed June 11th 2011

⁴¹⁷ As heard at numerous Procol Harum performances, see reviews such as 'AOL reports from Redhill', <<http://www.procolharum.com/redhill10.htm>> Accessed June 6th 2011

⁴¹⁸ Recording j

⁴¹⁹ Recording t also has a similar feature, using the orchestral prelude before the choral version of the song.

the song ‘Whisky Train’ as the drummer’s showcase, which now includes an instrumental section not heard in the original recording.⁴²⁰

3.2.8 ‘A Salty Dog’ and its Audiences

The alterations made to ‘A Salty Dog’ and the main purposes and functions of these are summarised in Table 3.4 below.

Alteration	Purpose and function
Performing forces	Add novelty; increased experimentation; crossover appeal; larger spectacle
Orchestration	Add novelty; increased experimentation; crossover appeal; lessen ambiguity
Text	Add novelty; lessen ambiguity; shift the role of the song within Procol’s oeuvre
Structure	Increased experimentation; crossover appeal
Genre	Increased experimentation; crossover appeal; shift the role of the song within Procol’s oeuvre

Table 3.4: Overview of the alterations made to ‘A Salty Dog’

As such, the music acts as a kind of contract between the band and their fans, with alterations such as the change in genre mapping the changing tastes and desires of Procol’s core fanbase whilst simultaneously reaching out to new fans. This acts as a means of alignment within the chain of communication, with the performers reacting to changing listener expectations.

This demonstrates the importance of the performer’s role in the construction of aesthetic experience, since it is a privileged role that has the opportunity to update and alter the music in a way that is far from practical for a composer. Nonetheless, many classical performers are not given the opportunity to alter the music that they perform beyond a restricted set of boundaries that are largely set by audience expectations and commercial pressure, in part due to the text fetishization that surrounds the more commercially viable music of the ‘great composers’ as discussed in Chapter One.

The performer can therefore be said to be constantly mediating the desires of themselves as musicians, the fans, the broader audiences and the very situation of the music’s performance. This goes beyond existing theories of the role of performance and recordings in rock music, such as put forward by Philip Auslander, who sees recordings as the ‘primary object of rock music’, with live performance only being a means to sell these recordings.⁴²¹ As has been shown above, this is certainly not true in the case of

⁴²⁰ ‘Taking Notes & Stealing Quotes’ on ‘Power Failure’,
http://www.procolharum.com/tn+sq/bb_la_power.htm Accessed June 7th 2011

⁴²¹ Philip Auslander, *Liveness: Performance in a Mediatized Culture* (London: Routledge, 1999), 62-63

Procol Harum, who use live performance as a way to experiment with the expectations of the fans as well as a way for the broader context of the music and its consumption to be reflected and communicated.

To conclude, this case study moves away from the conventional idea of the listener or audience as a passive recipient of the music, instead showing them to be an active participant in the construction of aesthetic experience. This results in a two-way communicative process being formed between the performer and the listener, further expanding the flow of the chain of communication, as shown in Diagram 3.1 below.

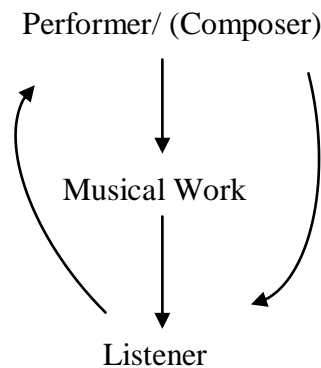


Diagram 3.1: A chain of communication showing a two-way communicative process

This diagram therefore shows how there are in fact two different sets of relationships between the performer and the listener. The first of these is mediated through the musical work and its performance, and the second is a more direct relationship. However, these two relationships are in turn related to each other, since, for example, the expectations that performers have of listeners can affect their performance of musical works, and vice versa.

It is important that these relationships are taken into account when examining the construction of aesthetic experience, as it is the aligning practices that result from understandings of these relationships that can be used to enhance the aesthetic experience of listeners and performers. This will be discussed in the chapter's conclusion.

The next case study within this chapter extends these ideas by looking at the way in which the aesthetic experience of listeners can be enhanced when performers create a new aligned chain of communication, rather than working to align an existing one which straddles different historical periods.

3.3 Red Priest

The second half of this chapter examines the work of the Early Music ensemble Red Priest, who through their charismatic and spectacular performances privilege the role of the performer within the chain of communication, which in turn affects the broader reception and experience of their music.

Red Priest is an atypical Early Music ensemble, currently formed of Piers Adams (recorders); Julia Bishop (violin); Angela East ('cello) and David Wright (harpsichord). This line-up is relatively new, with the previous harpsichordist, Howard Beach, stepping down from the ensemble after many years in January 2011.⁴²² This could greatly affect Red Priest's future re-compositions and performances, since Howard Beach was responsible for a great deal of their work after he joined the ensemble in time to record their second album, *Red Priest's Vivaldi, "The Four Seasons"*.⁴²³ Furthermore, at the time of writing the new line-up have not written any new material together, or indeed performed in the UK enough to examine this new creative phase. As such, this chapter focuses predominantly on Red Priest's work between 2003-2010. I attended various Red Priest performances during this period as well as interviewing Piers Adams in 2009, a transcript of which is included in Appendix E1.

The ensemble plays repertoire drawn almost entirely from the Baroque era although occasionally they have also performed earlier music or pastiche compositions. In addition to this, the group do not limit themselves to the performance of trio sonatas or other works in four parts, instead significantly recomposing existing scores, ranging from solo works to concerti, to suit their instrumentation and performance requirements.

Red Priest ensure that their role as performer in the chain of communication is fully exploited to maximise the aesthetic experience of the listeners in a variety of different ways. All of these methods can then be related to the listeners' own expectations and, as was discussed in Chapter One, the need to bridge the historical and cultural gap created when performing historical works in a present-day setting. As such, they engage with many of the same issues as the historically informed performance (HIP) movement, yet, because of their very different performance style have an uneasy relationship with this movement. Before these further effects of Red Priest's

⁴²² 'Red Priest- Biography', <http://redpriest.bandzoogle.com/fr_home.cfm> Accessed July 12th 2011

⁴²³ E-mails and conversations with Piers Adams and Howard Beach

performance style can be discussed, it is of course important to describe exactly how Red Priest perform and the broader effects that their performance style has on the understanding of the music as well as briefly reviewing the HIP movement and its cultural positioning today.

3.3.1 The Historically Informed Performance Movement

HIP first became a powerful creative force in the 1960s.⁴²⁴ It developed mainly as a breakaway movement which was concerned with the prevalence of Romanticised and mainstream interpretations of Early Music, which it believed took too many liberties with the sound and scores of the historical music.⁴²⁵ It was originally an amateur movement, as its main proponents were themselves discovering new ways of performing Early Music and newly discovering historical texts which suggested different performance methods to the practices already in place.⁴²⁶ As such, it was only later on, when much of this groundwork had been established, that the movement could flourish into its modern-day form.⁴²⁷ It is this most recent form which is of interest here, as Red Priest were founded in 1997, well after HIP had become such an established cultural movement.

Despite the variety of approaches to studying HIP, most agree that the points featured in the overview below generally sum up the main characteristics of the movement today, which were originally developed as a means of challenging existing practices:⁴²⁸

- A focus on achieving a historically ‘authentic’ performance.
- A focus on text, in the form of a score and historical documents such as treatises.
- The use of historical or replica instruments.

The word ‘authentic’ has created numerous problems in the years of its repeated usage, as by definition it can include vastly different performance outlooks, of which

⁴²⁴ John Butt, *Playing with History* (Cambridge: Cambridge University Press, 2008), 3. The seeds for the movement had already been sown by this time but its main facets were not so developed until later.

⁴²⁵ Laurence Dreyfus, ‘Early Music Defended against its Devotees: A Theory of Historical Performance in the Twentieth Century’, *The Musical Quarterly* (Vol. 69, No. 3, Summer 1983), 303

⁴²⁶ Bruce Haynes, *The End of Early Music* (Oxford: Oxford University Press, 2007), 41

⁴²⁷ Butt, *Playing with History*, 3-5

⁴²⁸ Butt, *Playing with History*; Dreyfus ‘Early Music Defended against its Devotees: A Theory of Historical Performance in the Twentieth Century’; Colin Lawson and Robin Stowell, *The Historical Performance of Music: An Introduction* (Cambridge: Cambridge University Press, 1999); Haynes, *The End of Early Music*

only some are considered authentic by HIP.⁴²⁹ For example, it is frequently argued that it is impossible to be truly authentic by following a composer's intentions as there are different intentions to be faithful to.

However, the concept of achieving authenticity by remaining faithful to the composer's intentions is the feature for which HIP is most notorious, even if the term 'authentic' has been subject to much criticism and debate and is thus often replaced with the expression 'historically informed.'⁴³⁰

Various practices have therefore evolved and become customary for mainstream early music ensembles. Clearly, this is because neither the listener nor the performer is situated in the original context of the work's reception and therefore the historical score and other textual documents can be used as the only sources of historical accuracy. For example, there is the use of Urtext editions which lack any modern-day editing such as the addition of phrase marks, dynamics etc.⁴³¹ These Urtext scores, when performed, are therefore supposedly closer to how the performances once would have sounded during the period of their composition. One of the main criticisms of this is not the removal of modern performance directions, but that many performers play with very few alterations to the Urtext score, despite historical evidence that Baroque musicians would have improvised substantially in performance. Many argue that this makes the Early Music movement inauthentic in itself,⁴³² since the music was composed to be performed, not to be an unchangeable and authoritative historical text. Of course, there are some exceptions to this, in particular those performers who focus on the role of improvisation within Early Music such as Robert Levin.

Similarly, some scholars argue that the focus on historical texts and treatises to offer guidance as to how Early Music should be performed has gradually shifted from being an alternative to Romantic interpretations of scores to becoming a fixed set of rules that nearly all Early Music musicians now follow, if sometimes implicitly.⁴³³ This is because, once established, these 'historically informed' performance styles can restrict any further interpretation, as they are so dogmatic about elements such as rhythm, pitch, timbre and ornamentation being played consistently and correctly. The

⁴²⁹ Peter Kivy, *Authenticities: Philosophical Reflections of Musical Performance* (New York: Cornell University Press, 1997), 6

⁴³⁰ Haynes, *End of Early Music*, 10

⁴³¹ Stanley Boorman, 'Urtext', in *Grove Music Online. Oxford Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/28851>> Accessed April 23rd, 2009

⁴³² Haynes, *End of Early Music*, 4

⁴³³ *Ibid*, 48-58

prevalence of performers' guides exemplifies this: one commonly available guide states that 'it is possible to formulate reasonably precise rules for [*Notes Inégales*],' without asking whether these rules are desirable or necessary in music performance.⁴³⁴ This serves to highlight an important feature of HIP today: it is no longer the breakaway movement encouraged by Harnoncourt to re-enliven Early Music in the face of constant Romantic interpretations⁴³⁵ as it has now fixed 'rules' of its own.

However, the consequence of this is that performances which originally sounded shocking because they drastically altered the common sounds of the time and thus were defamiliarizing⁴³⁶ are now as common themselves. As Butt summarises: 'after thirty years of constant publicity, HIP no longer shocks us in the way that even *The Rite of Spring* continues to do.'⁴³⁷ Indeed, in 2005 Early Music America did an analysis of radio playlists and found that 40% of broadcasted performances of music before 1800 could be described as historically informed;⁴³⁸ a percentage which suggests that having originally broken away from the mainstream, HIP has now established itself as part of the mainstream.

Additionally, in common with many classical musicians, Early Music ensembles often ensure that the presentation of the music is as unnoticeable as possible by performing in formal dress with limited movement or other physical manifestations of performing, which could distract the audience from the music.⁴³⁹ Thus, they attempt to allow the composer's true intentions to shine through in performance, rather than obscuring them with layers of their own or other's subjectivities. This is of course highly problematic, as it is a text-centric means of trying to create an unbroken relationship back to the era of the composer by introducing the historical composer into a modern performance. One such example of personal subjectivities being kept to a minimum could be seen at a recent Early Music concert I attended, during which the only verbal communication made to the audience during the entire performance was a brief discussion of how important instrument manufacturing and pastiche composition

⁴³⁴ David Moroney, 'Keyboard', in Burton (ed.) *A Performer's Guide to the Music of the Baroque Period* (London: ABRSM, 2002), 58

⁴³⁵ Nikolaus Harnoncourt, *Baroque Music Today: Music as Speech* (Portland: Amadeus Press, 1995), 14-18

⁴³⁶ Dreyfus, 'Early Music Defended', 306

⁴³⁷ Butt, *Playing with History*, 127

⁴³⁸ 'Early Music Flows in the Mainstream According to National Survey', <http://www.earlymusic.org/press_releases/2007/09/early-music-flows-mainstream-according-national-study> Accessed March 10th 2009.

⁴³⁹ As described in quasi-religious terms by Roger Scruton, *The Aesthetics of Music* (Oxford: Oxford University Press, 1999), 440

are in the field.⁴⁴⁰ This contrasts highly with the work of Red Priest, during whose concerts Piers Adams frequently talks at length to the audience. Furthermore, on occasions various members of the group have shared eye contact, laughter and other means of communication with audience members, particularly in response to the audience's reactions to their humorous presentation of musical material.

Arguably, Red Priest are therefore more authentic than many within the HIP movement,⁴⁴¹ as they privilege musical performance over the historical text, unlike those within the HIP movement who use performance as a means to express a historical text. In this way, Red Priest are more faithful to the spirit of performance within the Baroque era, using their re-compositional techniques to ensure that performance is of the present moment and culturally relevant, as the performances of historical music would have been in their original historical epochs.

Early Music ensembles who therefore conventionally present historical music in a transparent manner are reducing the sense of the subject and thus hoping the objectified text will shine through unheeded, to allow the original and thus 'authentic' meaning to be heard.⁴⁴² However, according to Adorno, 'objectivity is not left over after the subject is subtracted',⁴⁴³ because it is only through its interpretation by a human subject that the objectified text can gain meaning.⁴⁴⁴ Therefore HIP, by trying to remove all traces of the interpretive subject, is arguably restricting the meaning of the text as opposed to allowing it to flourish, a phenomenon also seen within much mainstream classical music culture. In fact, arguably all that remains is mechanical music, which would sound almost the same, wherever, whenever and by whomever it was performed: much the same as a fixed recording of a work. In this commercially driven culture industry in which most musicians now operate, this phenomenon is a necessity, as radically different recordings lose their differentness on repeated listenings, and thus more conventional interpretations have a higher repeatability-factor and are thus more sellable.⁴⁴⁵ It is therefore unsurprising that HIP thrived in the recording industry and

⁴⁴⁰ Heiko ter Schegget and Hendrik Bouman, *The Virtuoso Recorder*, All Saints' Chapel, Eastbourne, March 15th 2009

⁴⁴¹ An argument frequently made by Red Priest, such as shown by the historical quotations on their website and discussed within interview with Piers Adams.

⁴⁴² Dreyfus, 'Early Music defended,' 299

⁴⁴³ Theodor W. Adorno, 'Bach defended against his Devotees' *Prisms* (London: Spearman, 1967), 144

⁴⁴⁴ Max Paddison, *Adorno, Modernism and Mass Culture* (London: Kahn and Averill, 1996), 61

⁴⁴⁵ Piers Adams, see Appendix E page E6

that HIP recordings can be so easily categorised according to their decade of production, because of the vast similarities in their performances.⁴⁴⁶

The performances of Red Priest lie in direct opposition to many of these facets of the HIP movement, since they foreground their own performance personae and scorn any attempts to be transparent as performers.

3.3.2 Red Priest in Performance

The group have an extremely charismatic mode of presentation, performing in costumes, such as of pirates or hooded ghouls, as shown in the publicity image reproduced in Appendix E2. These costumes relate to the music through the use of a common theme, for example, Red Priest develop Vivaldi's Concerto in G minor, RV 439, 'La Notte' into a more explicit description of a nightmare, renaming it 'The Nightmare Concerto', and dressing in hooded gowns, at times with their faces covered, to reflect this. Although not all of Red Priest's music relates to the costumes they perform in, much of it does, as they organise their musical re-compositions into different themed programmes called, for example, 'Pirates of the Baroque' or 'Carnival of the Seasons'.⁴⁴⁷ The emphasis is therefore on the theme and not the musical content. Because of this an audience has no way of knowing which music Red Priest will play before the concert, only the theme, a notable contrast with most Early Music performances today.

Furthermore, Red Priest always perform from memory, thus not encumbering the stage with music stands and focusing the audience's full attention onto the performers. In a similar way, they do not restrict their performances by occupying a small part of the stage or performing space, often moving around both on stage and within the venue more broadly.⁴⁴⁸ Indeed, it is not unusual for Red Priest to disappear entirely from the audience's view at some times during their performances, either to create a sort of fade-out effect at the end of a piece or to enable a costume or other change during the middle of a piece.

Both the use of costumes and the use of spatial effects during performances work to create the same experience for the audiences. Firstly, it focuses the audience's attention on Red Priest themselves as performers, thus foregrounding this performance

⁴⁴⁶ Dorottya Fabian, *Bach Performance Practice, 1945-1975* (Aldershot: Ashgate, 2003), 13

⁴⁴⁷ 'Red Priest- Tour Dates', <http://redpriest.bandzoogle.com/fr_home.cfm> Accessed August 17th 2011

⁴⁴⁸ All observations made in person at various concerts unless otherwise stated. See references for full details.

subjectivity as a key part of the audience's experience. In this way, Red Priest's work contrasts heavily with many other Early Music performances, particularly those which form part of the HIP movement, in which the emphasis is usually on allowing the subjectivity and intentions of the original composer to be one of the key features of the performance, by reducing the performer's role as much as possible.

Secondly, it foregrounds a second layer of Red Priest's subjectivity, that of the constructed identity that is brought into being through their costumes and themes. Philip Auslander argues that 'when we hear a musician play, the source of the sound is a version of that person constructed for the specific purpose of playing under particular circumstances.'⁴⁴⁹ He calls this version of the person their 'musical persona'. Elsewhere in his work on glam rock he describes how it is possible for a performer to explore different subjectivities by occupying different subject positions in performances.⁴⁵⁰ This is apparent in Red Priest's performances, at times during which they occupy their own subjectivities, that is to say they appear as a group of musicians performing for an audience, a phenomenon accentuated through spatial effects and physical gestures, yet at other times occupy the subject positioning of the characters created through their themes and costumes. Thus in these moments, Red Priest adopt other specific dramatic personae in order to construct different identities. This use of various personae is also apparent in both the musical alterations they make to the original scores and the very manner in which they perform the music.

The moments during which Red Priest perform in costume, but do not act, function slightly differently. Kirby describes how in theatrical performances there is a continuum between acting and non-acting, with costumes and other received references altering the audience's perception of where on this continuum the performers lie.⁴⁵¹ That is to say, performers who are doing nothing that can be defined as acting are in fact seen by audiences as acting since their costumes can focus the audience's attention onto a constructed representation.⁴⁵²

The case of theatrical acting is of course slightly different from that of instrumental musical performance, particularly in its end goals and the relationship between performers and representation. Nonetheless, it is important to note how

⁴⁴⁹ Auslander, 'Musical Personae', 102

⁴⁵⁰ Philip Auslander, *Performing Glam Rock* (Michigan, University of Michigan Press, 2006), 106

⁴⁵¹ Michael Kirby, 'On Acting and Non-Acting', *TDR: The Drama Review* (Vol. 16, No. 1, March 1972), 4-5

⁴⁵² *Ibid*, 5

costumes in these instances can be used as a means to focus an audience's attention and to alter their perception of the performance. In the case of Red Priest, there are many similar moments on stage when they are not acting the roles presented by their costumes; however they are still in costume. This, I argue, draws attention to the performers on stage and highlights that they are performers, not just normal people on stage or quasi-invisible vessels of the intentions of a composer. This is therefore entirely different from the creative goals of most of the HIP movement, in which, as discussed above, performers try not to draw attention to themselves or the act of performing, instead privileging the text over the performance.

