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A Schenkerian analysis of the seven symphonies of Jean Sibelius

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A SCHENKERIAN ANALYSIS OF THE SEVEN SYMPHONIES OF JEAN SIBELIUS

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Abstract

This dissertation consists of a Schenkerian analysis of the seven symphonies of Jean Sibelius, presented in graphic form, together with a prose commentary on issues arising from the graphs.

The analytic techniques of Heinrich Schenker are employed in their strict form, with multi-level graphs offering accounts of foreground, various middleground levels, and the Ursatz itself. The prolongational structures identified are also those defined by Schenker in Free Composition. However, his techniques were not designed to cope with music of such advanced harmonic complexity, and in order to arrive at voice-leading analyses which are judged as appropriate as possible to the music itself, some adaptation of totally orthodox Schenkerian practice has been deemed necessary. This characteristically affects the higher middleground and Ursatz levels and is in every case subject to comment in the accompanying prose material.

The prose commentary concerns itself, in addition, with the discussion of crucial analytic decisions, with identifying characteristic fundamental and prolongation structures for the composer, and with comparative features, which allow the identification of certain aspects of chronological stylistic evolution in this symphonic corpus.

ACKNOWLEDGEMENTS

I should like to express my sincere thanks to my tutor, Professor R. Pascall for his unfailing encouragement and support in preparing this thesis

DEDICATION

I would wish to dedicate this thesis to the memory of my dear mother, who died during the course of my research.

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Volume II – The Analytical Graphs (music scores)

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INTRODUCTION

Research into the literature concerning the symphonies of Sibelius indicated that there was a wealth of writing concerning motivic and formal procedure, but a dearth of material to explain the fascinating tonal and harmonic designs which characterise Sibelius's symphonic output.

This thesis sets out to promulgate a Schenkerian approach to allow students of Sibelius to see the seven symphonies from this different vantage-point. I find myself in agreement with Arnold Whittall's statement that:

> It seems inescapable that any serious discussion of structural harmonic issues should seek to make use of the insights consequent on the application of Schenkerian methods. [1]

Although there can be some concerns regarding the application of Schenkerian techniques to post-tonal music in general and Sibelius in particular, (especially when one is aware of the inescapable fact that Schenker himself began to see the limitations of his methodology), nevertheless I remain convinced that the graphs presented in this thesis allow the reader to see that the fundamental principles of Schenkerian philosophy are still apparent in large-scale twentieth-century symphonic forms.

The fundamental aim of this project is to reveal more about the tonal and harmonic processes at work at various structural levels in Sibelius's symphonies. By graphing all seven of Sibelius's symphonies, I have been able, for the first time, to create a synoptic account which identifies the forms of the Ursatz employed by the composer.

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[1] Arnold Whittall, The Music of Britten and Tippett, Cambridge, 1982, Cambridge University Press, p.9

From the outset of the project it was clear that in order to arrive at voice-leading accounts which were appropriate to the music itself, adaptation of orthodox Schenkerian technique would be required. However, the preservation of as much as possible of Schenker's methodology and philosophy was also a fundamental criterion. The resulting graphs and commentary are the delicate balance between those two criteria, where modifications to the strictest form of Schenkerian analysis are kept to a minimum, and are only made if they are judged to reveal more of the essence of the music.

Adaptations characteristically involve the higher levels in the first instance, and the graphic implications are carried back to the lower levels and foreground. In addition, the rigour of species counterpoint is, on occasion, at odds with some of the graphic realisations presented in this thesis, where dissonance is found to exist at higher levels. There are further adaptations required in terms of the relationship between sonata form and Schenker's 'divided form', as the graphs presented here effectively deny the latter proposition.

The completed analyses lay the basis for increased understanding of general and idiosyncratic stylistic traits as well as detecting chronological developments in the composer's compositional technique. Examples include the increased use of chromaticism at higher levels, substitute dominants and the transformation of significance of foreground pitches to form important middleground and higher middleground features. In addition the use of extensive, complex and critically placed linear progressions is also defined by the composer's symphonic journey.

It was decided that the most useful analytical results would be obtained by working from the foreground up through the levels to the Ursatz. In using this method, the provisional foreground notations need to be revised as the higher levels are put in place. Some of the analyses include one level of middleground, but on occasion up to three higher levels may be found in order to clarify musical processes and procedure.

The thesis is presented in two volumes: the first containing a commentary upon the second. Whilst the graphs endeavour to stand on their own, the commentary is designed to illuminate key features, indicate structural factors common between symphonic movements and to highlight Sibelius's compositional processes.

With a project of this size and scope, I have been unable to comment on every aspect of each symphony, instead restricting myself to key aspects, interesting features, departures from Schenkerian technique and chronological growth.

The first page of Volume II presents a summary of the Ursatz for each of the twenty-two symphonic movements, excluding the final one-movement Seventh Symphony.

Contact with the Sibelian Academy in Finland indicated that this project would be the first to graph all seven symphonies, although during the course of my research, the Schenkerian/Sibelian literature has been enlarged considerably by Edward Laufer in his excellent work on the first movement of the Fourth Symphony.