It is worth highlighting at this point that Red Priest's use of costumes is on a different scale to performing groups within the HIP movement who perform in costume. Red Priest dress up in costumes of characters that are popular within our own historical moment, such as ghouls, witches and pirates and indeed in the latter case purposely relate themselves to other popular cultural phenomena such as the successful *Pirates of the Caribbean* films. Although these costumes may, as in the case of 'The Nightmare Concerto', be related to the music, this is not always the case. Furthermore, the costumes used are never historically authentic in any way, they are purely for characterisation. In contrast, the costumes adopted by ensembles such as I Fagiolini are usually those consisting of clothing similar to the time of the music's composition, such as for example mediæval) dresses. Obviously, this use of costume functions very differently and is less striking than that of Red Priest.

Red Priest's performance style can be seen as being formed of five different moments, which are not always mutually exclusive, often being used simultaneously to enhance their effect. These five moments are key to understanding how Red Priest use different personae as a means to shape the aesthetic experience of their audiences, and are discussed in more depth below.

3.3.3 Moments of Musical Narrative

These are moments within the music itself which, usually together with an external written or orally recounted programme, can be heard to be representative of an extra-musical idea. Many of Red Priest's re-compositional techniques are employed in order to enhance the narrative power of these moments, which in performance are often combined with the performance narrative techniques as discussed on page 179.

An example of a moment of musical narrative can be seen in Red Priest's re-composition of Vivaldi's Concerto No. 3 in F major, Op. 8, RV 293, 'L'autunno.' In Vivaldi's original composition the fleeing animal and hunters described in the score are clearly represented by the fast, skittish solo violin line and the chasing ensemble rhythms and textures respectively (Ex 3.4a). Red Priest have re-composed the section to further characterise gunshots by using snap pizzicato in the 'cello and have increased the excitement of the hunt through the use of polyrhythms, as, unlike in the original, the strings move from outlining 3/8 time to 2/8 time against the harpsichord's constant 3/8 (Ex. 3.4b). Furthermore, the harpsichord line which is almost insignificant in the original now has a driving rhythm reminiscent of the programme's fleeing animal.

Thus in bars 108-115 the overall sense of pulse is in 2/8 as Red Priest articulate the rhythms to have an emphasis on the 'cello quavers which act as a downbeat. Despite the musical material breaking down into a 3/8 pattern, the recorder and harpsichord lines pass so quickly and are performed with no particular emphases, which ensures that the 2/8 feeling is dominant. This sense of 2/8 concludes in bar 116, where the music returns to a clear 3/8.

*The hunter goes forth at daybreak with horns, guns and ferocious dogs,
The game flies, and they follow in its tracks.*⁴⁵³

Musical score for bars 104-115 of Vivaldi's *Autumn*, Third Movement. The score is for Solo Violin, Violin I, Violin II, Viola, and B.C. (Bassoon/Clarinet). The Solo Violin part features a complex melodic line with many triplets. The other instruments provide a rhythmic accompaniment with various note values and rests.

Musical score for bars 104-115 of Vivaldi's *Autumn*, Third Movement. The score is for Vln. Solo, Vln. I, Vln. II, Vla. (Viola), and B.C. (Bassoon/Clarinet). The Vln. Solo part features a complex melodic line with many triplets. The other instruments provide a rhythmic accompaniment with various note values and rests. There are two '7' symbols with a sharp sign below the B.C. staff.

Musical score for bars 104-115 of Vivaldi's *Autumn*, Third Movement. The score is for Vln. Solo, Vln. I, Vln. II, Vla. (Viola), and B.C. (Bassoon/Clarinet). The Vln. Solo part features a complex melodic line with many triplets. The other instruments provide a rhythmic accompaniment with various note values and rests.

Example 3.4a: Vivaldi, *Autumn*, Third Movement, bars 104-115.

⁴⁵³ Extract from the programme for *Autumn*, in Antonio Vivaldi, *Le Quattro Stagioni*, trans. Simon Launchbury (London: Eulenburg, 1982), xi

$\text{♩} = 62$

The musical score consists of three systems, each with four staves. The instruments are Treble Recorder, Harpsichord, Violin, and Violoncello. The time signature is 3/8, and the tempo is marked as $\text{♩} = 62$. The score features complex rhythmic patterns, including triplets and sixteenth notes. The first system shows the Treble Recorder and Harpsichord playing a complex melody, while the Violin and Violoncello provide a rhythmic accompaniment. The second and third systems continue this pattern, with the Treble Recorder and Harpsichord playing a more complex melody and the Violin and Violoncello providing a rhythmic accompaniment. The Violoncello part includes a 'Snap pizz.' instruction.

Example 3.4b: Red Priest's re-composition of *Autumn*, Third Movement, bars 104-115. Transcribed from *Red Priest's Vivaldi, "The Four Seasons"*, Dorian: DOR-90317, 2003

This effect serves to heighten the dramatic content of the music, and gives voice, not to the original composer, but to the internal characterisation itself. In this example Red Priest do not represent themselves on stage, but a hunted animal and the hunter. Although this could also be the case in a performance of the original score, Red Priest

take the representation to a different level, by using the immediacy of the performance to bring the narrative into the present moment. That is to say, by adding relatively realistic gunshot sounds into the music and heightening the tension through rhythmic ambiguities, Red Priest alter the effect of the performance by foregrounding the subjects within the musical narrative, rather than foregrounding the narrative itself. Thus in this way Red Priest foreground diegetic subjects within performance over the mimetic properties of the musical material.

Nonetheless, there is a sense at these moments that Red Priest are not behaving entirely seriously and as such add ironic distance to the performance, by taking the element of narrativity within the music to such extreme lengths that it becomes a source of amusement for the audience. This irony is unexpected within most Early Music performances since it is unusual for the performers to use performative actions in order to distance themselves, and in so doing comment upon, the musical material. This irony also enhances the visibility of the narrative and the subjects within it, but in functioning ironically can arguably be seen to be a postmodern phenomenon.

3.3.4 Moments of Narrativizing of Absolute Music

These moments are very simply understood and described, and hold much in common with the moments described above. They occur when Red Priest use physical gestures to construct an element of narrativity to enhance the inherent musical characteristics of a section of a piece. For example, in the opening of the Concerto Grosso in D Minor (RV 565) Red Priest characterise the violin and recorder lines as combatants who in turn have to be separated by the interrupting 'cello (Ex. 3.5).

Before playing, the musicians
cross the recorder
and the violin bow in the style of swords.

During the remainder of the section
the performers play facing each other
and leaning forwards aggressively.

Allegro

Descant Recorder

Violin

Performed whilst stepping closer to each other

D. Rec.

Vln.

D. Rec.

Vln.

D. Rec.

Vln.

D. Rec.

Hpsd.

Vln.

Vc.

Cellist glares at recorder and
violin players and pretends to
be physically intimidating

Example 3.5: Red Priest's performance of bars 1-20 of Vivaldi's Concerto in D minor,
Op. 3 No.11, *Allegro*.

These moments again have the effect of creating a spectacle of the internal musical features whilst also allowing Red Priest to act as a personification of something found within the music or its programme; this time their interpretation of the relationships between aspects of musical structure.

Another effect of this technique is to make the musical structure more understandable to a less expert audience who may not be able to hear complex contrapuntal lines clearly at first listening. This is also clearly apparent when Red Priest add actions to music, even without a specific narrative background. For example, later in the same re-composition of Vivaldi's Concerto in D minor, they move their heads when playing each note of a fugue subject and this presents the musical structure both visibly and audibly to the audience. Although this does not of course construct a narrative element, it does once more offer a construction of a literal movement out of internal rhetoric or dialogic aspect of the music and in so doing alter the experience of it.

3.3.5 Moments of Performance Narrative

These are very similar to the musical narrative moments above, but have one key difference; rather than the internal characterisation acting as the impetus for interpretation and performance, here the external characterisation of the performance affects the music itself. Example 3.6 is taken from *Groans of the Wounded*, a movement of the *Pirates of the Baroque Suite*, which is based upon several harpsichord *ordres* by Couperin. This suite is introduced in performance with a description of a pirate's day with this movement taking place after battle.

Played with overblown/underblown pitches whilst lunging forward

Bass Recorder

Harpsichord

Violin

Violoncello

B. Rec.

Hpsd.

Vln.

Vc.

mf

mf

a niente

sul tasto

f

Example 3.6: Additions made to bars 1-5 of Couperin's *Les Invalides, ou gens estropiés au service de la Grande Mxnstrxndxsx* (harpsichord line shows complete original) to aid performance.

In this movement, the 'cellist performs whilst slumped over her instrument and the violinist acts as though she only has enough energy to play the occasional *sul tasto* note. Piers meanwhile pretends to collapse onto his bass recorder whilst running out of breath, reflecting this in performance by breaking a long held note into smaller uneven, alternately overblown and underblown fragments.

Although the differences between this and musical narrative moments seem so small as to make them insignificant, in fact this is an example of the spectacle of performance altering the musical material, whereas the examples above showed the musical material and its programme affecting the performance being derived from aspects of the musical material and its programme. Thus, at these moments, Red Priest privilege spectacle above all other elements.

3.3.6 Pure Performance Moments

These are a vital element of Red Priest's performances and are when Red Priest privilege spectacle and performance above all other elements, which some critics find gimmicky and distracting.⁴⁵⁴ Examples of this are numerous and involve unusual techniques such as playing the harpsichord with the nose, or playing the 'cello like a guitar. Arguably the most spectacular, however, is when Piers performs on two recorders simultaneously (Ex. 3.7).

⁴⁵⁴ Such as Adam Gilbert, 'San Francisco Classical Voice',
<http://www.sfcv.org/arts_revs/redpriest_3_22_05.php> Accessed 30th March 2009

♩ = c. 145

The image displays three systems of musical notation for a transcription of Vivaldi's Concerto Grosso Op. 3 No. 11, First Movement, Allegro, bars 159-166. Each system includes staves for Recorders, Harpsichord, Violin, and Violoncello. The notation is in G major (one sharp) and common time. The first system shows the initial texture with rapid sixteenth-note patterns in the recorders and harpsichord, and sustained chords in the strings. The second system continues this texture. The third system shows a change in the recorder part, with a more active role, while the harpsichord and strings maintain their respective parts.

Example 3.7: Red Priest's transcription of Vivaldi's Concerto Grosso Op. 3 No. 11, First Movement, *Allegro*, bars 159-166. Transcribed from *Pirates of the Baroque*, Red Priest: RP-004, 2007

Piers develops this technique's full potential as a means to create spectacle by casually holding the two recorders out to the sides when performing. He also moves them up and down in time with the change of harmony, whilst maintaining a deadpan expression throughout, thus communicating to the audience that it is extremely easy to

perform like this, to the point of almost being slightly boring. This behaviour only enhances the audience's appreciation of the spectacle.

3.3.7 Non-narrative Moments

Moments such as these, without any dramatic elements of performance or strong musical narrative, are rare when watching Red Priest live in concert. Nonetheless, they are more noticeable on recordings since they can sound as though there is a layer of the performance missing. This phenomenon is possibly the weakness of Red Priest's work, and is particularly highlighted when they perform 'straight' works within a concert otherwise consisting entirely of re-compositions, as these 'straight' works then have a tendency to seem less exciting despite their technical impressiveness.⁴⁵⁵

All of these moments are summarised in Table 3.5 below, which also compares key aspects of Red Priest's work with some of the fundamental features of the HIP movement.

⁴⁵⁵ This was noticeable in a performance I attended at Michelham Priory in 2005, however in 2009 the practice of performing 'straight' solo items in an otherwise programmatic concert had been dropped.

Moment Type	Role of score	Relationship to HIP	Role of Red Priest
Moments of Musical Narrative	Starting point for further interpretation: after this has been read the score is readily altered	Complete subversion of HIP's text-fetish	Using performance personae to personify the internal subjects of the music
Moments of Narrativizing of Absolute Music	As above	As above	Using performance personae to personify abstract properties of the music
Moments of Performance Narrative	Source of musical and extramusical ideas which can be used in performance to create spectacle	As above	Constructing separate narrative performing personae external to the music whilst also privileging spectacle
Pure Performance Moments	As above	As above	As real people enacting a physical spectacle. Foregrounding spectacle above all else
Non-narrative Moments	Locus of musical and compositional intent	Similar to conventional HIP performance	As vessel of music

Table 3.5: Various moments as heard within the performances of Red Priest

3.3.8 Red Priest's Performances and the Chain of Communication

As was discussed in Chapter One, the performance of historical music within today's cultural context can create various difficulties, since this context within which the music is being performed has altered so greatly, a phenomenon which is particularly true in the case of the Baroque music that Red Priest usually performs.⁴⁵⁶ Because of this, the various links within the chain of communication are in entirely different historical, social and cultural eras. The difficulties become clear when it is considered that Romantic or mid-twentieth century modernist interpretations of early music were seen to be unsuccessful: this dissatisfaction was the underlying cause of the HIP movement, which in turn is not accepted as wholly unproblematic. Thus, it can be seen that the different methods of trying to address this problem have all acted as a catalyst for debate and further redevelopments of performing practices.

⁴⁵⁶ Although of course there are some cultural constants, such as the tonal language, other aspects such as historical tunings have often been lost due to tastes and cultural norms today.

This difficulty can be seen on the diagram of the chain of communication for the performance of Baroque music today presented below:

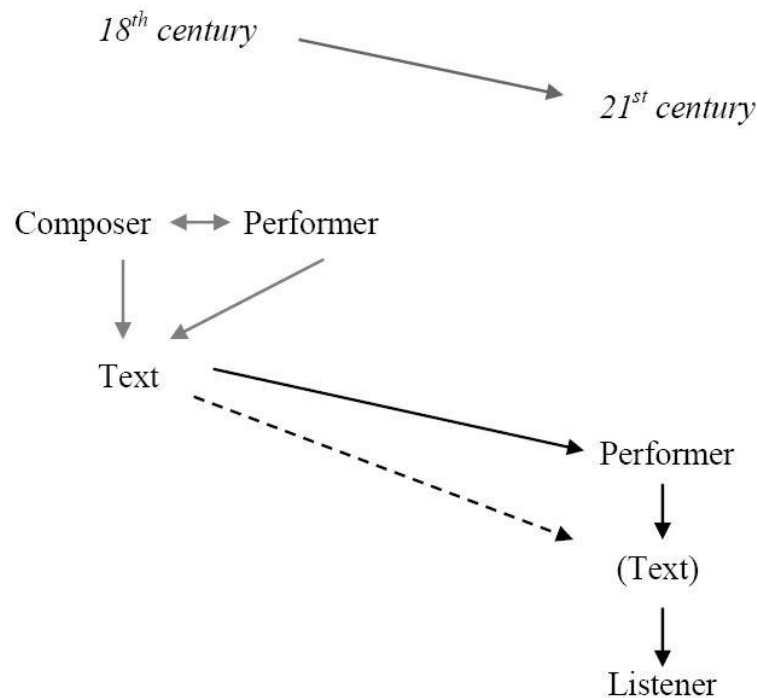


Diagram 3.2: Chain of communication showing the text as the mediation point between historical eras

As can be seen on this diagram, the musical text is the mediation point between these various links and historical epochs, and although aspects of this text may have been subject to editing or historical changes, enough of it remains in common to be recognisable as the same object.

Both Red Priest and early music ensembles within the HIP movement can be said to be concerned with this historical gap and be seeking ways to bridge it in performance in order to give a meaningful experience for a modern audience. The HIP movement, as discussed earlier, does this by changing aspects of the musical performance to make them more historically authentic through the use of, for example, Urtext editions, historical instruments and treatises, although how historically authentic or accurate they can ever be is debatable as discussed in full by Peter Kivy in his *Authenticities*. This has an effect on the chain of communication during these performances, as the performer's role becomes minimised to the objectified text. This is because this text remains mostly unchanged throughout history and thus offers a way of bridging the historical gap. This means that the historical gap between the composer, text and performer is reduced, albeit artificially, since the contemporary subjectivity of

the performer is now reduced in order to let the supposedly historical objectivity and authority of the text fill the gap in understanding (Diagram 3.3).

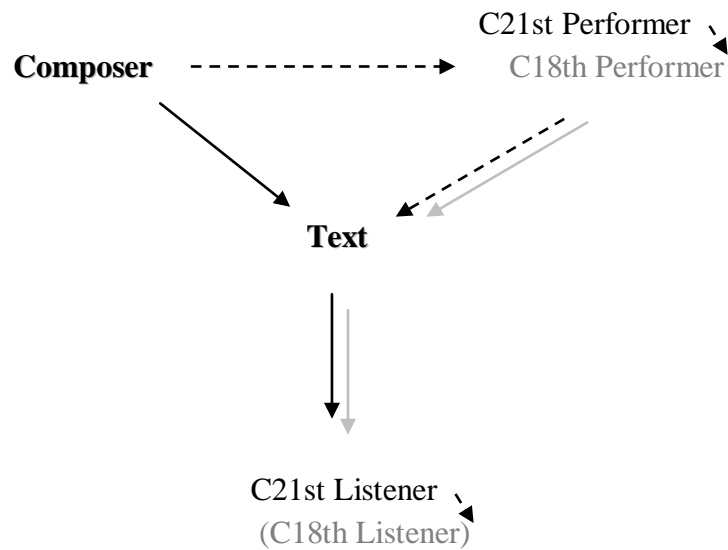


Diagram 3.3: The chain of communication for a historically informed performance

In this way the HIP movement works to remove or reduce the impact of the subloop of the chain of communication which runs between composer, performer and text, since it is the part of the chain which does not function cross-historically. Of course, it is never possible to remove this altogether as the performer is a necessary part of the chain of communication; nonetheless this is one strategy to approach the present-day performance of Early Music, as it creates a more aligned chain of communication.

The artificiality of this chain of communication does not in any way make the listener believe that he or she has been transported back in time to experience the performance exactly as the original listeners (if indeed there were any) would have done, however it does act as a situation in which the listener can reflect back onto the role of the original listener. That is to say, by hearing the music performed in this way, with historical instruments and other features, the listener is aware of the attempt at historical authenticity and his or her experience is affected by this, as the listener starts to attempt to become part of this process of the creation of a new chain through their own awareness of the performance goals of the performance. Similarly, the performer is also aware of the role of the original performer, and this thus demonstrates the awareness that the new chain of communication mirrors a past one. There are of course various links between the two chains of communication, although they are not equivalent to each other in experience or effect due to their different cultural contexts.

This is only the first part of the listener's experience in these HIP performances, since the listener cannot completely lose their own subjectivity and awareness of the cultural context today in which the performance is taking place. In this way, the performance is also experienced as part of the HIP movement, as a current and popular trend within contemporary listening.

Indeed, Richard Taruskin has argued that “‘historical’ performance today is not really historical...a spacious veneer of historicism clothes a performance style that is completely of our own time, and is in fact the most modern style around.”⁴⁵⁷ He further suggests that since the movement grew up at the same time as modernism, it therefore shares many of modernism's tenets, particularly that of ‘impersonality’ and objectification of the text.⁴⁵⁸ Nonetheless, other scholars have argued that Taruskin's views, although thought-provoking, are in fact one-sided. They suggest that the HIP movement, although sharing some characteristics of modernism, also rejects these in other ways or is even postmodernist in character.⁴⁵⁹

For the sake of my arguments, it is enough to draw one point from this debate; historically informed performance draws connections to current musical styles, contexts and debates in a way that is perhaps not immediately obvious from a brief examination of the core values of the movement. This furthers my argument that the movement creates a chain of communication of and for the current day and that this is a necessity if aesthetic experience is to be enhanced for listeners and performers, who despite their enjoyment and appreciation of historical music, remain part of a musical culture many years removed from the original reception context.

In this way, the HIP movement helps to bridge the historical gap and increase the listener's experience by creating a new, smaller, quasi-chain of communication, which mirrors the original chain of communication and in places overlaps with it, but at the same times reduces the role played by a part of it. This ensures that the chain of communication is both of the past and within the present. By working to bridge the gap the chain becomes more aligned as it addresses some problems faced within the performance of historical music and thus shapes aesthetic experience. However, it does of course leave the movement open to the criticisms voiced by many of its opponents, in particular that it is striving towards goals which cannot be attained.

⁴⁵⁷ Richard Taruskin, ‘The Pastness of the Present and the Presence of the Past’, in *Text and Act* (Oxford: Oxford University Press, 1995), 103

⁴⁵⁸ Ibid

⁴⁵⁹ Such as discussed by John Butt, *Playing with History*, Chapter 5

Red Priest take an entirely different approach to the issue of how to bridge this historical gap, constructing a second and complete aligned chain of communication with themselves and their narrative constructions at its core, yet still engaging with the original chain of communication of the works, albeit at times only tangentially.

As discussed above, Red Priest recompose the works of past composers to create their own texts, which at times can be very similar to the original scores, yet at other times can be extremely different. Furthermore, these new texts are always very heavily related to the way in which the music is performed, with the various moments discussed above often being a core part of the musical texts, and indeed often being inseparable from them.

As such, it can be seen that Red Priest have created their own text (here the term is used to include the performative aspects of it), which is related to the original composer's composition, but is a separate text in its own right. This text is also of its own time, created for performance to a twenty-first century audience. In this way, the chain of communication for a Red Priest performance can essentially be split into two separate chains, including two of each link, but with these links nonetheless relating to each other (Diagram 3.4).

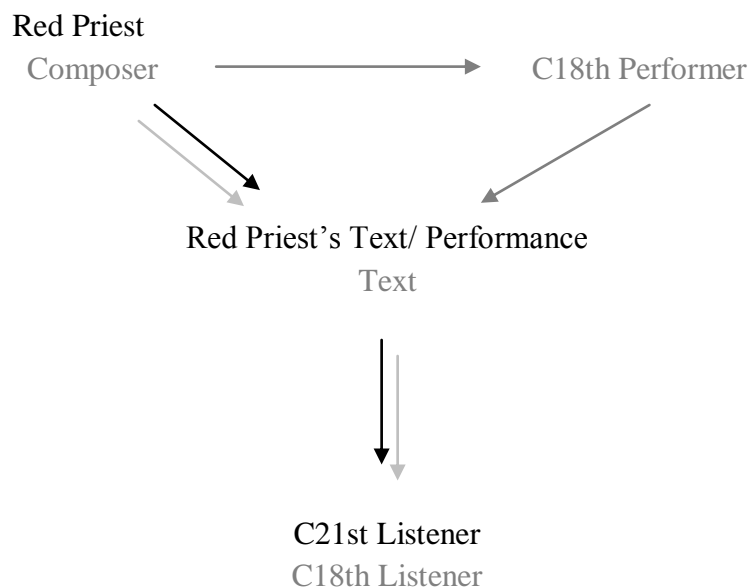


Diagram 3.4: The chain of communication for Red Priest's recompositions and performances

One of the principal differences between Red Priest's work and that of the HIP movement is therefore that they do not try to reduce the visibility of the role of the

performer, instead creating a new chain of communication with themselves as the original performers within it. This entire chain mirrors that of the music's original communication, and is constantly related to it. That is to say that there are relationships between the role of Red Priest and the original composer, Red Priest's text and the original work and the role of the two different listener groups. The only role that is not mirrored is that of the performer, because Red Priest act as both composer and performer.⁴⁶⁰

There are numerous musical techniques that Red Priest use to help them forge this new chain of communication with one of the most noticeable being the use of anachronistic quotations and allusions to other genres and styles. The quotations are drawn from a broad range of sources, such as Elgar's 'Cello Concerto, which is used in Corelli's *La Folia*; *God Save the Queen* in Vivaldi's Autumn and part of the theme music to Fawlty Towers in a minuet from J. S. Bach's Orchestral Suite No. 2 in B minor (Ex. 3.8a), a transcription of which is presented in Example 3.8b.

⁴⁶⁰ Something Piers Adams sees as a necessity if "music is to remain a living art." Quoted from John Shinnars, 'Artist Vs. Critic: A lively debate over how modern performers can best approach early music', <<http://www.enjoythemusic.com/magazine/music/0306/classical/debate.htm>> Accessed August 1st 2011

Fl. *tr*

Vln. I

Vln. II

Vla.

Cont.

Fl.

Vln. I

Vln. II

Vla.

Cont.

Example 3.8a: Bars 9-24 of the Minuet from Johann Sebastian Bach's Orchestral Suite No. 2⁴⁶¹

⁴⁶¹ This reduction omits the bass figures.

$\text{♩} = \text{c. } 105$

Treble Recorder

Violin

Basso continuo

Tr. Rec.

Vln.

Bc

Fawlty Towers theme

Example 3.8b: A reduction of part of Red Priest's re-composition of the Minuet from Bach's Orchestral Suite No. 2.⁴⁶² Transcribed from *Johann I'm Only Dancing*, Red Priest: RP-007, 2009

The use of quotation shows that Red Priest ensure that the music is very much part of a contemporary twentieth and twenty-first century culture by including references that are amusing and meaningful to the audience of the time and place, rather than of the time for which the music was originally composed. These moments serve to highlight the historical gap between the work's original context and the one in which it is now being performed and in so doing thus highlight Red Priest's new chain of communication that is forged within performance. This is because the artificiality of Red Priest's chain becomes so clear. Thus, in this way, Red Priest's performances can be likened to the concept of the simulacrum, or 'the identical copy for which no original has ever existed',⁴⁶³ as discussed in the works of many scholars such as Jean Baudrillard and Fredric Jameson.⁴⁶⁴

⁴⁶² This reduction omits the harpsichord part and all ornamentation, particularly on the last chord which is decorated in the style of a rock band to then fall onto an unresolved chord.

⁴⁶³ Fredric Jameson, *Postmodernism, or, The Cultural Logic of Late Capitalism* (London: Verso, 1991), 18

⁴⁶⁴ Ibid and Jean Baudrillard, *Simulacra and Simulation*, trans. Sheila Faria Glaser (Ann Arbor MI: University of Michigan Press, 2000)

This is because Red Priest's re-compositions are artificially constructed modern versions of past music, but at the same time are versions which themselves never existed in this past. Although, arguably, of course Red Priest have a degree of authenticity in the spirit of performing, in that their music is part of its own culture, the versions they perform are an image of a past that never happened. This reflects Jameson's description of a postmodern society in which 'we are condemned to seek history by way of our own pop images and simulacra of that history, which itself remains forever out of reach'.⁴⁶⁵ This is made apparent in the chain of communication shown in Diagram 3.4 above, in which Red Priest's chain of communication can be seen to be a superficial chain, which mirrors one of the past, but does not have a continuous history with it.

In fact, this element of Red Priest's work has proven problematic for some, with one critic denouncing anachronistic quotation, here in the re-compositions of *The Four Seasons*, as 'perverse' moments which just call 'more attention to Red Priest than Vivaldi.'⁴⁶⁶ This apposite observation is clearly meant as an extreme criticism and suggests that some audiences want to have a canonic composer's subjectivity presented within an objectified and fetishized text, rather than an entertaining performance which is only relevant for the present. However, instead, this comment actually serves to highlight how successful Red Priest are in constructing a new set of communicative relationships within their performances, which, as suggested above, draw attention to themselves rather than either the dead original composers or the historical texts. This is made even clearer by the fact that Red Priest do not advertise the repertoire they will perform in advance; they as performers are the focus of the performance.

Arguably, Red Priest's use of virtuosity also functions in a similar way, since, as noted by Eric Clarke, it is during the extremes of performances (such as incompetence or virtuosity) that performance itself becomes audible⁴⁶⁷ and thus a foregrounded part of the listeners' experiences. This therefore works once again to highlight the present moment and the very temporality of the performance, since in its very existence performance can only happen in the present moment, and by highlighting virtuosity one therefore serves to highlight the presentness of the communication to the audience.

⁴⁶⁵ Ibid, 25

⁴⁶⁶ John Shinnars, quoted from

<<http://www.enjoythemusic.com/magazine/music/0306/classical/debate.htm>>

⁴⁶⁷ Eric Clarke, 'Listening to Performance', in ed. John Rink, *Musical Performance: A Guide to Understanding*, 188

Indeed, this element of Red Priest's performances functions particularly well, since much of the virtuosity they present is performed by Piers Adams on the recorder. Since, at least to many British audiences, the recorder is an instrument heavily associated with amateur performance and school children, and one which many people have at some point in their life played themselves, to hear such virtuosic playing only widens the gap between their own experience of the instrument and the performance being presented to them. This is particularly true in the moments when Piers Adams performs two harmonically consonant and functional lines simultaneously on two recorders, as it is a common joke for children and recorder-players to try to play on two instruments at once. Piers therefore transforms this joke into a key part of the musical re-compositions and performances, thus including the confounding of audiences' experiences and expectations of the instrument into a part of the performance.

Finally, Red Priest's adoption of performance personae which construct strong narrative identities also works to strengthen the new chain of communication, since it helps Red Priest to foreground their own chain of communication over the historical one, as shown on Diagram 3.4 above. This is a necessity, since a chain of communication must be complete within itself for the historical distance to be bridged and a listener to gain a strong aesthetic experience. That is to say, the relationship with history is always going to be a core concern in the performance of historical music to a current audience, and the way in which this issue is overcome is a key problem to be addressed in performance. This is clear in the fact that many different approaches to the performance of historical music (for example Romantic interpretations, HIP and even the work of Red Priest) are all equally open for debate and interpretation, seeing as the historical gap can never be bridged completely, just different ways of dealing with it can be attempted.

Clearly, what is arguably a weakness of Red Priest's approach, and one which can never be overcome for the reasons outlined above, is that at times the artificiality of this constructed chain of communication becomes apparent and its true nature, that of mirroring a historical chain of communication, is thus obvious to listeners. This in turn welcomes the inevitable comparisons between the two chains of communication, and it is this relationship which can prove difficult for listeners and critics to deal with, although for many others it is not. Thus, by foregrounding spectacle, virtuosity and the presentness of the temporal flow in performance, Red Priest ensure that their own chain of communication is the focus of listeners' experiences, and not a reflection of the

problematic relationship between the present chain and the historical one. This has indeed been noted by reviewers of Red Priests concerts, such as Meg Whelan who writes '[Red Priest's] comic routines do change the nature of the listening experience: when the musicians are stumbling across the stage and sloshing into each phrase, Vivaldi's score becomes background music to their shenanigans.'⁴⁶⁸ This focuses on the key issue here, that Red Priest's presentation does affect the chain of communication, and this in turn has a big impact on the way in which the music is experienced by listeners. Thus it can be seen that Red Priest's new chain of communication works as a form of alignment, that is to say by addressing the historical issues in this way it shapes the aesthetic experience of listeners successfully.

By foregrounding this new chain of communication, Red Priest therefore show an enhanced awareness and exploitation of the performer's role in the construction of aesthetic experience, in particular how a historical text needs to be mediated in some way to be presented to a contemporary audience. Unlike in HIP, where this is achieved through the construction of a quasi-chain of communication with the original text at its core, Red Priest achieve this through constructing their own chain. Thus, this ties in with the issues presented in Chapter One above, namely the relationship between audiences and their expectations of how to approach a piece of music by a dead, and often canonic, composer.

⁴⁶⁸ Meg Freeman Whelan writing at 'CVNC: An Online Arts Journal in North Carolina', <<http://cvnc.org/article.cfm?articleId=467>> Accessed August 5th 2011

3.4 Conclusion

The two case studies above have both shown that the performer's role in the construction of aesthetic experience can be far greater than merely that of a mediator of a composer's text to an audience. It has also shown that the performer is privileged by always being present at the time of the performance, and demonstrated how two different performing groups have used this as a means to alter or construct chains of communication in order to shape aesthetic experience. As such, it was seen that the performer has the opportunity to engage directly with listeners, who, as discussed above, are often themselves active participants in the construction and shaping of aesthetic experience.

The first case study shows how Procol Harum use their role as performers to enter into a quasi-contract with a group of dedicated fans, as well as still working to please new fans within various different performing contexts. In this way, it was discussed how Procol Harum enhance the aesthetic experience of as broad an audience as possible through changing the content of their performances of 'A Salty Dog.' Thus, Procol Harum align their chains of communication through their understanding of the expectations of different audiences and performing situations. The traces of these aligning practices can be seen through the alterations made to the musical features of the song.

The second case study similarly shows how the performer can actively use the shaping of the chain of communication as a means to enhance aesthetic experience. Nonetheless, in this case, Red Priest do this through the creation of a new, aligned chain of communication, which mirrors a historical chain and constantly relates back to it, but allows for meaningful present-day relationships to be created. It was seen how Red Priest work to address the many issues faced when preparing a performance of historical music to a modern-day audience, since there is always a gap between the work's composition and its reception. Consequently, Red Priest use the presentness of the performance and references to current trends to create this aligned chain of communication.

This was in contrast to the work of the HIP movement, the purveyors of which work to align their chains of communication in very different ways. Thus, by using an understanding of how performers work to align chains of communication, the work of both Red Priest and the HIP movement could be compared and understood as

addressing the same historical issues but in different ways. As such, the ways in which their performances construct aesthetic experience for audiences was also questioned.

This chapter therefore demonstrates that performance studies needs to acknowledge these broader roles of the performer in order fully to understand why musical performances are meaningful and provide aesthetic experiences for certain groups of people.

4. Conclusion

4.1 Summary

The six case studies that have been discussed above are stylistically and historically diverse; nonetheless they all help to develop a clearer understanding of the various forms the chain of communication can take. In every case study, the parts of the chain of communication are shifted and altered by the participants within them to form different relationships between each link. This is done to bring each part of the chain of communication into alignment, that is to say into a formation in which the expectations and practices of each part most allow for an aesthetic experience to be enhanced for the desired participant or participants within this chain, such as the listener or performer.

The theoretical idea of alignment was also introduced with each case study showing a different way in which alignment could be, or in one case could fail to be, created by different people within the chain of communication. Alignment is a form of actively controlling the communicative process in order to shape the aesthetic experience resulting from this communicative process. This process does not have to be undertaken by the composer, performer or listener, although this is usually the case, but can be achieved by circumstances and contexts which fall outside the chain of communication.

One point that must be emphasised about alignment is that it is very fluid and always operates as a form of best fit rather than a rigid and literal configuration. By looking at musical experience in terms of alignment it can be seen that the contexts of performance, composition and listening are flexible and ever-changing. Alignment is thus a process of mediation between the relationships within the chain of communication and the broader contexts of this chain, that is to say it is the process of making the best out of each situation in order to encourage the construction of aesthetic experience.

However, the degree to which each link within the chain can alter or shift is often restricted by the cultural practices and norms of both the historical epoch and the performing context, as can for example be seen in classical music performances in which the performer is seen as an invisible vessel of a composer's intentions. In this case, it would be extremely unlikely that a successful performer would suddenly opt to subvert the established performing conventions in order to alter the chain of communication. The chain of communication thus encompasses relationships which can

theoretically be reconstructed at will at any time, but that are in practice held into place by a cultural contextual framework.

Furthermore, it has been shown that the parts of the chain of communication do not always fall in the same historical period. Consequently, the chains created in these instances can be seen to be incomplete since each link can only be included in a whole chain through the straddling of often vast historical gaps. Whilst these historical gaps are not necessarily problematic in themselves, with historical music⁴⁶⁹ often being the source of an aesthetic experience, the inclusion of a historical gap within a chain of communication often creates misalignment which needs to be addressed in order for the chain to be completed.

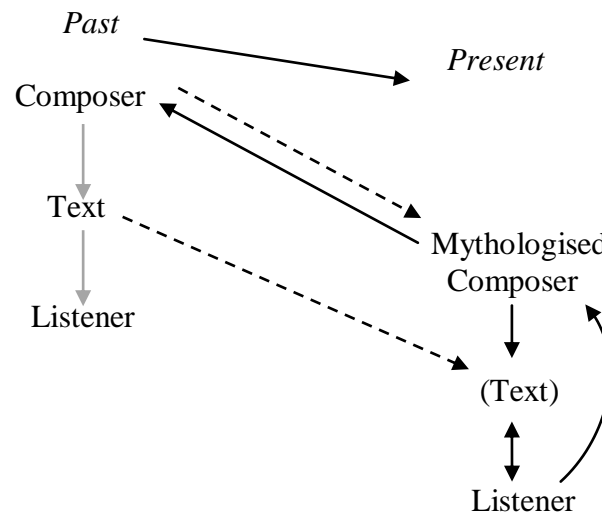
Issues surrounding the experience of historical music are of particular importance in Chapter One, which examines the construction of aesthetic experience for listeners of musical works by canonic and mythologised composers. By using the aesthetic theories of the German literary theorist Hans Robert Jauss, which were adapted to musicological models, it was argued that the expectations of listeners should be taken into account when developing an understanding of how listening to music creates an aesthetic experience. This argument was extended to form the main thesis of this chapter: not only are the expectations of a listener drawn from their existing knowledge and prejudices but these are in turn partially created by the listener's beliefs about the composer's purported perspective and the supposed contexts of the music's composition. Thus, the aesthetic experience of listeners is affected by the mediation of these different perspectives. Additionally, since the mythologisation of canonic composers is such a potent aspect of their cultural representations and positioning today, mythological expectations often become the most prominent point within the horizons of expectations of those listening to music by these composers. Consequently, the experience of the music is framed by these expectations. It therefore clearly follows from these arguments that the mythologisation of composers directly affects the aesthetic experience created when listeners engage with their works. Thus, the holding of mythologised beliefs about canonic composers can operate as a type of alignment by

⁴⁶⁹ This is a loose term that is being used here to mean music that was composed by a composer who is now dead and that falls far enough in the past to be seen as a distinct historical object. Although it of course is not possible to define exactly how many years need to pass for music to become historical, the gap between composition and present-day performance needs to be long enough for some of the practices discussed in Chapters One and Three, such as the mythologisation of the composer, to become potential issues.

listeners, as it actively shapes the aesthetic experience created when listening to the music of these composers.

Chapter One uses two case studies drawn from the oeuvres of two of the most ubiquitously mythologised composers within the entire Western art music canon, Johann Sebastian Bach and Gustav Mahler. The first of these case studies develops an empirical investigation into present-day listeners' experiences of Bach's Concerto for Two Violins. This study shows that listeners who believed in aspects of Bach's mythologised reputation enjoyed an extract from the violin concerto more than those who did not. This reinforces the more general theories of the chapter as a whole by providing concrete empirical data that listeners who had mythologised beliefs as the focus of their horizons of expectations experienced the music differently to those who did not. Despite the fact that it is not possible to know whether or not these mythological expectations were the cause of the enhanced enjoyment, or vice versa, it could still be concluded that the Bach Myth is self-perpetuating and works to provide an ongoing foundation for his cultural positioning and reputation today.