Partial graphs provide insight into the movement, and the research reaches a conclusion that mirrors my own:

> The structural use of a motive…foreground motive becomes a middleground motive. [2]

This project, however, indicates that such a technique is not just confined to the first movement of the Fourth Symphony.

Two years later, Sibelian research is enriched further by 'Sibelius Studies',[3] in which Kallio focuses upon the metrical fascinations of the opening of the Second Symphony, whilst Elliott Antokoletz investigates the tonal language of the Fourth without recourse to Schenkerian graphs. James Hepokoski promulgates 'rotational form' as a solution to the finale of the Sixth Symphony, which complements his earlier comprehensive, but equally non-Schenkerian work on the Fifth Symphony. [4] Edward Laufer shifts his attention to the Seventh Symphony, but does not employ Schenkerian methodology to the extent that was seen when he approached the first movement of the Fourth Symphony.

As Arnold Whittall comments, (as quoted by Jonathan Dunsby)

> Until recently the impact of Schenker's writings and teachings in Britain was minimal. [5]

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2 Edward Laufer, Schenker Studies 2, ed. Schachter and Siegel, Cambridge, 1999, Cambridge University Press, p.138

3 Jackson and Murtomaki, Sibelius Studies, Cambridge, 2001, Cambridge University Press

4 James Hepokoski, Sibelius: Symphony No.5, Cambridge, 1993, Cambridge University Press

5 Heidi Siegel, Schenker Studies 1, Cambridge, 1990, Cambridge University Press, p.182

It is hoped that the present study will enhance that impact, and provide scholars with new insights into each of the symphonies individually and into Sibelius's growth and development as a symphonist.

SIBELIUS SYMPHONY NO.1

An overview

The outer movements of this four-movement symphony share the same key signature and are both prolongations of 5, although, as will be seen, the musical outcomes are very different at middle and foreground levels.

The inner movements, however, are more unusual in terms of Sibelius' entire symphonic output, as the First Symphony is the only example where both of the inner movements are prolongations of 3. Indeed, there are just three movements in total that share this structure, and it is interesting that two of them are clustered here in the First Symphony. The Second Movement of the Fourth Symphony is the last of the three examples.

The First Movement

Foreground

At foreground level there are a variety of interesting features which may be highlighted: arpgeggiations are more commonplace in the early symphonies than in the later examples, and this may be seen clearly after Letter A where the dominant of the relative major is evident.

We may also note that the D of the upper part becomes the first note of an ascending linear progression of a third which then reaches another note of the arpeggio. The ascent to the tonic of the relative major is achieved through a chromatic linear progression of an octave.

Hence, within the opening eighty bars of the First Symphony we can see a combination of techniques that the composer employs freely throughout his symphonic output: arpeggiations, linear progressions and chromatic linear progressions; here juxtaposed to create an interesting diversion to the relative major.

Linear progressions are also to be found in the bass, and there are two significant examples of ascending progressions of a third within relative major passages. (b.60, b.300) In later symphonies linear progressions are often extended to greater lengths and take on a more significant structural role at both foreground and middleground levels. In this movement, however, linear progressions in the upper parts are always ascending and are confined to examples of three tones, apart from a two more extensive spans: the first, a five-tone progression leading to the dominant (approaching b.230). The bass ascends over a four-note progression, which at middleground level, results in a set of octaves: their presence is a reminder of the need to adapt strict Schenkerian theory to reflect the music. The second, consists of an ascending progression of a seventh which reaches F# (between Letter O and P) which again, at its culmination note, begins an arpeggiation at middleground level (P to Q)

Middleground

At middleground, the head-note 5 is reached before Letter A, but does not have the all-pervading dominance of similar tones in later symphonic movements, where often 5 will appear frequently in the upper part during at least the exposition and recapitulation. In this movement both 3 (Letter C to F) and 2 (G to 'Tempo Primo') are prolonged, the latter over a strong re-transitional F#. From the 'Tempo Primo' the dominant is installed in the bass and spans a large section of music before returning to F#, and in turn, to the relative major. The upper part at this point consists of the two longer linear progressions outlined earlier (5 and 7 notes respectively), whilst an arpeggiation is sandwiched between them (Letter M to P). Another arpeggiation, this time of F#, follows (Letter P to R) in both the bass and the upper parts before a linear progression of a fourth in the upper part (Letter T to U) confirms the relative major. Underneath the upper part, a linear progression of a third provides a series of consecutive fifths (made contrapuntally more acceptable through auxiliary dominant chords), which join the afore-mentioned octaves in defying traditional harmonic procedure and Schenkerian technique. Nevertheless, this is what the music reveals as the musical working-out of the middleground and hence must be stressed.

The subsequent 'Tranquillo' section re-instates the dominant which underpins the descent from 5 in the upper part (b.370) before the final tonic is reached.

Upper Middleground

The upper middleground reveals a further deviation from traditional harmonic procedure and Schenkerian practice: the prolongations of 3 and 2 (Letters C to G) are underpinned by the same pitches and hence create parallel octaves. Similarly, the move to 5 and the dominant are both from 3 with the same pitch beneath, which also creates parallel octaves.