From these theories the chain of communication reproduced in Diagram 1.1 below was constructed:



Reproduction of Diagram 1.1: The chain of communication showing how aesthetic experience is constructed for mythologised composers

This chain of communication has a sizeable historical gap running through its centre, with the action of composing taking place over three hundred years before the act of listening. Consequently, within this chain of communication there is often a misalignment between the listener and the original composer, with this relationship

being mediated by the text. This can often cause a text-centric approach to the performance of the historical text, as described in the examination of the historically informed performance movement in Chapter Three.

When listening to canonic music the broader discourse surrounding the music can often provide the listener with expectations of a mythologised composer, who is not the same entity within the chain of communication as the original composer, yet is constantly related back to it. This mythologised composer provides the means for a realignment within the chain of communication since now the whole chain is contained within the same temporal moment. This is important because the listener can then hold expectations of a mythologised composer, not of the original composer, even if these two phenomena are related. This is because the listener lives within the cultural context of a mythologised composer, not that of the original composer.

The second case study within this chapter continues to develop this theory by looking at the mythologisation of Mahler and its impact on the standing of his Fourth Symphony. By showing how the reception of this work has altered through the course of the twentieth and early twenty-first centuries it is shown how a myth about a composer can often provide a contextual framework within which a composer's entire oeuvre is understood. Thus in Mahler's case, the symphonic works as a complete body are seen to be related to his reputation as a composer struggling with the broader epistemological questions of life and death. Accordingly, the case study explores how the aspects of the Fourth symphony which could be seen to reinforce mythological conceptions of the composer were valorised over and above those aspects which did not. This was seen in turn to have altered the experience of the work.

Both of these case studies therefore show how listeners constructed their own mythologised views of composers which are not always factually representative of these composers, although they do of course relate back to them. Thus, it is concluded that listeners' beliefs in myths can affect the ways in which music is experienced and the broader discourse surrounding the music. In so doing, it becomes clear that the listener and his or her expectations need to be taken into account in the chain of communication if the full listening process is to be understood.

It can be seen in the Mahler case study that altering the cultural context and positioning of mythologised composers is extremely difficult, as these have been constructed over many years and for many different reasons, and are so culturally engrained that a concerted and continued effort is needed to change them. As such,

listeners who are faced with a musical work which does not fit the mythologised reputation of its composer can experience cognitive dissonance, a psychological discomfort created by holding two contrasting beliefs or expectations simultaneously. The example of Mahler's Fourth Symphony shows how it is easier to alter the expectations surrounding an individual work to make them fit into a mythologised framework than to alter this framework itself. This alteration in expectations can then work to remove the cognitive dissonance. This can be seen as an example of the realigning cognitive practices undertaken by the listener within the chain of communication.

The significance of this realigning action on the part of the listener for the construction of aesthetic experience is also explored within the first chapter. Firstly, it is related to the enhancement of listening pleasure, as suggested speculatively by the theories of Jauss and empirically in the results of my investigation. Secondly, it reduces cognitive dissonance and thus helps to remove psychological discomfort.

It is particularly important to note that neither of these actions alter the actual constitution of the musical text, but instead are recontextualising actions including this text, undertaken by listeners and related audiences such as musicologists. As such, in order to depict a clearer picture of the construction of musical experience, it is necessary to take into account the expectations and processes undertaken by listeners.

Although the conclusions drawn from this chapter were focused on the experience of Bach and Mahler's music, they could also be applied to the present-day experience of historical music by similarly mythologised canonic composers. This is because the contexts created for these composers are so engrained within the very dissemination of these composers' works that it is almost inevitable that listeners will be affected by these contexts. As such, even if the myths around mythologised composers are different in both their form and in the ways in which they were constructed, as the myths about Bach and Mahler were, this does not prevent them from functioning in the same way.

Chapter Two focuses on a different link within the chain of communication, that of the composer. It shows the importance of considering the composer's expectations of the performers, listeners and the performing and listening contexts when looking at aesthetic experience. In so doing, it constructs a theory of composition that argues that composers and performers can enter into an intersubjective relationship towards a common object, the performance of a score. This is different to the usual

communication model which either does not acknowledge the performer's role in the communicative process, or sees the performer purely as a mediator between the text and the listener. The composer has expectations that the performer will have expectations and input into the musical performance, and that the listener will also have an awareness of this fact. Aesthetic experience can therefore be more likely to be enhanced when the music is received if the composer understands the chain of communication and the relationships within it. Furthermore, and as within Chapter One above, the sets of relationships within the broader chain of communication are also something considered by the composer, for example the listeners' expectations of the performers can be taken into account at the composition stage.

The first case study within this chapter looks at a selection of different compositions by Joseph Haydn, who perfectly exemplified how a successful anticipation of the chain of communication at the point of composition could result in immediately popular reception. For example this was seen when considering the impact that the relationships between performers will have on listeners, such as in the examination of the bassoon part in Symphony No. 93. Here Haydn used his understanding of performing relationships to guarantee as far as possible to enhance the aesthetic experience for his audiences, and this is reflected in the work's immediate success.

It is clear that through his successful anticipations of performances, and his full understanding of the intersubjective relationships that can arise towards a common object, Haydn also brought into alignment the links within the chain of communication. He did this by considering the expectations the listeners had not only of the text, but also of the performers. Furthermore, he allowed room within the chain for the performers to themselves have relationships with both the audience and the works being performed through his understanding of the intersubjective relationship between composers and performers.

This case study focuses upon one very particular historical point, the instrumental and orchestral music of the 1790s, which as discussed within the chapter was a turning point within the history of musical performance. At the time, it was possible to write for a newly emerging public audience without too much concern about the role of the composer within a musical line of posterity or about the need for compositions to be popular at repeat performances. As such, Haydn had a degree of

freedom to compose purely for the original moment of the work's performance: a freedom that was not available to composers shortly after this historical point.

The second case study examines various works by Franz Schubert, some of which were extremely successful and others that were complete failures. It shows how, once again, compositions could thrive when the full chain of communication was taken into account at the compositional stage. Conversely, it also examines the compositional context of *Alfonso und Estrella*, an opera which was received almost entirely negatively. In this example, Schubert failed to understand the broader relationships brought into being within the musical experience of opera, and in particular those between the performers and listeners. Instead, he became preoccupied with forming an intersubjective relationship between himself and the work's librettist, Franz Schober, and in so doing neglected to understand the potential relationships between the performer, work and listeners. As such, it can be said that Schubert failed to align the relationships with the chain of communication for the opera's reception, and instead created a misaligned set which in turn contributed to the work's failure.

The final works examined within this case study are Schubert's symphonies, especially Symphony Nos 6 and 9, composed in the 1820s. This particular example marks the historical 'progression' since the Haydn symphonies of the 1790s, since it demonstrates how an internal tension had developed within the chain of communication. That is to say, Schubert was aware of how his symphonies would fit within the line of symphonic posterity yet at the same time wanted to achieve success with contemporary audiences. For the first time within musical history, these two things had become increasingly far apart. To overcome this issue, Schubert would have needed a considerable understanding of how to use relationships within the chain of communication to align the various desires of the different parties involved within the musical experience. However this was something he failed to achieve. This case study therefore functions at a general level, since it maps trends that will become more important throughout the nineteenth and twentieth centuries, as will be discussed in more depth below.

The final chapter is concerned with the performer's role in the chain of communication, and examines the different ways in which performers can utilise the chain of communication to enhance the aesthetic experience of listeners. The chapter opens with a popular music case study. This change in the genre of music which had been examined up to this point is necessary in order to isolate the role of the performer

from that of the composer. That is to say, a popular music case study was needed in order to move away from the idea of a performer as holding a less important role than that of an authoritative composer's text and instead focus on an example where the performer, who was also the composer of the music, had the freedom to alter their role in the chain of communication at will.

The first case study in this chapter is therefore an examination of Procol Harum's 1969 single, 'A Salty Dog', which has three different performance versions which have been used throughout the song's long performance history. All three of these versions are considered a full part of Procol's repertoire, with no sense of later versions replacing the earlier ones. The different versions fall into different subgenres of rock, with the studio recording most easily being described as progressive rock, yet the choral and orchestral versions as symphonic rock. The versions also have different structures, words and performing forces.

The case study describes how these differences between the three versions can be seen to be related to the changing performance contexts and audience expectations for the performance situation of each version. In particular, the band use the different versions of the song to mirror the behaviours and expectations of a core group of fans, who are themselves actively involved in the musical creation process and the organisation and dissemination of the band's reputation. The band also aligns the chain to reflect the broader contexts and performing situations in which the song is performed. In this way, the music and its performances become a means of creating a shared meaning and significance between the band and its fans and the musical changes made to the song manifest this.

Many existing theories of performance are beholden to the idea that the audience is a passive element in the communicative process. This case study problematises this idea by showing how the beliefs and expectations of an active audience can become a key part of performance decisions and musical materials. Clearly, this too is a form of realignment between the practices of the performers and the expectations of the listeners, with the differences between the versions being clear manifestations of the realigning practices of the performers. Although this case study looks at the work of one band, the idea of an active audience is one that can be extended into the work of other popular music groups, and also many amateur performing ensembles in different genres who also take into account the feedback and expectations of their audiences in their performances.

The final case study looks at the work of the Early Music ensemble Red Priest, who recompose past works into charismatic and virtuosic performances which are often performed in costume. This section further shows the problems of the full chain of communication not falling into the same historical era, since the expectations and contexts of the music and its performance cannot always be fully taken into account at the compositional stage. This can again cause misalignment between the parts of the chain of communication, which is incomplete. Red Priest address this issue by creating a new chain of communication within the present-day which acts as a simulacrum of a past chain. This provides an audience with a full chain of communication, and forms an alignment which can allow for an aesthetic experience. Nonetheless, this chain is a simulacrum and thus can hold a problematic relationship with the original chain it strives to mirror.

This chapter as a whole raises important issues about the practices of performers, in particular how they work to bring the expectations of listeners into alignment with the potential of a musical work. It also casts doubts on the assertions that listeners are passive recipients of a musical experience, showing how in some cases the listeners can themselves help to mould the work of performers and the experience that results from this.

4.2 The Historical Contexts of the Chains of Communication

The case studies presented within this thesis do not and indeed cannot present a linear history of the shifting relationships between composers, performers and listeners. Nonetheless, they do shed light on some of the key changes within the chains of communication at various historical points which in themselves document various changes within the transmission and construction of musical works more generally.

The composition by J. S. Bach in the first chapter was composed in around 1730, and as such its reception was not documented since at this point music was composed predominantly for specific situations or occasions and was not subject to documented discourse. By the 1790s, the time of the Haydn compositions discussed in Chapter Two, there was starting to be some discourse about music and its reception was being documented. Nonetheless, this was mostly factual in its nature and did not describe the music in depth or its effects on listeners. This moment in history was a turning point as the symphonic music performed at public concerts had the opportunity to please everyone: the audience, the critics, the performers and the composers could all fall into the same chain of communication without any internal tensions. It was also possible during this period for a composer to write publicly popular music for the present moment without concern about their relationship with the canonic line of great composers before him or her.

By the 1820s, the period of the Schubert case study, this situation had changed considerably. Firstly, musical discourse was starting to be documented with a greater attention paid to the music itself and its broader role within the context of musical appreciation. Secondly, there was an increased sense of composers working to fit the line of great composers, especially to try to situate themselves around the cultural precedent set by Beethoven and his creative output, which played heavily on the minds of many composers. As such, a tension had started to develop within the chain of communication between composing for the expectations of a contemporary audience and composing to fit within this line of posterity, both at that moment and within the future.

By 1904, the time of the Mahler case study, this tension had become a normal part of the chain of communication, with composers routinely composing beyond the expectations of audiences for posterity. As such, there is a sense that composers no longer trusted audiences to be able to discriminate what good music was, and

increasingly worked with these supposed shortcomings on the part of audiences in mind. This tension between composers and audiences also manifests itself within the now detailed discourse about musical performances and the broader meanings of the music itself, and other documentation such as the diaries and letters of composers. This is seen clearly within the Mahler case study, in which the Symphony No. 4 became a canonic symphonic masterwork despite initially being met with almost entirely negative reception. Furthermore, Mahler's own comments about the use of humour within composition make it clear that he did not expect the audiences to understand the humorous moments as he had intended yet this did not prevent him from including them in the work anyway. However, in so doing, Mahler reduced the alignment within the chain of communication and it was later changing contexts that made allowances for this, in turn altering the experience of the work.

4.3 The Chain of Communication and its Ramifications for Understandings of Aesthetic Experience

As stated in the introduction, the underlying aim of this thesis has been to understand how aesthetic experience is brought into being through case studies which examine musical experience in action, rather than as an abstract theoretical concept. The conclusion has so far discussed the (re)aligning practices of links within the chain of communication, shown how these have impacted upon the other links within this chain, and then discussed how this affects the aesthetic experiences of these links. This section will thus summarise these practices and further explore their ramifications for understanding the construction of aesthetic experience more generally.

The chapters above show that creativity, if this is understood as the creation of music which in turns creates the potential for a musical experience, is almost always an intersubjective process. Whilst, in the repertoires studied here, composition is usually undertaken at one point in time by a single creator, the processes, both cognitive and otherwise, which are important for the construction of aesthetic experience can take place across different points in time and be undertaken by various different people. That is to say, the people involved in the intersubjective process do not always have to know or even know of each other, nor must they be situated within the same moment in time or sociological context. Despite this, they can still have relationships with each other within the chain of communication, and these can affect the experience of the music, as the chapters above have shown in various different performing situations and contexts. To fully understand musical creativity and aesthetic experience, creativity must in turn be understood as an intersubjective process which takes place across different levels.

This idea can be seen to be an extension of the ideas of scholars such as Georgina Born, who similarly calls for a greater understanding of musical creativity as a social process.⁴⁷⁰ Indeed, she suggests that ‘theories of mediation offer a way of understanding both how meaning becomes attached to music, and how music exists as a decentred and distributed object, with changing interrelations between its component mediations. These perspectives reveal music to be a medium that makes mutable some of the central dualisms of Western metaphysics: the separation of subject from object,

⁴⁷⁰ Georgina Born, ‘On Musical Mediation: Ontology, Technology and Creativity’, *Twentieth-Century Music* (Volume 2, 2005), 7-36

authentic from artificial, present from past, individual from collectivity.⁴⁷¹ In spite of this, Born's theories do not in my opinion examine deeply enough the cognitive processes undertaken in the creation of musical meaning and experience, instead predominantly focusing on visibly active relationships. Thus, my thesis questions the myth of individual creativity and also questions the idea that aesthetic experience is determined essentially or even primarily by the act of composition.

The listener was seen to undertake a cognitive realignment process, that is to say mythologisation is a process which is undertaken purely during the cognitive evaluation of sound and its contexts and does not affect any physical part of the immediate performance. This process did not alter the musical text but rather helped certain aspects of it to become valorised over others or to be experienced differently. Nonetheless it can be argued that the performances of canonic works will gradually reflect their listening contexts and the expectations of their audiences, although this is a very gradual response. It is clear that the cognitive process is, despite its lack of immediately visible or audible manifestation, an active response to music on the part of the listener. The listener engages with an often detailed and historical cultural context on the part of the composer yet at the same time responds to the immediacy of the reception act and as such aesthetic experience is created at the mediation point of these two phenomena. It can therefore be said that the cognitive process has two different stages to it: one of understanding the context of the work and one of contemplating the work. Thus, as in Jaussian theory, the contemplation of the work becomes part of the broader context for future contemplations. In this way, the process takes place over an indefinite period of time, embracing both past and present whilst also remaining open-ended for the future.

The alignment process undertaken by the composer is similarly cognitive, but obviously greatly affects the construction of the musical work and its performance. As with the listener, the process usually takes place after a committed and detailed response, this time to the context of the music's composition and its performance situation. However, unlike the process undertaken by the listener, the composer's process takes place before the musical performance, that is before the other links within the chain engage with the music.

Finally, the performers' processes as examined in Chapter Three were seen to be performative in nature, rather than cognitive. Although this statement seems as though it

⁴⁷¹ Ibid, 33

should be obvious, as discussed above, the performer's role in the chain of communication is purposely minimised in many musical performances, thus the impact of this performative process is similarly reduced. The performer's process is developed in many different stages, some of these, such as the symbiotic relationship between Procol Harum and some of their audience members, take place before the musical performances. However, obviously the construction of performance personae and the foregrounding of the performances as performance foci can only take place in the moment of the performance. Thus, the performer's role can be spread across various different stages.

The processes are often very different in their functions and manifestations, yet all have the same feature in common as they all work to lessen misalignment, either by constructing aligned chains of communication in the first place, or by realigning chains that are either misaligned through construction or have become misaligned. These arguments can be summarised in the table below:

Link in chain of communication	Type of process	Stages of process	Function
Listener	Cognitive	Embraces the event and its past and future contexts	Realignment
Composer	Cognitive and performative	Before the event	Construction of aligned chain
Performer	Performative	During the event, but can also embrace its past contexts	Realignment

Table 4.1: Processes within the construction of aesthetic experience

It can be seen that activity within the construction of aesthetic experience takes place at different levels, with some actions being visibly performative yet others being cognitive and thus not easily seen. This can lead to the situation whereby, for example, listeners are seen as passive recipients of aesthetic experience, rather than active participants, since their role is at this unseen cognitive level. However, as has been discussed throughout this thesis, this situation is highly problematic as unseen cognitive processes have extremely important effects on how music is experienced.

The acknowledgement of these different levels within the construction of aesthetic experience contrasts with more conventional models of communication which track only the active transmission of sound, or more problematically its 'meaning',

rather than including the cognitive levels which may work in different or opposite directions to these models.

4.4 The Interactions between the Links within the Chain of Communication

The sections above have concentrated on particular sets of relationships between the different links within the chain of communication. As stressed in the introduction, the diagrams presented within each chapter do not show every single possible relationship and indeed often omit certain roles. This is not because these other roles do not play a part, but because within the relationship that is being discussed their role has less impact than the ones that are being focused upon. However, in some cases, the cultural context has privileged some roles over others with marked effects on the resulting aesthetic experience.

Thus, it can be said that the links in the chain interact differently depending on the context and the genre. In Chapter One, the listener was seen to engage with the composer and the performer did not directly intervene with the process of shaping the aesthetic experience, as within this classical and often recording-heavy cultural context, the performer conventionally plays only a very limited role. Despite the very decorum and theatricality of classical music performance arguably being linked to composer mythologisation, performers do not really differentiate between different repertoire in their enactment of myths. This contrasted a great deal with the situations explored within Chapter Three, in which live performance was being the locus of the mediation between links of the chain of communication. Here the performer interacted with both the composer, if indeed there was a separate one, but particularly with the listener to form strong links in order to close gaps and reduce misalignment. Finally, Chapter Two showed that the composer and performer can interact so strongly that they can form an intersubjective relationship towards the score and its performance, and therefore misalignment can sometimes be created towards the listener.

4.5 Conclusion

This thesis opened with an exploration of the term aesthetic experience, which concluded that the very concept is difficult, if not impossible, to define and can therefore be described as essentially contested. It was also suggested that whilst the term is hard to define it is still a useful one, and one which most people will have personal experience of and an instinctive feeling for its meaning, even if they too cannot define the term. The philosophical debates over the term were also introduced, with the conclusion that aesthetic experience is, even if nothing else can be agreed upon, an experience to be valued highly.

As such, the thesis looked at the various ways in which aesthetic experience can be brought into being and the methods and actions used by the various different people involved in the construction process to work to ensure that aesthetic experience is brought into being. Conversely, it also explored some examples in which various people within the construction process had failed positively to shape the aesthetic experience of listeners, and showed how and why they failed. In this way it showed that existing theories of the relationships within music are inadequate as they do not take into consideration the cognitive processes undertaken by ‘passive’ links within the chain of communication. Similarly, theories of musical communication are inadequate as they are beholden to literal accounts of the transmission of sound.

Thus, it can be concluded that:

- Aesthetic experience can be understood better when the full chain of communication is taken into account, since even supposedly passive links within this chain can be contributing to its construction.
- Links within this chain of communication have expectations of all other parts of the chain of communication. These expectations differ depending on the cultural and historical context within which they are situated.
- Each link within the chain can work to pull it into alignment and thus enhance aesthetic experience.
- The processes through which musical aesthetic experience is created are almost always intersubjective ones.
- Historical gaps within the chain of communication are not a problem from the point of view of the repertoire, however the links within the chain must either be

working *in* or for the moment of the work's reception in order to prevent or correct misalignment.

- Although a general theory of alignment can be put forward, using specific case studies can give a fuller picture of aesthetic experience and shed new light on the understanding of existing repertoire.

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Heiko ter Schegget and Hendrik Bouman, *The Virtuoso Recorder*, All Saints' Chapel, Eastbourne, March 15th 2009

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Appendix A: Details of the empirical investigation into J. S. Bach's Concerto for Two Violins (BWV 1043)

Contents.....	A1
1. Questionnaire Template.....	A2
2. Methodology and Key Results.....	A19
3. Score of the extract from J. S. Bach's Concerto for Two Violins	A24
4. Score of the extract from Telemann's Concerto for Two Violins	A26

1. Questionnaire Template

Music Survey A

Thank you for taking part in my music study. This will involve filling in some short questionnaires and listening to two short pieces of music. This will take approximately 20 minutes.

You can withdraw at any point without giving a reason.

All information in this survey will be used anonymously and will be kept confidential.

How often do you listen to music?

- ☐ More than once a day
- ☐ Once a day
- ☐ At least once a week
- ☐ At least one a month
- ☐ Less Often

What do you enjoy most about listening to music?

	Strongly Agree	Slightly Agree	Neither Agree nor Disagree	Slightly Disagree	Strongly Disagree
Its emotional effects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Its narrative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It covers silence and/or acts as company	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It is relaxing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It is exhilarating	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It aids socializing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It passes time when travelling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It helps me study or work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please state in box below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other

What do you enjoy least about listening to music?

.....

.....

.....

.....

.....

.....

What kind of music do you normally listen to?

.....

.....

.....

.....

.....

.....

In which situations do you normally listen to music? How much would you normally engage with the music in each situation? (i.e. is the music most often background music or the specific focus of your attention?)

	Background Music	Occasional focus of attention	Constant focus of attention
Whilst Travelling	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of a TV/Radio/Internet (etc.) broadcast	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of education classes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At a concert or other live performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At church (or another religious environment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst socializing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst studying	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Covering silence/for companionship	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please state in box below)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other

Have you studied music? If yes, in which way and to what level? (e.g. in instrumental lessons, in school/college/university, informally for personal interest).

Yes ☐ No ☐

In which way and to what level?

.....

.....

.....

.....

Please read the following statements on how you felt during the period of silence and indicate your agreement with them. Please answer as quickly and as honestly as possible.

The period of silence made me:

feel conscious of my real surroundings.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel in a good mood.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel like time seemed to be going quickly.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I didn't find listening to silence a pleasurable experience.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The period of silence made me:

feel aware of my everyday existence, problems etc.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel uplifted

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel that time seemed to be going slowly

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

conscious of my own mind and state.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel removed from my environment.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel that I could shift my attention to something else with ease.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

conscious of the passing of time

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

enjoy myself.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel removed from my real life

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel dispirited

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel fulfilled

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel aware of someone else's mind and state (if you agree, whose?)

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

Whose?

I enjoyed the period of silence

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The period of silence made me feel:

	Strongly Agree	Slightly Agree	Neither Agree nor Disagree	Slightly Disagree	Strongly Disagree
Sad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dispirited	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Optimistic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bored	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Calm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serious	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extroverted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Do you know any pieces by Johann Sebastian Bach?

Yes ☐ No ☐

If yes, can you identify one which you particularly enjoy?

.....

.....

.....

What aspects of his music do you like?

.....

.....

.....

.....

What aspects of his music do you not like?

.....

.....

.....

.....

In which situations do you normally listen to Bach's music? How much would you normally engage with the music in each situation? (i.e. is the music most often background music or the specific focus of your attention?)

	Background Music	Occasional focus of attention	Constant focus of attention
Whilst Travelling	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of a TV/Radio/Internet (etc.) broadcast	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of education classes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At church (or another religious environment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At a concert or other live performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst socializing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst studying	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Covering silence/for companionship	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please state in box below)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other

What, if anything do you know about Bach? (e.g. his life, his music, his broader cultural context etc.)

.....

.....

.....

.....

.....

.....

What, if anything, interests you about Bach? (e.g. his life, his music, his broader cultural context etc.)

.....

.....

.....

.....

.....

.....

What are the key word associations you form when you think of Bach? (Try to list a few words)

.....

.....

.....

.....

.....

.....

Now read the following statements on how you felt whilst listening to the music and indicate your agreement with them. Try to answer as quickly and honestly as possible.

This music seemed to address me.

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

The music made me:

feel conscious of my real surroundings

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

conscious of the passing of time.

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel uplifted

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel that time seemed to be going quickly

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

enjoy myself.

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel aware of my everyday existence, problems etc.

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel aware of someone else's mind and state (if you agree, whose?)

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

Whose?

feel fulfilled.

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel that time seemed to be going slowly

☐ Strongly Agree ☐ Slightly Agree ☐ Neither Agree nor Disagree ☐ Slightly Disagree ☐ Strongly Disagree

feel like I could shift my attention to something else with ease

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel in a good mood.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel removed from my real life.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

conscious of my own mind and state.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I enjoyed this piece of music

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The music made me:

feel removed from my environment.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel dispirited.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I related to this music.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I didn't find listening to this piece a pleasurable experience.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

This music seemed to be addressed to someone or something other than me. (If you agree, whom/what?)

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The music made me feel:

	Strongly Agree	Slightly Agree	Neither Agree nor Disagree	Slightly Disagree	Strongly Disagree
Sad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dispirited	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Optimistic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bored	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Calm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serious	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extroverted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Was the music...?

Slow	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Simple	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attractive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texturally Thin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Soothing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serious	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extroverted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please briefly describe the music

.....

.....

.....

.....

.....

.....

Please briefly describe the experience of listening to the music

.....

.....

.....

.....

.....

.....

Did you recognise the music?

Yes ☐ No ☐

If yes, does it hold any strong personal associations or memories for you?

Yes ☐ No ☐

Do you know any pieces by Georg Philip Telemann?

Yes ☐ No ☐

If yes, can you identify one which you particularly enjoy?

.....

.....

.....

What aspects of his music do you like?

.....

.....

.....

.....

What aspects of his music do you not like?

.....

.....

.....

.....

In which situations do you normally listen to Telemann's music? How much would you normally engage with the music in each situation? (i.e. is the music most often background music or the specific focus of your attention?)

	Background Music	Occasional focus of attention	Constant focus of attention
Whilst Travelling	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of a TV/Radio/Internet (etc.) broadcast	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of education classes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At church (or another religious environment)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
At a concert or other live performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst socializing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Whilst studying	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Covering silence/for companionship	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please state in box below)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other

What, if anything do you know about Telemann? (e.g. his life, his music, his broader cultural context etc.)

.....

.....

.....

.....

.....

.....

What, if anything, interests you about Telemann? (e.g. his life, his music, his broader cultural context etc.)

.....

.....

.....

.....

.....

.....

What are the key word associations you form when you think of Telemann? (Try to list a few words)

.....

.....

.....

.....

.....

.....

Now read the following statements on how you felt whilst listening to the music and indicate your agreement with them. Try to answer as quickly and honestly as possible.

I enjoyed this piece of music.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

This music seemed to be addressed to someone or something other than me. (If you agree, whom/what?)

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

Whom/What?

The music made me:

feel conscious of my real surroundings

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel dispirited.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

conscious of the passing of time

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel aware of my everyday existence, problems etc.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

conscious of my own mind and state.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel that time seemed to be going quickly

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

enjoy myself.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel removed from my real life.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel aware of someone else's mind and state (if you agree, whose?)

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

Whose?

feel that time seemed to be going slowly

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel removed from my environment.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel uplifted

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel like I could shift my attention to something else with ease.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

feel fulfilled.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I related to this music

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

I didn't find listening to this piece a pleasurable experience.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The music made me feel in a good mood.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

This music seemed to address me.

☐

Strongly Agree

☐

Slightly Agree

☐

Neither Agree nor Disagree

☐

Slightly Disagree

☐

Strongly Disagree

The music made me feel:

	Strongly Agree	Slightly Agree	Neither Agree nor Disagree	Slightly Disagree	Strongly Disagree
Sad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dispirited	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Optimistic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bored	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Calm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serious	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extroverted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Was the music...?

Slow	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sad	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Simple	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attractive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Texturally Thin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Soothing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Serious	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Extroverted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please briefly describe the music

.....

.....

.....

.....

.....

.....

Please briefly describe the experience of listening to the music

.....

.....

.....

.....

.....

.....

Did you recognise the music?

Yes ☐ No ☐

If yes, does it hold any strong personal associations or memories for you?

Yes ☐ No ☐

Thank you very much for your time!

Please do not hesitate to ask any questions or offer any comments on this study.

2. Methodology and Key Results

This section is presented in far more detail than would normally be expected for empirical work within the social sciences, particularly concerning the methodology. This is because the thesis is aimed at a non-expert reader. All of the data described below and much more is presented within a separate CD and requires SPSS Software to read, however this is for completeness only and the following section provides over and beyond the information necessary to understand the role of the empirical work within the first chapter.

Before an analysis of the responses could be undertaken, the questions had to be coded by variable in order to be processed by SPSS statistics software. At the same time, every response to each question had to be given a numerical code, with attention being paid to whether or not the data was nominal, ordinal or scalar. For example, ‘how often do you listen to music’ became the variable name `music_freq`, and the possible responses were coded as ordinal data to 1= more than once a day, 2= once a day and so on. The open questions were slightly more difficult to code, as every response to each open question had to be read and categories manually chosen for them. These categories were checked independently to minimise bias and were then given numerical codes as above. Some open categories were split into different variables to allow for more statistical evaluation, although this in no way affected their accuracy, but instead allowed them to be analysed more efficiently.

After the variables had been coded some simple manipulations of the data had to be undertaken as some questions had been reverse-scored in order to ensure that subjects read the questions fully before answering, rather than simply clicking their way through the survey without fully processing the questions. Thus, statements such as “I could shift my attention with ease” would give opposite readings on the Likert scale to the others in their categories, and therefore this data had to be re-calculated into a new variable in order to overcome this. These new categories can be seen near the end of each section of data on the SPSS file on the accompanying CD.

As can also be seen, some questions which were originally intended to form part of the categories were excluded from the data analysis; for example, it was felt that the ‘feeling sad’ statement did not measure the same entity as the other questions within the category of dispiritedness, and the second question on feeling dispirited was excluded on the grounds of

being in a separate section of the questionnaire and thus not in keeping with best practices in the social sciences.¹

After this initial process of data input and simple data manipulation the results were tested for reliability by looking at their Cronbach's Alpha scores. This is a measure of how reliable the questions and statements are for each category, by testing the level to which questions within the same category are in fact testing for the same quality, such as for example edification. Nine such tests were undertaken: for edification, enjoyment and removal within each test condition. A good Cronbach's Alpha score is .7 or more. The results for this test are presented in the Table A1 below:

Condition	Category	Cronbach's Alpha Score
Bach	Enjoyment	.877
	Edification	.804
	Removal	.725
Telemann	Enjoyment	.850
	Edification	.830
	Removal	.656
Control	Enjoyment	.849
	Edification	.751
	Removal	.429

Table A1: Cronbach's Alpha Scores for each category within each condition

As can be seen from this table, the results were generally very satisfactory, with only the removal score for the control condition being particularly problematic. This could be because subjects' behaviours were different when sitting in silence than when listening to music. Also, in retrospect silence is possibly more likely to make you shift your attention with ease, but less likely to make you feel removed from life: this could have caused this problematic score. However, it is reassuring that the scores were more satisfactory for the music conditions. Clearly, as this is just one empirical experiment, this idea would be an area that requires more research in the future.

This check having been undertaken, the data could then be computed into a mean score for each subject within each category, allowing for an overall mean for each category to

¹ As advised by Andy Field in person

be computed. These are shown in table A2 below, which also shows the standard deviation for each score:²

Category	Condition	Mean	Standard Deviation
Removal	Bach	2.60	.87
	Telemann	2.86	.74
	Control	3.75	.56
Edification	Bach	2.20	.80
	Telemann	2.90	.85
	Control	3.70	.71
Enjoyment	Bach	1.83	.89
	Telemann	2.69	.68
	Control	3.62	.93

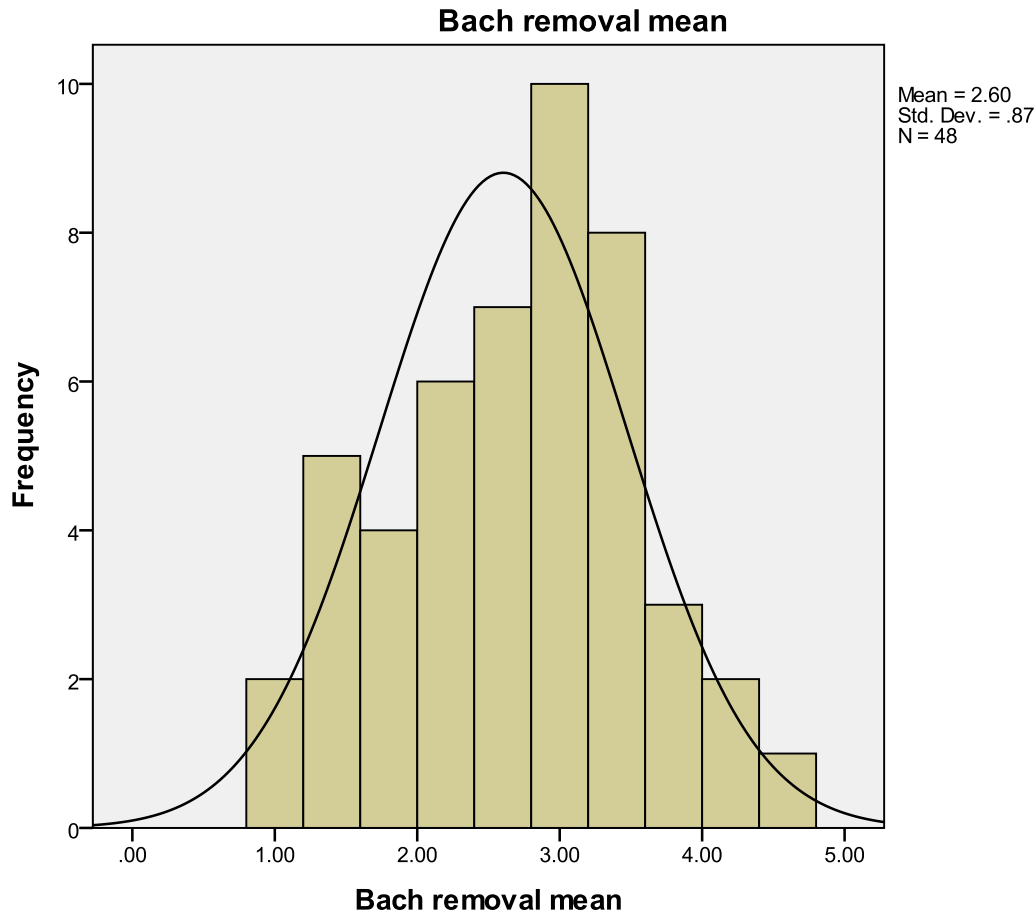
Table A2: A simple breakdown of the mean and standard deviation scores within each category

After this, an overall aesthetic experience score was computed for each condition, by taking the mean of each category. These were calculated into new variables as before.

The data was then tested for normality. In these instances, simply looking at the data when presented in histograms was adequate to establish that the data was not normally distributed. One such example is presented in Graph A1 below, which shows the distribution to be negatively skewed:³

² It is worth highlighting that at this stage in the data analysis, a low mean score is indicative of a stronger aesthetic experience, since this is the way the Likert scale was set up. This could be reversed for graphs, since most readers prefer a high score to indicate a more intense experience; however this is not necessary within this brief overview.

³ Thus if the data is reversed as described in the previous footnote it will still not be normally distributed, but will become positively skewed.



Graph A1: The distribution for the removal scores gained for the Bach condition

Since the data is not normally distributed the assumptions for using parametric tests have been violated, thus the data will be analysed using non-parametric tests.⁴

At the investigation's conception there were various different elements that were considered for being tested within the experiment. This is why there are numerous sections to the work. However, as the research within the thesis developed it became clear that myth and the effects that this has on listening became the main focus. As such, only results relating to this will be explained in full here.

As already discussed within the main body of the thesis, ten subjects described views within the open questions that could be seen as propagating the Bach Myth. Thus, these people have been coded into a different group to those who did not seem to be actively affected by the Bach Myth. A Mann-Whitney test was therefore undertaken to see how experiences differed between the two groups, giving one clearly significant result and one borderline significant result: Bach Myth believers ($Mdn=1.00$) significantly enjoyed the Bach extract more than the non-believers ($Mdn=2.00$), $U = 75.500$, $p < .01$, $r = -.43$.

⁴ Andy Field, *Discovering Statistics Using SPSS*, second edition (London: Sage, 2005), 521-533

The Bach Myth believers ($Mdn=2.42$) also experienced the Telemann extract more significantly than the non-believers ($Mdn=2.85$), $U=111.500$, $p<.1$, $r=-.29$. However, although this result is worth acknowledging, it is not particularly problematic. Firstly, it is not significant at a $p<.01$ level, unlike the first result. Secondly, its effect size (r) is only small, whereas for the first result the effect size is medium.⁵ From this we can infer that the belief in the Bach Myth does seem to have affected the overall enjoyment of the Bach extract, which backs up the speculative research undertaken in the rest of Chapter One. Furthermore, it is not of great concern that the overall aesthetic experience score was not significantly different, since as discussed within the body of the thesis, aesthetic experience is an essentially contested concept and therefore extremely difficult to measure empirically. As such the fact that the result is not different could be down to the categories of aesthetic experience chosen which are not definitive. Similarly, the result could still be different, however in this experiment it was not significantly different, and it is this criteria which is more stringent and thus has been used here.

Nonetheless, the significant enjoyment result is made more interesting when it is taken into consideration that enjoyment is the only component part of aesthetic experience that is not contested by scholars. It is also pleasing that it is the most reliable category as shown by the Cronbach's Alpha score above.

The empirical work therefore gives results that suggest that myth is something that is an important feature of the horizons of listeners, with 21% of subjects seeming to be affected by it and discussing elements of myth within open questions. Furthermore, these people had a significantly different reaction to the Bach extract than those who did not have a belief in myth as a core part of their horizon of expectations, yet there was no significant difference in either the control or Telemann conditions.

⁵ Using Cohen criteria of effect size, see Julie Pallant, *SPSS Survival Manual*, third edition (Berkshire: Open University Press, 2007), 223

3. Score of the Extract from Largo ma non tanto from J. S. Bach's Concerto for Two Violins, BWV 1043⁶

Largo ma non tanto.

poco piano

B.W. XXI (1).