In addition, it is interesting to note that the two pitches in the bass, G and F#, are positioned symmetrically either side of the central dominant:

Upper	G		F#		F#	G
Bass	G		F#	b	F#	G

Second Movement

Foreground and Lower Middleground

The movement begins with an expansive arpeggiation of Eb which is underpinned by a tonic pedal. The arpeggiation finally reaches the head-note G after some thirty bars (Letter C), before further Eb arpeggiations dominate the musical argument until the tonic pedal is relinquished in favour of the dominant (Letter D). At this juncture the structural middleground 2 is heard which in turn becomes the starting point for another arpeggiation, this time a diminished seventh, which extends to the octave 2 (Letter E).

Returning to a technique seen in the first movement, Sibelius dovetails the arpeggiation with an ascending linear progression of a third which, after transfer of register, is reproduced in descending retrograde as the 'Tempo Primo' is reached (before F). The bass similarly, quits the dominant through a diminished seventh arpeggiation before embarking upon an ascending linear progression that, at middleground, repeats the practice promulgated in the First Movement which results in consecutive octaves (bs.60-70).

As the key changes, the descending linear progression in the upper part is extended by one note to Eb (Letter G), over a series of last inversion seventh chords which resolve and are restated throughout this passage. The Eb is relinquished in favour of the temporary tonic of this section, Ab, which is duly underpinned by that pitch in the bass (b.98).

Ab is quitted through a descending F minor arpeggiation and indeed F becomes a

significant pitch in the subsequent music, often in the context of Db. (Letter H) Transfer of register is achieved through another ascending arpeggiation through Bb, as the Db of the bass becomes the dominant of Gb.

The subsequent 'Adagio' and 'Tempo Primo' sections re-establish Eb in both parts within the harmonic context of a second inversion of Ab. A brief but emphatic modulation to Cb is transformed enharmonically at the key change to B, and B major is then confirmed in the upper parts through an arpeggiation. The arpeggio moves to a seventh and keeps rising in thirds until E is reached (Letter K), and once again Sibelius dovetails a descending linear progression of a fourth away from E which is mirrored in tenths in the bass.

The pitch G grows in stature during the next passage (Letters L-M), before it is quitted in familiar fashion through a descending linear progression of a fourth. Gb is re-installed in the bass whilst a series of arpeggiations of diminished sevenths provide tonal ambiguity above. Gb is transformed enharmonically to F# in the bass and a high D provides a focal point (b.200 to Letter N), which is initially underpinned by F#, but also Bb becomes a significant pitch in the bass as Bb major gains control (Letter N).

At this point a remarkable passage occurs which shows that even in the earliest of Sibelian symphonies some of the harmonic and tonal fingerprints of his later style may be discerned. The high D is quitted through a thirteen-note descending whole-tone linear progression which is supported by ascending 'Tristan' arpeggiations built on first G# and then F# (a pitch of significance in the previous section). The latter then acts as a lower chromatic neighbour-note to G which fulfils the role of the dominant of C. Above this newly-installed dominant a rising arpeggiation begins from

G which, replicating previous practice earlier in this movement, keeps on rising through a series of thirds beyond the fifth and the seventh to reach the leading note, still underpinned by the quasi-dominant G. The process is repeated again through a two octave rising arpeggiation built on thirds (b.230), and yet another similar ascent starts from what seems to be the eventual tonic of this passage, C, and duly peaks at the resultant high C (Letter O). The key signature reverts back to the initial Eb, but a tonal trick awaits the listener as the dominant avoids the cadence onto C and is instead deflected in favour of diminished harmonies. The melodic lines do indicate a predilection for C minor (the relative), but Eb is installed in the bass throughout and diminished harmonies gradually give way to the first inversion of C minor before an effortless shift back to the tonic Eb is achieved.

Interestingly, a final dominant is never explicitly stated during this final section (Letter O to the end), although dominant harmony is implied in the melodic lines above. The false dominant, G has all the strength and impetus of a dominant in the latter part of this movement whereas the true dominant has little impact once it has briefly underpinned 2 earlier in the movement.

This practice of using a substitute dominant is another key feature of Sibelius' mature style, yet we see here in only the second movement of his symphonic output a fine example of this technique.

Upper Middleground

The higher levels of Schenkerian analysis reveal that the overall structure of 3 2 1 is, in one sense, completed at the first key change to Ab; however, that tonality of course in itself precludes any final resolution. Nevertheless, it is the only descent from 3 at the initial register, unless the analyst chooses the very first pitch of the movement to be the head-note and the subsequent arpeggiation through the octave between the beginning and Letter C must become mere registral transfer. It would then be possible to conceive that the 2 may be found at the lower pitch level (b.50) only bars before the higher 2 occurs (Letter D), supported by the dominant. The final descent to 1 which is found in the last few bars would then indeed be in the same register as the opening head-note.

With either reading, the strength of the 3 2 1 structure is evident, with a clear upper descent between the opening and the first key change and another swifter descent, at the lower pitch level, as the key returns to the tonic once more at the end of the movement.

The real interest perhaps, lies in what occurs in between these clearly defined sections; for the head-note G, when seen at the higher level, has a chromatic upper neighbour-note which is the starting point of remarkable descending whole-tone linear progression which can only be discerned at upper middleground level. Whole-tone linear progressions were noted at a lower middleground level, but this progression is far more extensive and indeed defines the structure and tonality of the entire passage between the opening and closing tonic sections.