⁶ Extract fades out in final bar. Music reproduced from *Bach-Gesellschaft Ausgabe, Band 21*

Leipzig: Breitkopf & Härtel, 1874. Plate B.W. XXI (1), available from

<http://imslp.org/wiki/Concerto_for_2_Violins_in_D_minor,_BWV_1043_%28Bach,_Johann_Sebastian%29>

Accessed November 25th 2011

First system of musical notation, measures 1-3. The system consists of six staves. The top two staves are treble clef, and the bottom four staves are bass clef. The notation includes various musical symbols such as notes, rests, and accidentals. Below the staves, there are fingerings and other markings: $\frac{4}{2}$, a , b , 7^b , $(a) 7$, $\frac{7}{4}$, a , and a .

Second system of musical notation, measures 4-6. The system consists of six staves. The top two staves are treble clef, and the bottom four staves are bass clef. The notation includes various musical symbols such as notes, rests, and accidentals. Below the staves, there are fingerings and other markings: $\frac{4}{2}$, a , 7 , 7 , a , 7^b , a , a , a , a , a , and $\frac{a}{4}$.

Third system of musical notation, measures 7-8. The system consists of six staves. The top two staves are treble clef, and the bottom four staves are bass clef. The notation includes various musical symbols such as notes, rests, and accidentals. Below the staves, there are fingerings and other markings: $\frac{a}{4}$, $\frac{3}{4}$, $\frac{3}{4}$, $\frac{3}{4}$, $\frac{3}{4}$, and $\frac{3}{4}$. The word *pianissimo* is written below the staves.

4. Score of the Extract from Largo from Telemann's Concerto for Two Violins, TWV
52: G2⁷

Largo

The score is for the Largo movement of Telemann's Concerto for Two Violins, TWV 52: G2. It is written for Violino I concertino, Violino II concertino, Cembalo, and Violoncello. The time signature is 3/4, and the key signature is one sharp (F#). The score is divided into systems, with measures 5, 9, and 14 marked. Fingerings and bowings are indicated throughout the piece.

⁷ Reproduced from Georg Philipp Telemann, *Darmstädter Konzert*, M40. 141 (Wolfenbüttel: Mösel Verlag)

Appendix B: Mahler's Symphony No. 4

Contents.....	B1
1. The German text of <i>Das Himmlische Leben</i>	B2
2. An English translation of <i>Das Himmlische Leben</i>	B4
3. Mahler's "programme" as constructed from secondary sources	B6

1. The German text of *Das Himmlische Leben*¹

Wir genießen die himmlischen Freuden,
 Drum tun wir das Irdische meiden,
 Kein weltlich Getümmel
 Hört man nicht im Himmel!
 Lebt alles in sanfter Ruh'!
 Wir führen ein englisches Leben!
 Sind dennoch ganz lustig daneben!
 Wir tanzen und springen,
 Wir hüpfen und singen!
 Sankt Peter im Himmel sieht zu!

Johannes das Lämmlein auslasset,
 Der Metzger Herodes drauf passet!
 Wir führen ein geduldig's,
 Unschuldig's, geduldig's,
 Ein liebliches Lämmlein zu Tod!
 Sankt Lucas den Ochsen tät schlachten
 Ohn' einig's Bedenken und Achten,
 Der Wein kost' kein Heller
 Im himmlischen Keller,
 Die Englein, die backen das Brot.

Gut' Kräuter von allerhand Arten,
 Die wachsen im himmlischen Garten!
 Gut' Spargel, Fisolen
 Und was wir nur wollen!
 Ganze Schüsseln voll sind uns bereit!
 Gut Äpfel, gut' Birn' und gut' Trauben!
 Die Gärtner, die alles erlauben!
 Willst Rehbock, willst Hasen,
 Auf offener Straßen
 Sie laufen herbei!

¹ Emily Ezust, 'The heavenly life (Volkslieder(Folksongs), set by G. Mahler, G. Mahler)'
 <http://www.recmusic.org/lieder/get_text.html?TextId=4501> Accessed December 18th 2011

Sollt' ein Fasttag etwa kommen,
Alle Fische gleich mit Freuden angeschwommen!
Dort läuft schon Sankt Peter
Mit Netz und mit Köder
Zum himmlischen Weiher hinein.
Sankt Martha die Köchin muß sein.

Kein' Musik ist ja nicht auf Erden,
Die uns'rer verglichen kann werden. Elftausend Jungfrauen
Zu tanzen sich trauen!
Sankt Ursula selbst dazu lacht!
Cäcilia mit ihren Verwandten
Sind treffliche Hofmusikanten!
Die englischen Stimmen
Ermuntern die Sinnen,
Daß alles für Freuden erwacht.

2. An English translation of *Das Himmlische Leben*

*The heavenly life*²

We enjoy the heavenly pleasures
and avoid the earthly things.
No worldly tumult
does one hear in Heaven!
Everything lives in the gentlest peace!
We lead an angelic life!
Nevertheless we are very merry:
we dance and leap,
hop and sing!
Meanwhile, Saint Peter in the sky looks on.

Saint John has let his little lamb go
to the butcher Herod.
We lead a patient,
innocent, patient,
a dear little lamb to death!
Saint Luke slaughters oxen
without giving it thought or attention.
Wine costs not a penny
in Heaven's cellar;
and angels bake the bread.

Good vegetables of all sorts
grow in Heaven's garden!
Good asparagus, beans
and whatever we wish!
Full bowls are ready for us!
Good apples, good pears and good grapes!
The gardener permits us everything!
Would you like roebuck, would you like hare?
In the very streets
they run by!

Should a fast-day arrive,
all the fish swim up to us with joy!
Over there, Saint Peter is running already

² Translation from *ibid*

with his net and bait
to the heavenly pond.
Saint Martha must be the cook!

No music on earth
can be compared to ours.
Eleven thousand maidens
dare to dance!
Even Saint Ursula herself is laughing!
Cecilia and all her relatives
are splendid court musicians!
The angelic voices
rouse the senses
so that everything awakens with joy.

3. Mahler's "programme" to the Fourth Symphony, as constructed from secondary sources

Scherzo (Second Movement):

'[sounding] as if Death were fiddling away.'³

Ruhevoll (Third movement):

'[he] said in it, his mother's face, recalled from childhood, had hovered before his mind's eye: sad and yet laughing, as if through tears.'

'he said it bore the features of St. Ursula (of whom the fourth movement, 'Das Himmlische Leben,)' sings.'⁴

Das Himmlische Leben (Final movement)

'In the last movement...the child-who, though in a chrysalis-state, nevertheless already belongs to this higher world- explains what it all means.'⁵

Bruno Walter to Ludwig Schiedermair (5th December 1901)

'With these rather detailed reservations, let me tell you that the first three movements of the Fourth Symphony could describe a heavenly life. In the first movement, one could imagine a man getting to know this life. There is great cheerfulness, an unearthly joy that often attracts but at times seems strange. Life is bright and delightful and at times touchingly human. The second movement might be called *Freund Hein spielt zum Tanz auf* ("Friend Death is Striking Up the Dance"). Death fiddles rather strangely; his playing sends up to heaven, Again, this is only one of several possible descriptions. *Sankt Ursula selbst dazu lacht* ("St. Ursula Stands by Laughing") could be the title of the third movement. The most serious of the saints is laughing, so cheerful is this life. Actually, she only smiles- a smile, as Mahler told me, like the ones on monuments of old knights or prelates (seen when walking through old churches), with their hands folded over their chests and the faint, peaceful smile of the department who has found

³ Natalie Bauer-Lechner, *Recollections of Gustav Mahler* ed. P. Franklin (London: Faber and Faber, 1980), 162

⁴ Both quotations taken from *ibid*, 152-153

⁵ *Ibid*, 178

calm bliss. Solemn rest and serious, gentle cheerfulness characterize this movement, but it also contains deep, painful contrasts, like reminiscences of earthly life. At times cheerfulness grows into vivacity. If someone wonders what all this is about, a child answers in the fourth, the last movement: That is “The Heavenly Life.”⁶

⁶ Walter Lotte Lindt, (ed.), *Bruno Walter: Briefe 1894-1962*, quoted in Floros, *The Symphonies*, 114

Appendix C: Scores of *Erlkönig*

Contents.....	C1
1. <i>Erlkönig</i> by Franz Schubert.....	C2
2. <i>Erlkönig</i> by Carl Friedrich Zelter	C8

1. *Erlkönig* by Franz Schubert, D. 328 Op. 1¹

170

AUSGEWÄHLTE LIEDER.

1.
Erlkönig.

Goethe.

Op. 1.

59. *Schnell.* (♩ = 152.)

Wer rei - tet so spät durch Nacht und
Wind? Es ist der Va - ter mit sei - - nem

Edition Peters. 9023

¹ *Schubert-Album Sammlung der Lieder für eine Singstimme mit Pianoforte Begleitung, Bd.1*

Leipzig: C.F.Peters, Ed.20a, n.d. Plate 9023, From

<http://erato.uvt.nl/files/imglnks/usimg/9/93/IMSLP00888-Schubert_-_Erlk__nig_Op1.pdf> Accessed July 19th 2012

Kind; er hat den Kna - ben wohl in dem

Arm, er faßt ihn si-cher, er hält ihn warm.

Mein Sohn, was

birgst du so bang dein Ge - sicht? Siehst,

Va - ter, du den Erl - kö - nig nicht?

den Er - len - kö - nig mit Kron und

Schweif?— Mein Sohn, es ist ein Ne - belstreif.

„Du lie - - - bes Kind, komm,

decresc. *pp*

geh mit mir! gar schö - - - ne

Spie - - le spiel — ich mit dir; manch

bun - - - te Blu - - men sind an dem

Strand, mei-ne Mut - ter hat manch gül - - - den Ge - wand.“— Mein

Va - ter, mein Va-ter, und hö - rest du nicht, was Er-len-kö-nig mir lei - se ver-

p *decresc.*

spricht?— Sei ru-hig, blei-be ru-hig, mein Kind: in dür-ren

Blättern säuselt der Wind.— „Willst, fei - ner Kna - be, du mit mir gehn? mei-ne

ppp

Töch - ter sol - len dich war - ten schön; meine Töch - ter füh - ren den nächt - li-chen Reihn und

wie - gen und tan - zen und sin - gen dich ein, sie wie - gen und tan - zen und sin - gen dich ein."

Mein Va - ter, mein Va - ter, und siehst du nicht dort Erl -

kö - nigs Töch - ter am dü - stern Ort? — Mein Sohn, mein

Sohn, ich seh es ge - nau, es schei - nen die al - ten Wei - den so

grau. — „Ich

lie - be dich, mich reizt dei - ne schö - ne Ge - stalt, und bist du nicht

decresc.

cresc.

ff

p

pp

wil - lig, so brauch ich Ge - walt! — „Mein Va - ter, mein Va - ter, jetzt
 faßt er mich an! Erl - kö - nig hat mir ein Leids ge -
 tan! — Dem Va - - ter grau - set's, er rei - tet ge -
 schwind, er hält in Ar - men das äch - zen - de
 Kind, er - reicht den Hof mit Müh und
 Not; in sei-nen Ar-men das Kind war tot.

accelerando
cresc.
Recit.
Andante.

Edition Peters. 9023

2. Erbkönig by C. F. Zelter²

72

50. Erbkönig.

C. F. Zelter, 1797 begonnen, 1807 beendet. (1758 - 1832.)

Andante. *p* *poco f*

Wer rei - tet so spät durch Nacht und Wind? Es ist der Va - ter

mit seinem Kind. Er hat den Kna - ben wohl in dem Arm, er fasst ihn si - cher, er

hält ihn warm. *poco f, besorgt* Mein .. Sohn, was birgst du so

bang dein Ge - sicht? Siehst Va - ter, du den Erl - kö - nig nicht? den Er - len - kö - nig mit

dolce Kron' und Schweif? Mein Sohn, es ist ein Ne - belstreif.

dolce

² <<http://www.ericams.org/score/composer/z/zelter/zelter.html>> Accessed July 19th 2012

pp

„Du lie - bes Kind, komm, geh' mit mir! gar schö - ne Spie - le

spiel ich mit dir, manch bun - te Blu - men sind an dem Strand, meine Mut - ter hat manch

poco f. unruhig 30

göl - den Ge - wand“ Mein Va - ter, mein Va - ter und hö - rest du nicht, was Er - len - kö - nig mir

poco f

besänftigend

p

lei - se verspricht? Sei ru - hig, blei - be ru - hig, mein Kind, in dür - ren Blät - tern

p

pp

säu - selt der Wind. „Willst’

f *pp*

74

40

pp

fei - ner Kna-be, du mit mir gehn? Mei-ne Töch-ter sol-len dich war-ten schön, mei-ne

drängend mf

Töch-ter führen den nächtli-chen Reih'n und wie-gen und tanzen und sin-gen dich ein.“ Mein

mf

50 *ruhig*

Va - ter, mein Va - ter, und siehst du nicht dort Erl - kö - nigs Töchter am dü - stern Ort? Mein

Sohn, mein Sohn, ich seh es ge - nau, es schei - nen die al - ten Wei-den so grau.

„Ich lie - be dich, mich reizt dei - ne schö - ne Ge - stalt, und

60

cresc.

bist du nicht wil - lig, so brauch ich Ge - walt.“ Mein Va - ter, mein Va - ter, jetzt

cresc.

sempre più f

anwachsend *bis* *zum* *Schrei* *Adagio morendo* *pp*

fasst er mich an! Erl - kö - nig hat mir ein Leids ge - than! Dem

70

Va - ter grauset, er reitet geschwind, er hält in Ar - men das ächzen - de Kind, er -

reicht den Hof mit Mü - he und Noth, in sei - nen Ar - men das Kind war

todt.

— ANTECA

Appendix D: ‘A Salty Dog’ by Procol Harum

Contents.....	D1
1. Recordings of ‘A Salty Dog’	D2
2. Lead Sheet of ‘A Salty Dog’	D6
3. Words of ‘A Salty Dog’	D9
4. Additional Latin Text and English Translation	D10
5. Selected Promotional Material	D11
6. Tempo Graphs of Selected Performances of ‘A Salty Dog’	D14

1. Recordings of 'A Salty Dog'

Key to performers:

AC: Alan Cartwright

BW: Barrie 'BJ' Wilson

CC: Chris Copping

DBa: Dave Ball

DBr: Dave Bronze

DK: David Knights

GB: Gary Brooker

GBr: Gary Broad

GD: Geoff Dunn

GW: Geoff Whitehorn

JP: Josh Phillips

MBr: Mark Brzezicki

MBy: Michael Bywater

MF: Matthew Fisher

MG: Mick Grabham

MP: Matt Pegg

PS: Pete Solley

RM: Robbie McIntosh

RT: Robin Trower

Studio Versions (Recordings shown in shaded rows were used only in the initial, less-detailed examination)

Letter	Location	Ensemble	Version	Length (Approx.)	Vocals/ Piano	Organ	Guitar	Bass Guitar	Drums	Year	Notable Features
a	Studio ¹	With strings	Studio	04:39	GB			DK	BW	1969	
b	Live ²	Band only	Studio	05:11	GB	CC	DBa	AC	BW	1971	Heavy use of organ
c	Live ³	Band only	Studio	04:25	GB	MF	GW	DBr	MBr	1992	Most string parts of a imitated.
d	Live ⁴	Band only	Studio	04:22	GB	MF	GW	MP	MBr	2001	Singing lines often delayed and some lines spoken. Some string parts of a imitated
e	Live ⁵	Band only	Studio	04:56	GB	MF	GW	MP	MBr	2003	Similar to a, most string parts imitated
f	Live ⁶	Band only	Studio	04:58	GB	CC	MG	AC	BW	1976	Extended instrumental section. Final verse transposed up a tone.
g	Live ⁷	Band only	Studio	04:49	GB	PS	MG	CC	BW	1977	Extended instrumental section. Final verse transposed up a tone.
h	Live ⁸	Band only	Studio	05:06	GB	CC	DBa	AC	BW	1971	Some piano improvisation.
i	Live ⁹	Band only	Studio	04:32	GB	JP	GW	MP	GD	2007	Singing lines often delayed and once spoken. Most string parts imitated.
j	Live ¹⁰	Band only	Studio	04:30	GB	JP	GW	MP	GD	2009	Most string parts imitated. Ends with Latin coda.
k	Live ¹¹	Band only	Studio	04:42	GB	JP	GW	MP	GD	2010	Most string parts imitated.
l	Live ¹²	Band only	Studio	04:55	GB	JP	GW	MP	GD	2010	Most string parts imitated.
m	Live ¹³	Band only	Studio	04:40	GB	MF	GW	MP	GBr	1995	Some interesting variations and many string parts imitated

¹ Original recording, remastered on *A Salty Dog...Plus*

² This was performed live for a German TV recording. <<http://www.youtube.com/watch?v=QMt-9MKOSJs>> Accessed May 6th 2011

³ On *One More Time*

⁴ On *Procol Harum: Live*

⁵ On *Procol Harum: Live at the Union Chapel*

⁶ On *Five and Dime*, see also <<http://www.procolharum.com/setlist-x-jan76.htm>> Accessed May 6th 2011

⁷ Performed live for the BBC, <<http://www.youtube.com/watch?v=Q6BzNEZxbiw>> Accessed May 6th 2011

⁸ Performed live for a French TV recording, <<http://www.youtube.com/watch?v=f7JBpRagNU>> Accessed May 6th 2011

⁹ In concert <<http://www.youtube.com/watch?v=g13gCunTAVY>> Accessed May 6th 2011

¹⁰ In concert <http://www.youtube.com/watch?v=AzGVdU_iIdo> Accessed May 6th 2011

¹¹ In concert <<http://www.youtube.com/watch?v=5S9Pi1fHwaM>> Accessed May 6th 2011

¹² In concert <<http://www.youtube.com/watch?v=wI5BeOv0NAs&feature=related>> Accessed May 6th 2011

Orchestral Versions

Letter	Location	Ensemble	Version	Length (Approx.)	Vocals/ Piano	Organ	Guitar	Bass Guitar	Drums	Year	Notable Features
n	Live ¹⁴	With orchestra	Orchestral	04:43	GB	CC	MG	AC	BW	1973	Orchestra very prominent.
o	Live ¹⁵	With orchestra	Orchestral	04:40	GB	CC	DBa	AC	BW	1971	Strings far more prominent in orchestration than brass and woodwind. Very famous orchestral recording.
p	Studio ¹⁶	Orchestra only	Orchestral	05:51	GB					1996	Includes orchestral prelude and sophisticated orchestration for large symphony orchestra.

D4

¹³ In concert <<http://www.youtube.com/watch?v=y6BIW4wgV1Y>> Accessed May 6th 2011

¹⁴ On *Live at the Hollywood Bowl, 1973*

¹⁵ On *Live In Concert with the Edmonton Symphony Orchestra*

¹⁶ On *The Long Goodbye : The Symphonic Music of Procol Harum*

Choral Versions

Identifier	Location	Ensemble	Version	Length (Approx.)	Vocals & Piano	Organ	Guitar	Bass Guitar	Drums	Year	Notable Features
q	Live ¹⁷	With strings and choir	Choral	04:50	GB	MBy	RM	DBr	MBr	1996	Semi-acoustic and softened arrangement which uses acoustic guitar, semi-acoustic bass and brushes on drum kit.
r	Live ¹⁸	With orchestra and choir	Choral	05:21	GB	JP	GW	MP	MBr	2006	
s	Live ¹⁹	With orchestra and choir	Choral	05:33	GB	JP	GW	MP	GD	2010	
t	Live ²⁰	With orchestra and choir	Choral	06:46	GB	JP	GW	MP	GD	2011	Starts with the orchestral prelude. Singing lines often delayed.

¹⁷ On *Within Our House*

¹⁸ On *In Concert with the Danish National Concert Orchestra and Choir*

¹⁹ In concert <<http://www.youtube.com/watch?v=P-ARgkOvZx4>> Accessed May 6th 2011

²⁰ In concert <<http://www.youtube.com/watch?v=yI3NSvYk-u0>> Accessed May 6th 2011

2. Lead sheet of 'A Salty Dog'²¹

A Salty Dog

Music composed by Gary Brooker
 Lyrics by Keith Reid

$\text{♩} = c.55$

Vocals performed an octave lower than written

Piano and strings

'All hands on deck,
We sailed for parts

Bass guitar and lower strings
(verse 2, strings play semibreves)

6

We've run a- float'
Un-known to man,

I heard the - cap-tain cry
where ships come home to die

'Ex-plore the ship,
No loft - ty peak,

10

Re-place the cook: let no - one leave a - live!
Nor for-tress bold, could match our cap-tain's eye

'Cello (Verse 2 only)

13

A-cross the straits,
U-pon the se-venth

a-round the Ho - rn:
sea- sick - day__

how far can sai-lors fly?
We made our port of call

17

A two-sted path -
A sand so white -

Our tor-tured course,
And sea so blue,

and no-one left a - live
No mor-tal place at - all

²¹Transcription based on that found in Ed Di Biase and George Terry (Transcribers), *Conquistador and other Songs from "Procol Harum live in Concert with the Edmonton Symphony Orchestra"* (New York: Andover Music, 1972) 6-8, with some modifications.

21

Pizz. violins

Piano

24

Viola solo

+ all strings

We fired the gun, and burnt the mast,

'Cello solo

27

and rowed from ship to shore The cap-tain cried, We sai-lors wept: Our

31

Violins

tears were tears - of joy Now ma ny moons

High strings continue throughout verse

34

and ma-ny Junes - have passed since we made land Asal-ty dog, -

38

this sea man's log: your wit-ness my own_ hand

41

43

rit.

+ Strings (with tremelando on last chord)

3. Words of 'A Salty Dog'²²

'All hands on deck, we've run afloat!' I heard the captain cry
'Explore the ship, replace the cook: let no one leave alive!'
Across the straits, around the Horn: how far can sailors fly?
A twisted path, our tortured course, and no one left alive

We sailed for parts unknown to man, where ships come home to die
No lofty peak, nor fortress bold, could match our captain's eye
Upon the seventh seasick day we made our port of call
A sand so white, and sea so blue, no mortal place at all

We fired the gun, and burnt the mast, and rowed from ship to shore
The captain cried, we sailors wept: our tears were tears of joy
Now many moons and many Junes have passed since we made land
A salty dog, this seaman's log: your witness my own hand

²² 'A Salty Dog' <<http://www.procolharum.com/text3.htm>> Accessed May 9th 2011

4. Additional Latin text and English translation²³

Introduction and final verse

non navis acta hieme portum posse capiet nisi dominum patrem filiumque et spiritum sanctum

A ship driven by winter storms will not reach port unless it will take, as its master, Father Son and Holy Ghost

Verse one

si quidem gubernator veritate cursum tenebit ad caelum profecto navem itinere recto reget

If indeed the helmsman will hold his course by the truth, then certainly he will steer the ship by a straight course toward heaven.

Verse two

ventus veritatis semper navem diriget ad portum

The wind of truth will always lead the ship into harbour

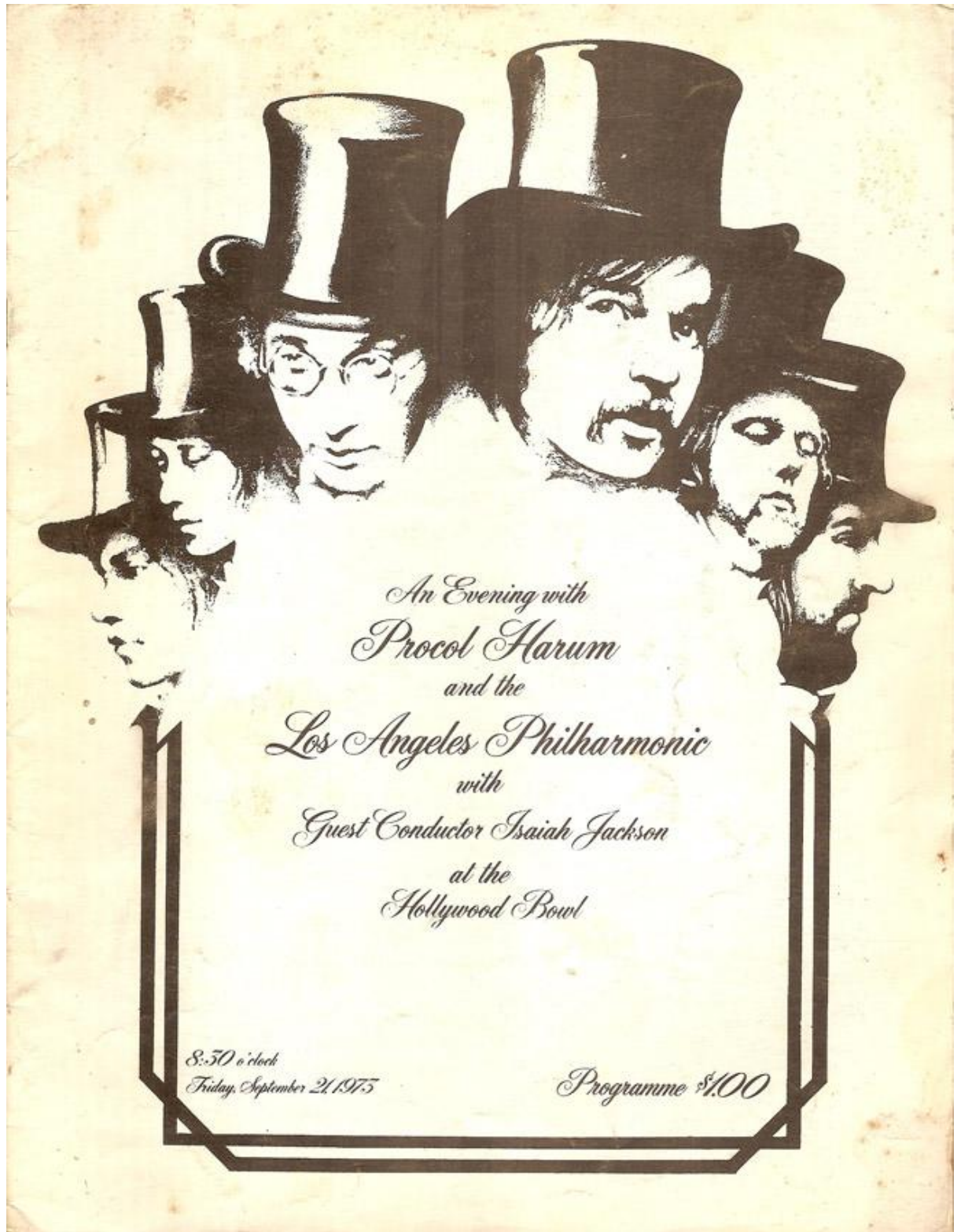
Coda

animadvertis verba mea

What you are hearing is my word

²³ Roland Clare, 'Latin text of 'A Salty Dog'' <http://www.procolharum.com/salty_latin.htm> Accessed 9th May 2011

5. Selected Promotional Material



Example 1: The handbill advertising Procol Harum's concert at the Hollywood Bowl in 1973.²⁴

²⁴ 'Hollywood Bowl, 21 September 1973 · handbill' <<http://www.procolharum.com/hollywood-handbill.htm>> Accessed June 4th 2011



On November 18, 1971, **Procol Harum** created a seminal moment in pop-rock history by performing with The Edmonton Symphony Orchestra and the Da Camera Singers at Jubilee Auditorium in Edmonton, Alberta, Canada. The recording of that historic performance went on to sell millions of albums and opened the door for the marriage of pop music to symphony programs all over the world. The UK-based sextet is considered one of the most influential symphonic rock bands in history and is famed for its 1967 Number One hit, "A Whiter Shade of Pale," which was recognized by Phonographic Performance Limited as the most-played record of the past 70 years.

The Grand, the Delaware Symphony Orchestra (DSO), and OperaDelaware have been seeking to present a joint event of this magnitude for the past few years, and are now excited to re-create the music of that legendary concert by **Procol Harum** and The Edmonton Symphony Orchestra.

Example 2: Part of the brochure advertising Procol Harum's concert in Wilmington in 2010.²⁵

²⁵ 'Procol Harum at Wilmington, DE: glossy brochure scans'
<http://www.procolharum.com/2010/wilmington_brochure.htm> Accessed June 4th 2011



PROCOL HARUM

UK Tour August 1995

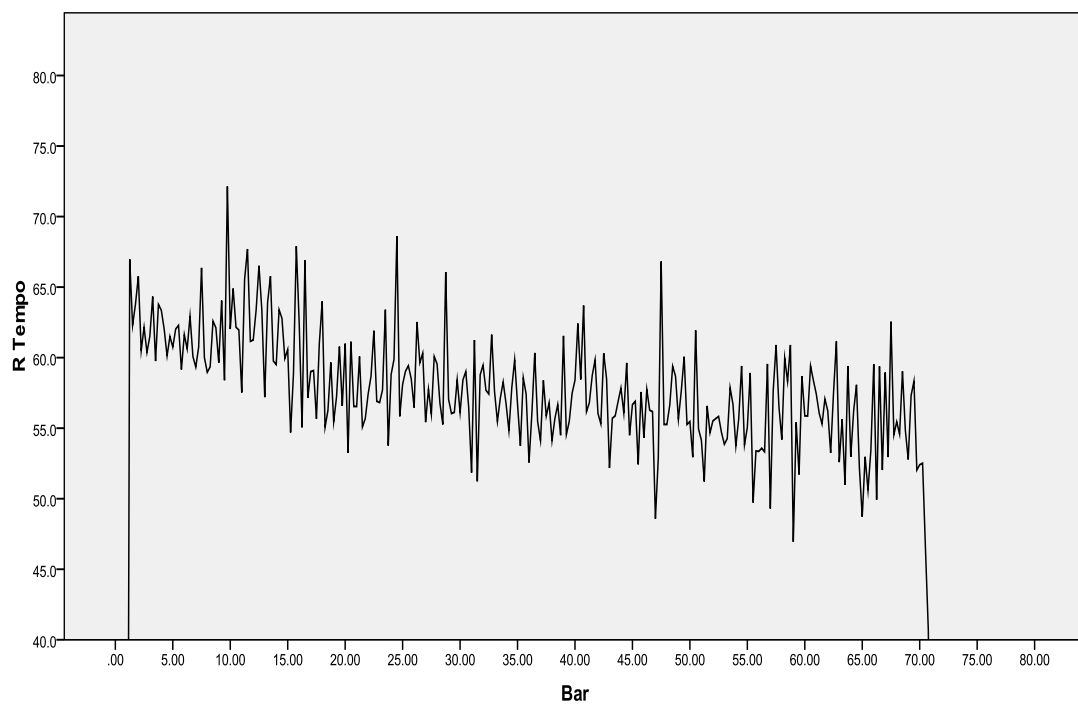
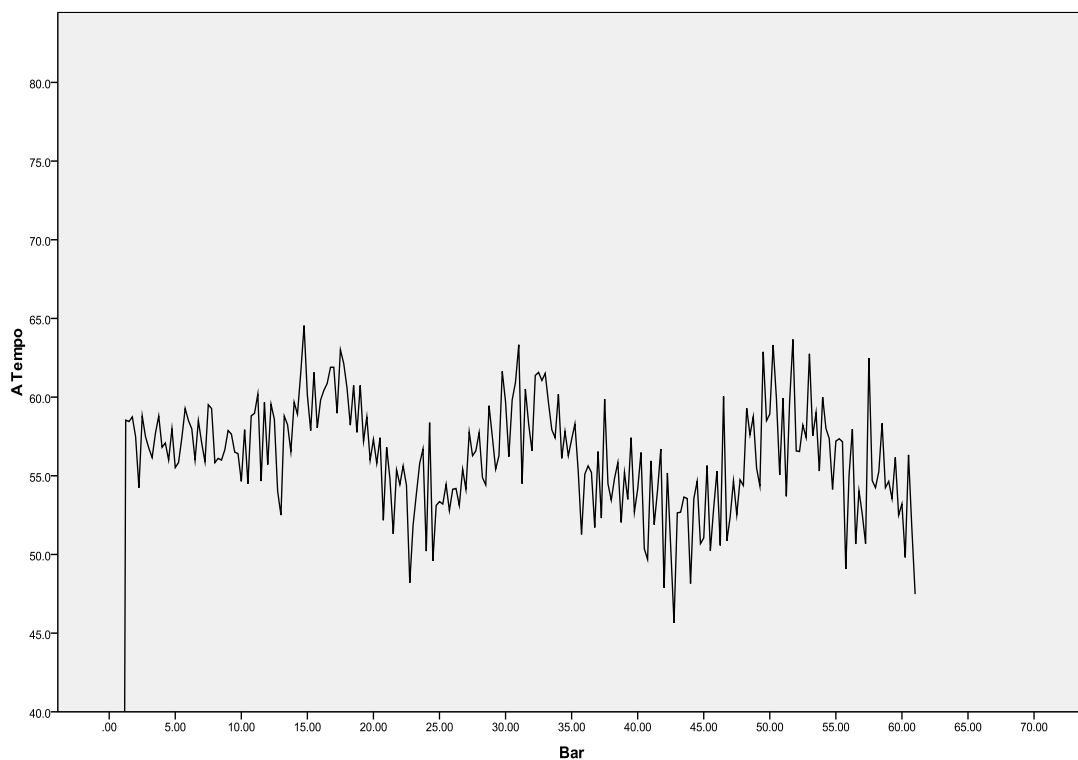
The Single **"A WHITER SHADE OF PALE"** Available for the first time on CD

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13th	SKANDEBORG, DENMARK - Festival	Gary Brooker -Piano/Vocals
14th	RINGSTED, DENMARK - Kongress Theatre	Matthew Fisher-Hammond Organ
16th	FOLKESTONE - Leas Cliff Hall	Geoff Whitehorn-Guitar
	Box Office : 01303 253193	Matt Pegg-Bass
17th	CHELTENHAM - Town Hall	Graham Broad-Drums
	Box Office : 01242 227 879	
18th	NOTTINGHAM - Royal Concert Hall	
	Box Office : 01159 482626	
19th	WORTHING - Assembly Hall	
	Box Office : 01903 820500	
20th	TUNBRIDGE WELLS - Assembly Hall	
	Box Office : 01892 532072	
21st	CLACTON-ON-SEA - Princes Theatre	
	Box Office : 01255 423400	

THE NEW ALBUM
"Homburg And Other Hats-Procol Harum's Best Songs"
 Available on 

Example 3: Poster advertising Procol Harum's tour of the UK in 1995.²⁶

²⁶ 'Procol Harum: 1995 tour: UK tour advertisement' <http://www.procolharum.com/ph_95-tour_uk-poster.htm> Accessed June 5th 2011

6. Tempo Graphs of Selected Performances of ‘A Salty Dog’

Appendix E: Red Priest

Contents.....	E1
1. Transcript of an Interview with Piers Adams	E2
2. Publicity Photo of Red Priest.....	E15

1. Transcript of an interview with Piers Adams¹

SMW: Can you describe the processes you go through when writing your re-compositions?

PA: Well the first process is deciding what we're going to do, that's really important. We play through a lot of music, trying to find things that we think we can do something to. So it's not just a case of grabbing anything and trying to re-compose it. When we started off we didn't try to re-compose things, we just played music and tried to find really good trio sonata pieces that would work, but as we've gone on it's become part of what we do now to re-write things, and I think now it's almost to the stage that it has become expected of, which puts the pressure on in a way.

The longer we've gone on the harder it's been to come up with really good ideas and find things that we're not just doing for the sake of it. So, part of it is just going through repertoires playing through and through them, and seeing if something sparks an idea. Part of the re-composition is that we start with an orchestral piece so we want to reduce it to four parts. The simplest thing is just to cram all the parts onto the four instruments, but that can be quite boring really, it just sounds like a little arrangement. So what we've got to then do is use all our instrumental techniques and try to find really interesting ways of making it sound good in its own right. There's a whole variety of things we do.

Usually the recorder's going to take a lead line, or one of the lead lines, just because it tends to sound better as your ear is often drawn to it. The violin will either be doing another lead line or it might be doing a lot of filling in the middle and lots of chordal things and filling out the orchestral texture, the 'cello obviously generally is on the bass and the harpsichord has to fill in everything else.

SMW: Yes, I've noticed your harpsichord lines often sound almost like a rock band, with lots of riffs in the middle.

PA: Yes, exactly, I mean he has to do absolutely everything, so he's very clever at all different styles, which is really helpful. It's hard to give a pat answer to how we do it because it is different with every piece. Often we spend ages scratching our heads, like when we did the *Four Seasons* for instance; some of the movements went really easily but some we just literally couldn't think of what to do for months and months. The middle movement of *Winter* which is one of our favourites ones now, Julia had that idea after we went to Cuba when she heard some Cuban musicians playing. I didn't really think it would work but Howard laid down this Calypso beat on the tape recorder for her, she went off into the practice room and played around with it.

SMW: I think that's one of your most popular pieces now.

¹ This was recorded on April 3rd 2009 and subsequently transcribed.

PA: Yeah, it is actually. Sometimes we start with something in just one line, like the Bach prelude that we do is just one line of music so I had to write all the other lines adding 3rds and 6ths and things in, adding chordal accompaniments. In fact there's quite a lot of original composition involved in that. We're quite drawn to some of the ideas from folk music, Eastern European gypsy music particularly: the offbeat fiddle chords and some of the figures that they use and lots of big arpeggiated things in the violin. We're trying to create a really good soundpad for the melody.

SMW: What about the *Pirates of the Baroque* suite, that was quite different?

PA: That was all Howard! We needed fifteen minutes to fill this album, we'd only got three quarters of the way there. So he said he wanted to do something with these little Couperin pieces, and we didn't know what he was going to do... So he obviously added all the lines, filled in the harmonies, and then did lots of chordal things and interesting bits and pieces: He even managed to fit a quotation from the Messiah underneath.

SMW: I didn't notice that!

PA: That's when he starts singing, underneath the Couperin battle piece, he's fitted in the violin part to *Why Do The Nations*. He said to Julia, "do you recognise this?" and then started singing it. So we thought we've got to keep that in the concert, that's perfect! He's quite a good singer.

SMW: Yes, that surprised the audience.

PA: That's quite good fun to have little elements of surprise like that. In a way, the Couperin is the most through-composed thing, he did it all in Sibelius from beginning to end and we had nothing to do with that. Most things we get together in a room, improvising, trying out ideas, arguing about things and how to get different inspiration for things. A lot of inspiration comes from outside Classical music, just things you hear in world music, or even just in Rock songs, a little guitar riff. It's whatever seems to fit. But the idea is generally that we should be led by something that's actually in the music, so if it sounds a bit like something we'll take it in that direction a bit more.

SMW: I've noticed that most of the pieces you choose are programme music, or have some programmatic elements in them. I've described this as "giving voice to internal characterisation", what do you think about that?