The Ab is underpinned by Ab minor tonality, but the second step of the progression is first heard as Gb and is transformed enharmonically to F# at the B major key

change (before Letter K). The third step maybe found at the high E natural (Letter K) and the fourth where the high D heralds the descending thirteen-note whole-tone linear progression at a lower middleground level (Letter N). The fifth and final step is the high C that is the result of the extensive substitute dominant (Letter O) heard as the tonic key signature is re-instated.

Third Movement

Foreground

In contrast to the previous movements, the head-note (3) is reached through an ascending linear progression of a third rather than arpeggiation. Touches of colour from the pitches Bb and Eb imply C minor initially, but the high E natural makes a strong statement for C major. However, immediately following the head-note another ascending linear progression of a fifth begins from Ab and rises through Bb until the head-note is reached once more. This time though, it slips chromatically away to D in the context of a perfect cadence into G major

After the initial statement of the tonic C, the bass opts for Neapolitan colour under the Ab (Letter A), and in turn begins a rising linear progression of a third, which interestingly, reaches A natural to underpin the head-note rather than Ab to reinforce C major. The A then becomes the dominant of the dominant as the perfect cadence into G major approaches.

G major is promulgated via a series of arpeggiations in the upper parts, although there is still some debate between Ab and A natural in both parts (bs.80-90), and diminished arpeggiations begin to dilute the strength of G (bs.90-100). The discussion concerning the modal Bb that was first seen in the opening bars continues, but now at a lower middleground level as a descending arpeggiation of G includes both B and Bb and the 'Picardy' Third (after Letter E). Further arpeggiations of D minor and A minor take the music away from G towards an intensely chromatic passage (bs.130-140).

Here we can see an archetypal feature of Sibelian voice-leading and harmonic style: a rising linear progression of a sixth which is strongly whole-tone, mirrored by a similar descending progression. The upper parts also employ an ascending linear progression but prefer an octatonic pattern that spans a diminished fifth.

The leading-note is eventually re-established in the upper parts (Letter G) and duly rises to a high C but this is not underpinned by a strong cadential pattern. A brief re-appearance of the opening motif concludes the section (b.150).

The 'Lento' section (Letter H, b.160) begins with four sharps in the key signature and immediately stresses the importance of the pitch G# in the context of E major, although a swift cadence into G# minor occurs before the pause. C# minor becomes more apparent henceforth (Letters I – K), and the pitch of G# resumes its dominance until Letter L. It is, therefore, somewhat surprising to find a rapid perfect cadence into the tonic C major complete with descent from 3 at the lower pitch level immediately prior to the pause.

The 'Tempo Primo' that follows hints more at C minor than major, employing melodic minor scale patterns as a prelude to the return of the opening motif and a return to the original key signature. The music proceeds very much as in the exposition, complete with rising linear progression to the head-note E, but makes a rapid diversion towards a first inversion of Gb (Letter N). This in turn, becomes the start of a characteristic whole-tone rising linear progression of a fourth in the upper part which reaches the dominant G, mirrored by an ascending progression in the bass moving from Bb up to the dominant G and a conclusive perfect cadence in C major (Letter O).

It is interesting to note the number of perfect cadences and their impact on the movement. In many movements Sibelius spends much energy avoiding conclusive cadences as was seen so clearly in the previous movement where the dominant was rarely employed, hence perhaps their use here reflects the impact of the timpani 'soloist' and the inherent reliance upon tonic and dominant.

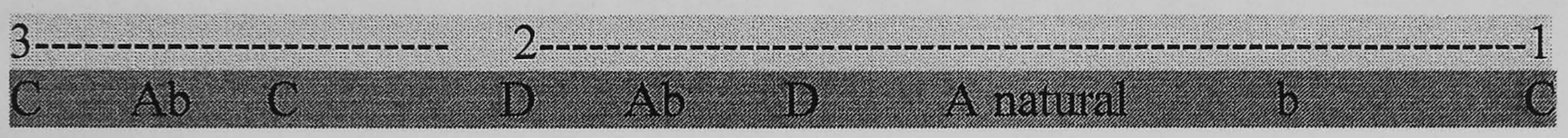
C major (Letter O) is quickly undermined by a series of diminished and 'Tristan' arpeggiations in the upper part, which are supported by a descending linear progression of an octave that takes a chromatic and tortuous route to the dominant before another perfect cadence into C (Letter Q).

The final flourishes of the opening motif hint once more at the Neapolitan colour seen earlier in the movement, and the final ascending passage even opts for Eb as its third which is reminiscent of earlier musical debate concerning the 'Picardy' 3rds. Schenker, of course, terms such a debate as 'mixture' and other examples may be found in later symphonic movements.

Middle and Upper Middleground

It is possible to view the higher structural levels in three distinct sections defined by statements of 3-2-1: the first from the start to the key change, the second from the key change until the return of the original key signature, and the third from the key change to the end.