PA: Yes, some of it is obviously programme music: *The Four Seasons*, *La Notte*, and all those sorts of things. I suppose quite a lot of it is, actually. But I think the idea is anyway, even if it's not programme music you should give it a programme. I think if you read around how people used to think in the olden days, that was very much part of it. I think it was Quantz, said you have to imagine words to the music and then make your music perform to those words, even if that's got nothing to do with what with the

composer intends, and even if the audience pick up a completely different image in their heads to the one you're projecting. The act of putting a narrative to a piece of music brings it to life. So yes, often we do think as a sort of narrative, even if it's not there. But obviously, if there's one there to start with it gives you a much easier launch pad for ideas.

SMW: Obviously it gives performances quite a lot of narrativity as well, is that something you think the audiences need?

PA: Yes, I don't know if the audiences *need* it or not, but I think it can be really helpful. I always find when listening to music it's just more interesting if I know something about it than if it's just abstract. We've done more and more of that as we've gone along, telling the audience something about a piece gives them a hook to latch on to when listening to it.

SMW: I think on Saturday night² everything really had some story behind it, because you had the pirate theme going on externally from the music, which linked everything together.

PA: Yes, a theme that's worked quite easily for us actually, in various different ways.

SMW: You managed to get it into the fugue of the Vivaldi trio sonata, there was the whole combat theme going on....

PA: Yes! Well it's all there to be brought out.

SMW: As an ensemble you're quite difficult to place though. Some of your elements are quite conventional Early Music ensemble, but your presentation seems to be from Glam Rock more.

PA: Glam rock, yes!

SMW: How do you think you are situated?

PA: Actually I've been a great fan of Glam Rock all my life. It is very hard, I find it hard to categorise myself. When people who haven't heard us say 'can you describe your group', I don't know where to start. It's basically Baroque and we liven it up and jazz it up. But it's very hard to describe it, we've almost become our own genre now. I don't know anyone who's doing anything quite like what we're doing.

SMW: No, I've looked, but there's nothing...

² Red Priest's *Pirates of the Baroque* Concert at Lamberhurst Church.

PA: Yes, it's quite a hard one to describe. It's just what happens when four people get together with a completely open mind and decide to see what happens within Early Music in our case. And what comes out can die in a couple of years, or it can grow into what we've created. But it doesn't have a category; I need to invent a name for it don't I? Glam Baroque!

SMW: Yes! So do you *actively* take elements from other genres to use?

PA: Yeah we do to some extent. Like I say, we certainly do with Gypsy Music there's lots of things we use, or Tango Music, or certain riffs from our favourite glam rock band The Sweet found their way in there...

SMW: I'll have to look through all your music now...

PA: Very embarrassing! A couple of little guitar riffs and things that we managed to get in there. But it is hard to classify. On the one hand, it's been really easy to sell what we do, because we're the only ones doing it, we seem to be quite popular with audiences, that makes it quite easy. But on the other hand because it's so hard to categorise a lot of people don't know what to do with it, they don't know whether we're a crossover group, a serious group or Early Music. If we try to push ourselves as a crossover group then people are expecting glitzy, slinky girls with violins, and we're not like that. We're a lot more rough-edged than that. It's really hard to put a word to it; we have to carry on and hope the world catches up or finds a term for us.

SMW: It must be a disadvantage for you sometimes. I've spoken to a few Early Music festival organisers and to start with they weren't keen to invite you along as they didn't know what to expect. But then they really like you when they see you...

PA: Yes, on the whole that's how it's been. People have been a bit worried about it. I think there are still a few out there who won't touch us. I know there are still a few people, which is fair enough, we don't expect to be to everyone's taste. But the only thing I sometimes say is that it is a bit more serious than some people think. For a start, a lot of what we do is based on historical research. I often say that a lot of the musicians in the past were pretty wild and flamboyant characters, so why shouldn't we be in our own way? It seems a strange thing to try to copy people of the past. The idea of getting yourself out of the way and then trying to copy someone in the past is a dead art. It's artificial. It's like trying to copy a Van Gogh painting rather than trying to create your own in that style. We felt that we needed to be ourselves.

SMW: In a recent interview, you said that you think of yourselves as being 70% authentic.³ Do you feel the need to justify yourselves in this way?

³ Nik Tarasov, 'Interview with Piers Adams,' *The Recorder Magazine*, Spring 2009, 11

PA: Well...

SMW: With the historically informed performance movement?

PA: Well, yes, I suppose I do actually. I don't want people to think it's just our own thing...that's a hard one. I think the Early Music Performance needs shaking up. The Early Music world has got up its own backside, for many years. And actually, a lot of what it claims to be right is completely and utterly wrong. These ultra-smooth Baroque performances that are produced just because it's for the CD and if you repeat it 100 times on the CD it's got to be absolutely plain and smooth or it gets irritating: well that's artificial in itself. And that's exactly how record producers think 'well we can't do anything too out-there because otherwise on the 100th listening people will get bored with it or it will get irritating.' There's nothing authentic about having six trio sonatas played by people dressed in Edwardian dress. It's complete nonsense. The idea of colourful programming is much more how things were. You've probably seen our concert programmes, we have a movement from a symphony, and then a bit of a sonata and then a song. That's how they used to do them, so that's a bit more the direction we're in. I think it's important that we have a firm leg in that.

SMW: I think originally the movement started to shock the mainstream by playing the music differently, but now it's become a mainstream in itself.

PA: Yes, I think that's what happens, basically any cultural movement does that, starts off breaking away, and then it gradually becomes a mainstream, and then someone has to break away from that.

SMW: And that's you in this case..?

PA: And that's us in this case, yes.

SMW: Is that something you really want to do, defamiliarize the Baroque movement?

PA: Yes, that's a good way of putting it actually. That's excellent. I do think people hear things differently if you shake it up. Whereas if they just get used to hearing the same thing over and over again they don't really listen properly. Doing anything to a piece of music is better than doing nothing to it.

SMW: When you play two recorders at once, or lie on your back and play like you did on Saturday, I've called that pure performance moments, because you're foregrounding performance there. What role do you think they play?

PA: Well, for a start, we don't need too many of them, the whole thing would become pantomime if the whole concert was like that. I think a lot of things like that, wandering into the audience doing things, it just breaks up the mood. It's a case of constantly

keeping the audience a little bit surprised, never letting them settle in, give them something to wake them up now and then. And hopefully that makes them more alert and they listen more carefully as well.

SMW: There is a danger though that you get those moments and the music between sounds like you're driving towards the next one, is that something you're concerned about when you write your programmes?

PA: Yeah, it's a very difficult balance to get because we don't want it to sound like a box of tricks and we do actually take a lot of the music very seriously and want to play it seriously, even our fooling around is quite serious. If it's picking something up within the music and wanting to make it more so then it's very personal to a listener whether we've done too much or too little of that. We only do what feels about right and that's all we can do really.

SMW: I think it's completely right when it's live, but it's difficult to put it out on the CDs.

PA: There you go, then what's authentic? Music always used to be live, and now it's all out on CDs. What we've decided to do is make no distinction at all. I mean I never listen to CDs hundreds of times, I listen to them once or twice. Well, maybe a bit more than that, but I like CDs to be really, really shockingly interesting and wonderful even if that does get boring on the tenth listening.

SMW: I think a lot of people like listening to your CDs and imagining it live, once they've seen it live.

PA: Yes, yes. But I like it if our CDs work in their own terms as well. For the *Pirates* we've had a couple of good reviews from people who've never seen us live, don't know anything about it, like David Mellor on Classic FM who was very nice about it. So I'm very pleased that people just listen to the CD if it works then too.

SMW: Yes...obviously you have a quite lot of elements of pluralism in your style. Do you see yourselves as a postmodern group in any way? Obviously pluralism is sometimes seen as a key element of the postmodernist movement.

PA: Well obviously that's the kind of times we're in at the moment, where everything's available to us, you know world communications being as they are and everything from history being dug up and presented up to us. It would be artificial not to include all these elements I think nowadays. Whether that's defined as postmodern I don't know.... 'Postmodern Baroque', I think I've used that term before..

SMW: It's definitely been in articles I've read about you.

PA: It's always difficult, defining yourself. Usually when people are doing things, any artist, they're not thinking about an actual definition of it, it's more a stream of consciousness and what comes out and how you do it, it's only afterwards that it's analysed. But I guess, yes, certainly drawing lots of things from different areas is definitely part of our time, a very important part of our time. And in a way, I think when music doesn't know where to go any more, at least that is very fruitful to be able to use absolutely everything freely, which I think in the past people haven't been able to do.

SMW: Yes, when you've got so many different recordings of the same piece...

PA: Yes, that's just so pointless to me. You've got to do something different. I think part of it's commercially driven. I mean, we're doing it as we feel it, but we could equally do it in another way. You make a choice, decide to do it like that, and then do it with conviction in that way. I think now, you have to be noticed, it's very hard to make a career as a musician. The more you can do to stand out, the better.

SMW: Your marketing is where you stand out as well, especially with taking the ideas from the *Pirates of the Caribbean* films.

PA: Yeah, we're quite pleased with that one! Again, that's quite important. I was brought up, my parents ran their own business, I was brought up with that idea, market yourself, do your own thing and constantly re-invent yourself. I quite enjoy the whole visual side of things as well.

SMW: It is quite different though, to take an element from such a remote concept as a Hollywood film, and put it into Baroque music.

PA: Well that one just worked like that, we didn't go looking for it but we saw the film and thought that would do as a good title for our next programme, it kind of went in that direction. Of course, everything flows after that. Our clothes are quite piratey anyway so it wasn't very difficult to do a good photo shoot, we had to go to a beach in Wales to do it. That was quite fun.

SMW: So some of the elements were already there?

PA: That's why the pirates thing worked so well, we do pirate a lot of music anyway and there's a slightly swashbuckling way to the way we play, slightly anti-establishment. It was actually a brilliant theme. This one fitted like a glove for us, that's why it's been so successful. It worked with the music and the image and everything. How next it's going to work is another thing.

SMW: Talking of your image, I've noticed you have a distinct identity when you perform which is particularly marked by your pirate costumes. Do you try to adopt a new persona when you perform?

PA: Well it is funny actually, most musicians are actually slightly different on stage from in real life, and of course you can't go round in pirate costume. It's like a fantasy world really, invent this other persona, I don't think any of us in real life are really out-there people in the way we are on stage, but it gives a really good output for that side of your personality. I'm very much into the Glam Rock era, Adam Ant and all that. Do you remember Adam Ant?

SMW: No.

PA: He had his face-painted and a swashbuckling look, New Romantic, I always liked that whole area of fashion. I thought why not wear that on stage.

SMW: It's quite different from a conventional ensemble though, where they want to be invisible vessels of the composers' intentions and then you're there, such a spectacle. There's no doubting that there's a group of people here who are playing.

PA: Well again, there's that thing again about trying to be invisible. I don't know where people get that idea from, it's such a strange thing to me because I don't think anyone was like that at the time it was happening, so why do we think it's more authentic to be like that now? It's a very fine line between getting out of the way of the music and actually being dull. The music only exists in the moment and the moment is when the performers are performing it and if you try to absent yourself from that moment a key element goes missing. There's a person on the stage playing something and you can't get out of the way of that. Again, people might think what we do is quite shallow, but there's some depth behind it, there's an Italian Renaissance Philosopher, he had this whole philosophy of performance, which is in three levels. The first level is called *decoro* which is hard work basically, learning your craft, the second element is *sprezzatura*, that's all the personal stuff on stage, the element of surprise, the performance. The third element is *grazia*, which is the spiritual element to what you're trying to achieve. And basically, you can't achieve the third without going through the second, which is the whole personality of the performer and the performance. So people who are trying to getting out of the way, and trying to do all this hard work, and trying to get it all right, just as the composer intended, they expect it to be this great spiritual experience, and it's not, it's rather a dull experience.

SMW: I think that's what a lot of people in the movement think though, that if you're invisible what for example Vivaldi wrote can just shine through and speak for itself.

PA: I don't think it works like that, personally. But everyone's different, obviously. Perhaps for some people it works like that, but it doesn't for me. So always the most interesting performances are those where the performer has put the most of their personality into it.

SMW: Well it's more interesting for an audience who've actually paid to see people play.

PA: Yes, exactly.

SMW: So, is your relationship with history something that particularly concerns you. You've got your historical music with a modern audience, does it worry you the way in which you present it? You've got a relationship with the original composer, or do you just think no, we're here now, we'll play it as we want to.

PA: Yes, absolutely that. I think in general society is too paternalistic; you're bowing down to authority the whole time. Human beings are very bowed by authority, getting it right, bowing down to authority figures like our supposed leaders or people in history. I think there's a grave danger in that, because actually those people in history went to the toilet like the rest of us, earning a living and doing their thing. It's like looking down the wrong end of a telescope. I think it's worth remembering that they were *exactly* the same as us, even if they lived in different times. So why are they great and we're not great? We're looking at composers aren't we? So somehow composers were the great people and they *were* the performers as well. Nowadays that's hardly the case, well hardly at all really, it's a bit difficult.

SMW: It's the first time we've got a museum culture.

PA: It is, but it's an artificial culture. It's a shame really. I read a really interesting argument in a book by Christopher Small, *Music, Society Education*. He says that in a way preserving music has been the death of music, we're no longer in the creative moment of it. There's a lot of truth to that. The argument against that is we wouldn't have all these beautiful pieces of music, but maybe we'd have a different set of beautiful pieces of music if we were to carry on writing. I guess the problem now for composers is what is there left to write? You're a composer, you can probably answer that. For me, looking from the outside, it must be terribly difficult to be a composer, all you're trying to do is not write what's been written before.

SMW: There's a big split between what the general public would listen to and....

PA: What's left to be written! Exactly, so that's a very strange position to be in.

SMW: Pastiche writing, that's popular with the audiences but doesn't always go down well with the Establishment.

PA: But then, the contemporary music establishment is actually quite a small thing, isn't it. It's probably just outside most public awareness really. Apart from when Oliver Knussen or something gets on the Proms.

SMW: It's quite an insular world, but then again some Awards and Prizes do go there.

PA: Yes, that's true. But on the other end of the scale you've got Ludovico...?

SMW: Einaudi?

PA: Yes, that's his name. There must be something in between that has some contemporary relevance but is not either impossible to listen to or just light Easy Listening.

SMW: So you think you fit into that gap through performance?

PA: Well, in a way, I think we fit into that gap somewhere, that's what we're trying to do.

SMW: I think it works quite well. Anyway I have some simpler questions now! Do you know which Couperin harpsichord *ordres* were the originals used for the Pirates of the Baroque Suite? I've found the *All Hands on Deck*, the Hammers One.

PA: I don't know. Well *All Hands on Deck*, was originally called *Le Tic-Toc-Choc*, but it was subtitled *the Hammers*,

SMW: That was the one I found, it's quite different to how you play it!

PA: Well actually Howard added the tune from Trumpton, Camberwick Green, at the beginning. The Windy Miller tune, do you know those?

SMW: I know the programme, but I'd never noticed that.

PA: The bit at the beginning that the violin plays is actually the Windy Miller theme tune which we thought fitted quite well over it. But no-one has spotted that before.

SMW: The harpsichord bit underneath is quite similar to the original.

PA: Well, basically, Couperin's music does go all the way through, apart from those couple of bars in the intro. It goes all the way through in one of the lines, it swaps between the lines, the other music Howard wrote whatever fitted over the top. The battle pieces have their original titles, *Combat* and *Disorder*, I can't remember if the first one was called *Fanfare* or not...

SMW: So all the pieces in that Suite are Couperin originals, or were some completely composed?

PA: No, they're all Couperin originals, but one of them he changed a lot, from 5/8 to 4/8 or something. That was the Dodo one, floating on the ocean, the original was *Le Dodo*. Sorry, I don't know the answer to that, because I didn't write it.

SMW: How do you think you'll develop musically in the future?

PA: Good question. Well, our next disc is going to be all Bach. That's our current project, we've done the programme quite a few times now, but we're trying to hone it for the disc. It is much less thematic, as the music is less programmatic and in a sense that's more concentrated on the music and what it's like, but we are still bringing it to life as much as we can and doing fun things with it. So, in a way that's a development away from the narrative way of doing things. It's actually my favourite programme, it's really fantastic music, I really enjoy playing it.

SMW: That one must have been quite hard, with the German Baroque usually being thought of as more introverted.

PA: Well, so people think. I've read reports of Bach being a wild performer as well. There's a report of him teaching someone, and they were actually playing one of Bach's compositions, exactly as he wrote and he said 'oh no, don't do it like that, do it like this.' Adding, fistful of notes that Bach hadn't written. So there's the idea that you can mess around, even with the great Bach.

SMW: Yes, you can upset a lot of people messing with Bach!

PA: Well, I'm really past caring. The other thing about Bach is that it has been tampered with more than any other composer in history, so actually there's a good precedent for that. Everything from Procol Harum, to Sky, to Wendy Carlos who did that synthesized; Switched on Bach, so there's endless people who use that music in different contexts so actually I think there's good history from that point of view.

SMW: Yes, but there are still those people who view him as the pinnacle of music history who must be left alone.

PA: Yes, but I think that does the music a disservice. It's better to do something with it, bring it to life, make people hear it in a different way. I get really bored listening to some Bach pieces. I listen to Glenn Gould or people who do something interesting with it. I really get bored listening to period instrumentalists playing Bach, it drives me nuts actually. However interesting they are in other music, when they get to Bach they all go introverted again.

SMW: Worried about offending people?

PA: Yes, that's so stupid. Actually I think I'm quite rare amongst musicians in that I actually prefer listening to other composers than Bach. He wrote some really fantastic music but he wrote an awful lot of dirge as well: really turgid harmony that winds round and round in really depressing directions. And some of these awful fugues on really unappealing subjects. I'm a fan of some Bach music, but I don't think everything he wrote was amazing and wonderful. I've picked the pieces I like for that album.

SMW: I've not heard that programme yet.

PA: When he was on a good day he was the best, certainly, but I'd rather listen to bad Vivaldi than bad Bach.

SMW: Do you work as a period instrumentalist at all; I know some of the other members of Red Priest do?

PA: Well, I have done but not very much. Nearly all my work has been my own work, with Howard or in the group. But not the Period Group thing, not very much.

SMW: It must be difficult to mix the two.

PA: Yes, it doesn't work very well. It's not so bad if I do a concerto, but when I do concertos they're more often with modern orchestras. I'd like to do more concerto work. In other developments I'll probably do more away from Red Priest, after our next album we'll have done five then, and we're going to have to start working on a sixth, I don't know what that's going to be yet. There are quite a few other things I want to develop outside that.

SMW: Red Priest are so for the moment, as that moment moves on you have to develop with it.

PA: Yes, it's difficult, you don't know where the next good idea is going to come from either. So, at the moment, we are riding the wave, it's going well for us so we'll do that as long as it works, but there will come a point when the tide turns. And also for us eventually it will probably get a bit boring, touring around doing the same programmes over and over. We memorize everything and it takes ages to make new programmes, whereas other groups can read a new piece each week, so it's a slightly different process. Once we've got the programme established, that tends to be very much how it is.

SMW: It looked quite spontaneous on Saturday night. Especially when Howard walked forward to sing, it did look like you didn't know what he was doing!

PA: Yes, that's Howard...though we improvise our bowing routine and that's about it.

SMW: Well thank you very much for your time.

PA: I hope it was helpful.

2. Publicity photo of Red Priest⁴



⁴ 'Red Priest Coming March 4' <<http://blog.mysanantonio.com/jackfishman/2012/02/red-priest-coming-march-4/>> Accessed July 26th 2012. This is an older publicity photo showing Howard Beach.