During the first statement, the structural role of Ab, the flat sixth, is more apparent: it provides the most significant pitch away from both the head-note 3 and the descent to 2



At the approach to 1 (Letter G), the Ab becomes A natural once more as the starting point for an ascending linear progression of a third. Hence, at a higher structural level the musical debate between the flat sixth and natural sixth is also evident and adds considerable interest to the music. The debate continues during the Third Movement of the Third Symphony and even involves the same two pitches.

It is important to note that each of the three sections contains a clear statement of 3- 2- 1 in the upper part, with the first and last sections including a clear and unequivocal tonic and dominant relationship underneath.

The second statement prolongs the high E as 3 before a transfer of register takes the music to a rapid but emphatic descent in the latter stages which defies the key signature. The tonic was not established to underpin 3 this time, in fact the tonality

veers more towards G# and E. Indeed, the sudden shift back to C is quite unexpected.

The final statement returns to the original high pitch level for a clear descent from 3, with 2 underpinned by a descending linear progression that spans the octave including both chromatic and whole-tone moments from dominant to dominant.

It is important to note that at an upper middleground level this becomes:

3-2; 3-2; 3-2-1

Schenker provides an example of a Beethoven Sonata (Op.27, No.2, 1st movement) which has a remarkably similar structure, although in this case it is a sonata first movement. [6]

[6] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, Vol.2, 7a

The Fourth Movement

Foreground

The finale returns to the E minor of the First Movement and its 5-4-3-2-1 structure.

This is a movement dominated by extensive linear progressions and arpeggiations.

There is an interesting example of an ascending chromatic linear progression which rises steadily whilst descending arpeggiations fall from each step. The upper parts rise through seven chromatic steps from Bb to E as the tonic is established beneath. (Letter D, bs. 88-122) Within a few bars this technique is heightened as another ascending linear progression of a third begins, this time diatonic, which has a series of descending diminished arpeggiations falling from each degree of the ascent (Letter E to b.140).

Later in the movement diminished arpeggiations take on an even greater role: the entire musical argument is based upon the diminished seventh until an ascending linear progression of a third interrupts the diminished nature of the upper parts, only to be itself accompanied by diminished seventh arpeggiations in the lower part (Letters M to N).

The final tone of the linear progression serves as the starting point for more diminished seventh arpeggiations which, underpinned by an ascending linear progression of a third in the bass (C#, D , E) end this period of tonal flux and take music to the tonic once more (Letter O).

In the previous movement it was possible to see how the composer combines different scale types within the same linear progression. In the finale, Sibelius presents another example of this technique, this time an ascending linear progression spans a ninth via three chromatic and five whole-tone steps as the tonic is re-established in the bass (Letter R to S). Further interest is generated by a rising chromatic linear progression in the bass which quits the tonic E and reaches Ab (the furthest tonal pole) by the time the second step of the progression in the upper parts is occurring, before falling back to E once more only to begin another ascending chromatic scale.

It maybe noted that the overwhelming majority of linear progressions in the First Symphony are ascending ,but there are some brief examples of descending progressions in the upper part (Letters L to M), as well as a more extensive descent in the bass which spans a ninth (Letter T).

The final passage of the movement is significant, as here Sibelius returns to techniques seen earlier in the movement whereupon an ascending linear progression is decorated by descending arpeggiations: on this occasion the three rising pitches are 6, # 7 and 8 as the final tonic is reached via the harmonic minor variant of the scale.

Middleground

5 is established immediately, underpinned by the tonic, and is restated again as the head of an ascending chromatic linear progression which rises to a high E (Letter E). 5 then resumes control with the dominant installed beneath as the key change is approached (Letter F)

The 'Andante' is dominated by interlocking descending linear progressions of a third and diminished arpeggiations, before the subsequent key change sees 5 reintroduced with the tonic underneath once more (Letter O).

It is interesting to note that at the start of the second 'Andante' (Letter T) the passage between the key changes is built on a series of perfect fourths in the upper part. Hence it is possible to see Sibelius using that interval to provide middleground structure, whereas composers such as Bartok would employ the interval more at a foreground level: C F Bb Eb

The Eb is then transformed enharmonically to D# which is now found in the context of a dominant arpeggiation in the upper part underscored by the dominant in the bass (Letter U).

After a transfer of register, the descent from 5 is rapid and completes the Schenkerian structure early (Letter X), with a clear perfect cadence in E minor.

SIBELIUS SYMPHONY NO.2

An overview

The first two movements share the 5-1 Schenkerian structure that dominates Sibelius's symphonic output; firstly in D major and secondly in D minor. The last two movements, however, are linked both aurally by the segue and structurally as will be seen. The Third Movement forms a huge prelude to the finale: the tonic B flat becoming a flat 6 which at a higher structural level resolves onto the dominant A as the finale starts. The analysis of the last movement requires careful consideration as an argument for a descent from 8 can be made, the question is whether this is at a middleground level rather than at a deeper level..

First Movement

Foreground

The tonic D is established immediately in the bass whilst the same pitch is promulgated in the upper part. There is much debate during the exposition between D and its upper neighbour-note, often accompanied by the dominant or its dominant, before an interrupted cadence is reached. The dominant is immediately re-stated with an arpeggiation that spans a seventh to reach a higher E, thus strengthening further the role of the upper neighbour-note. Sibelius quits this pitch via a descending linear progression of a fifth which then falls once again to a pause on E.

The passage that follows forms a microcosm of the 5-4-3-2-1 structure as the change of time signature is reached (Letter B), but 5 has no great strength at this point as the

discussion between the tonic and its upper neighbour-note is rejoined. 5 is eventually heard over the dominant and gains greater influence (Letters C-D).

The development is approached with dominant harmony and a strong 5 as would be expected, but the development section (Letter E) introduces a period of tonal flux. Various key centres are touched upon: initially G, then E flat (b.130) which later becomes the dominant of A flat.

Other interesting features of the development include a cycle of fifths which forms a descending linear progression of a fifth, two examples of descending diminished arpeggiations (approaching Letter H) and a series of descending linear progressions of a third (e.g. bs.170-180+).

More extensive linear progressions appear as the movement progresses, both chromatic (Letter K) and diatonic . The latter prolongs 5 through an ascending linear progression of an octave (Letter M) which, as was seen in the first movement, is split between diatonic steps initially and chromatic steps as the end of the scale is approached.

To herald the return of the tonal stability of the dominant in such a manner, giving a sense of expectation and then arrival, is a common feature of Sibelius' fore- and middleground structural technique. Additionally, the bass also rises to the dominant through a three-note whole-tone linear progression.

Middleground and Upper Middleground

At middleground level it is possible to see the initial strength of the prolongation of 1 with much of the musical interest lying in its relationship with its upper neighbour-note. 5 is reached after Letter B underpinned by the dominant, and is then prolonged by an arpeggiation that hints at F major as well as A major (approaching Letter C).

As the tonality becomes more fluid after the key change (Letter E), an important feature of Sibelian style is seen for the first time in the symphonies: the use of a flat 5 as a lower neighbour-note to the headnote at a structural level. In the Fourth Symphony Sibelius would take this technique to greater structural levels, but here we can see flat 5 prolonged with its upper neighbour-note between Letters E and H. Flat 5 becomes # 4 as enharmonic change occurs (Letter H), and the composer dovetails an ascending diminished arpeggiation with an ascending linear progression to reach a high # 4 once more (Letters H – I).

The return to the tonic key signature (Letter M) see prolongations of 5 and 2 with tonic and dominant or 6/4 in the bass. The descent to 1 is partially achieved as far as 3, with the final 2 occurring with a full dominant (b.317) as the final utterings of the first subject occur. It is possible to argue for an even later descent in the foreground of the last few bars, but that theory leaves 2 unsupported by the dominant altogether.

At upper middleground three clear sections emerge which consist of, firstly, the main exposition of themes and the original key signature, secondly, a middle section of tonal flux and development of thematic material, and, thirdly, a final section where the tonality returns to the tonic again.

In the first section 1 and its upper neighbour-note, 2 , are important pitches set in the context of tonic and dominant harmony before a shift occurs to the head-note 5. The second section develops thematic material and explores tonality: the upper part centering on the two chromatic neighbour-notes either side of 5 (flat 5 and flat 6) underpinned by E flat and then E. The third section returns to tonic and dominant harmony with 2 and 5 occupying the upper parts again, before a transfer of register takes the descent ultimately to 1.

At the highest middleground level this may be condensed to:

1	5	flat 5	5	4	3	2	1
I	V		I			V	I

Second Movement

Foreground

D minor now replaces D major, but at first the musical methods seem reminiscent of the preceding movement as the initial bassoon theme centres strongly around 1 again. However, the tessitura is low and forms the beginning of a long ascent to 5.

The foreground material is highly scalic, both in the thematic material and its accompaniment. 1 remains the focus for melodic activity with melodies starting on 5 and rising in linear fashion to 1 (after Letter A), or later, starting on 4 and falling through the scale to 1 again (Letter B). Tonic or dominant underpin the melodic material throughout this early part of the movement.

The first departure from 1 and the tonic is to B flat at the 'Poco Allegro', as a characteristic ascending whole-tone linear progression takes the music through two octaves to a high 3 as part of the initial arpeggiation to 5 at a middleground level (bs.69-75, Letter C). 5 is then reached, and begins to assert some influence before the key change to F# major. C# is installed as an important pitch in the ensuing section, retaining dominance for some twenty bars before the shift to F# minor (b.120).

Throughout both F# sections there is a strong 'tonic' pedal in place until 5 is reached, underpinned by the real tonic, D (after Letter G). The structural importance of 5 is emphasised by two ascending whole-tone linear progressions: the first quits 5 and the second reaches 5. In both cases the note furthest away from 5 is the augmented fourth. Immediately, 5 is highlighted still further by a longer ascending whole-tone linear progression (b.140) that starts from 5 and moves through the octave

in a similar fashion to the earlier passage (approaching Letter C) which had arrived at 3.

The 'Poco Largamente' (b.150, 5 after H) sees a move towards the tonic D minor, but the music is more chromatic at this point, defined by a series of ascending and descending chromatic or whole-tone linear progressions. The bass however, rises in linear fashion away from D before falling back onto E and moving finally to B at the pause (before Letter K).

The subsequent 'Andante Sostenuto' (Letter K) sees the re-establishment of 5 set in the context of D minor, heralded by a tonic minor arpeggiation (bs.180-189) underpinned by a strong tonic pedal. A similar pattern ensues, but the tonic major forms the basis for a new arpeggiation which dominates the entire passage (Letters M-N).

The final 'Andante' returns to the tonic minor, with 5 at a lower register, although there is a brief diversion based upon an arpeggiation in contrary motion that spans a ninth. The arpeggiation ends on G to form the structural 4 which then moves rapidly to 3 as the final descent occurs (before Letter P). 2 is finally heard in the last few bars as part of the dominant, before 1 is reached and the tonic.

Middleground

At a higher level it is possible to put forward an argument for both 3-1 and 5-1 Schenkerian structures. A case could be made for 3 being the head-note as it is heard with such prominence (Letter C) and is the focus for the two-octave whole-tone linear progression. During the F # minor and major sections 3 is prominent again, yet 5 follows the prolongations of 3 and is then itself strengthened by a similar ascending whole-tone linear progression (b.142), which gives more weight towards a 5-1 structure.

Another piece of evidence that weakens the case for a 3-1 structure, is the fact that the significant high 3 is heard above a B flat, the flat sixth, in the bass, and then later is prolonged over an F# bass. 5, however, is generally underpinned by tonic harmony (e.g. after G, b.144, between Letters K and M).

Hence, the middleground graphs highlight a 5-1 structure and note the important role of 3, often seen as part of an arpeggiation to 5.

The exact positioning of the first 5 is another interesting point: does the analyst choose the A between Letters C and D, or prefer one supported by a D (in major context) after Letter G? Or indeed, perhaps the very high A that results from the rising whole-tone linear progression might be a strong candidate? The registral placement raises other issues: the high register certainly adds prominence to the pitch, and its relationship with the earlier very high 3 (that was reached in such a similar fashion) might indicate that it was the final step in a lengthy initial arpeggiation. If so, then the head-note is reached at a relatively late point in the movement (b.142). The latter choice would present registral problems in terms of achieving a descent, although it

has been seen in other movements that registral displacement is sometimes necessary to realise the Schenkerian structure at a higher level.

At upper middleground, an extensive arpeggiation can be seen that reaches 5 supported by the tonic. 5 is decorated by chromatic upper and lower neighbour-notes B flat and G# in a manner similar to that seen in the First Symphony. The descent to 1 is achieved over the dominant in the final part of the movement, with the final 2 found an octave lower within the final dominant.

The Third Movement

Foreground

B flat is immediately established as a key pitch at the outset of the movement, and its importance will become evident in terms of its middleground relationship with the finale. Upper and lower neighbour-notes decorate octave transfers, and flat 7 provides a modal inflection that is a typically Sibelian feature which has great influence in the Fourth and Sixth Symphonies (bs.10-15). The bass makes only a small excursion via a descending linear progression of a third before twice returning to the tonic (Letter A).

The dominant is approached via a succession of chromatic upper and lower neighbour-notes that circle the dominant (Letter A to B), whilst the upper line moves away from B flat through a descending diminished arpeggiation. C is installed, again decorated by upper and lower neighbour-notes, before it is strengthened by the arrival of the dominant pedal (Letter B).

Immediately, a characteristic descending linear progression of a tenth is employed to quit C through a scale which includes both flat 7 and flat 3 (Letter B to b.50). The second stage of a descending middleground arpeggiation of the dominant has been reached, and the pitch A is prolonged despite an intervening descending diminished arpeggiation. The final step of the dominant arpeggiation occurs (b.60) and is rapidly subjected to double octave transfer to give further prominence to the dominant at this juncture (Letter C).

The dominant is left through the introduction of a period of greater tonal flux provided by both the 'Tristan' chord and the diminished seventh, before the pitch D becomes significant as it is established in both parts (bs.80-90). Further diminished arpeggiations add colour above the D pedal, as the high D is passed through three octaves in the upper part to reach a lower pitch (b.94). At this point a return to the tonic is achieved through a series of ascending linear progressions of a fifth: firstly stemming from D and then falling sequentially to C before B flat is reached once more. (Letter D). The bass underscores this tripartite motion with a similar linear descent which causes consecutive octaves at a middleground level.

C is quickly restored as an important pitch, despite its dissonance with the underlying tonic, and is prolonged through an ascending two-octave linear progression which outlines a B flat harmonic minor scale within (bs.114-121). C then plummets through four octaves before rising slowly back up the entire four octave range once more. The ascent via the last octave, however, includes an interesting passage that could be interpreted as another ascending linear progression of an octave, on this occasion displaying an unorthodox C minor scale that includes chromatic steps between degree four and five. Alternatively, it could be viewed as an ascending diminished arpeggiation which mirrors a similar progression in the bass (bs.125-130).

At a higher level the prolongation of C here described will be seen as merely an upper neighbour-note to the resultant B flat (Letter E, 'Lento e suave'), but includes some fascinating colorations and creativity at foreground level. B flat is decorated by scalic passages and lower neighbour-notes, but a tertiary modulation takes the tonality to G flat (Letter E).

The 'Tempo Primo' (Letter F) sees the tonic key signature re-installed, though the subsequent section will not see the dominance of the pitch of B flat that was seen during the opening. The modal flat 7 that added colour earlier is now extended further (bs.180-194) as both parts prolong that pitch as a lower neighbour-note to the tonic B flat. An ascending linear progression of a third takes the music to another significant pitch, F which is eventually met by the tonic in the bass (b.210). This high F is quitted in archetypal Sibelian style via a descending linear progression that spans a tenth, which then dovetails into a descending arpeggiation of G minor (bs.213-222).

The resultant pitch, G, becomes important in the next passage and is prolonged firstly by a descending arpeggiation, and then quitted via an ascending scale, mirrored in contrary motion in the bass, which reaches a high C (Letter H to b.241). The B flat of the bass is left in favour of F# which underpins the high C as a chromatic lower neighbour-note to G (b.251). The importance of G in the upper part is evident again at this point, and a series of descending arpeggiations prolong this pitch over a second inversion D pedal (Letter I). Above this, the bass moves through an ascending linear progression of two octaves to reaffirm the second inversion, before typically slipping sideways via a descending linear progression of a third back to B flat (bs.267-272).

Although the tonic is in place, it soon becomes apparent that the upper neighbour-note C is to have prominence once again in the upper part. Sibelius returns to an identical passage to the one that preceded the first 'Lento e suave' (Letter E) and the shift to G flat (bs. 275-303 compared with bs.102-146).

It is interesting to note that although C is clearly the destination for the rising scales, their composition is that of B flat harmonic minor.

The 'Lento' promulgates B flat in the upper part over G flat in a similar fashion to the previous 'Lento', but soon diverts to a passage that is highly reminiscent of one in the finale of the First Symphony. (Letter E of finale). Here, the upper part consists of a rising chromatic linear progression which is decorated at each step by a chain of descending arpeggiations. Meanwhile, the bass rises chromatically through eight steps to reach the dominant of the finale that is shortly to follow (Letters K-L).

It is apparent that Sibelius reserves his most complex, chromatic linear progressions to emphasis important tonal shifts. This had been noted in the First Symphony, and here is used to effect the crucial modulation to the new dominant of the finale: a tonal area distant from the original B flat that began the movement.

Another series of ascending linear progressions (Letter L - finale) occur over the finale's dominant which focus the upper parts onto E or 2 of the new D major of the ensuing segued finale. A resounding perfect cadence moves the music into the finale and D major.

Middleground and Upper Middleground

The middleground of the Third and Fourth Movements are inextricably linked due to the continuous nature of the two movements. The Third Movement poses significant problems in terms of its placement into typical Schenkerian formal structures if considered in isolation: as there is no return to the tonic there is no descent in the upper parts and no I, V, I in the bass. However, when viewed as a prelude to the finale the structure becomes more apparent, with the entire Third Movement appearing as a flat 6 chromatic upper neighbour-note in the bass, seen in relation to the dominant of the finale.

The upper parts are more problematic. The initial prolongation of B flat dominates the music until the change of key (Letter E), and then beyond in the context of G flat. Other significant pitches include 5 and 6 (Letter F to b.270), with some importance attached to 3 (after b.270) before 1 recurs, again within G flat. Hence, it appears that 1 is the most significant pitch in this movement, thereby reinforcing the view that the movement can be considered to be a single flat 6 preparation for the finale.

Linear progressions at middleground are less pronounced than in previous movements, apart from the ascending chromatic progressions which emphasises the move to the new dominant of the finale (Letter K). Indeed, arpeggiations are perhaps more commonplace in this movement: for example, outlining the relative minor (before b. 270).

The true dominant, F major is scarcely found in the movement. Only in the first promulgations of B flat is it seen with any strength, and is arpeggiated in the upper parts, but not seen in a relationship with the tonic. The tonic has but one purpose in this movement, to move to the finale's dominant, and therefore its own dominant (F) is made largely redundant as the movement progresses.

The presence of repeated G flat sections can also be regarded as an extension of the concept of a lower neighbour-note to the finale's dominant, which presents a picture of two tonalities surrounding the new dominant from above and below as upper and 'lower neighbour-notes' . This procedure was seen in the upper part of both the First and Second movements of this symphony where both G# and B flat converged upon 5 (see middleground graph for Symphony No.2/i).

Fourth Movement

Foreground

The finale presents a 'tour de force' of arpeggiations and linear progressions, often placed to prolong significant pitches and tonal areas. Significant examples include an ascending whole-tone linear progression spanning a seventh (Letter G) which is immediately followed by an ascending arpeggiation of a seventh which effects the move to C# major.

The motion to the tonic minor is highlighted and emphasized by a remarkable three-octave descending linear progression which has much of the character of C minor. (Approaching Letter O). However, much of the real interest occurs at middleground level:

Middleground and Upper Middleground

It must be remembered that the middleground of this movement has to considered in relation to the flat 6 prelude that is the Third Movement. I can promulgate two theories to account for the structure of the finale, both , I believe have some merit, yet perhaps both contain difficulties.

Firstly, a 5-1 structure is certainly possible, as 5 is established early in the finale (before Letter A) within the tonic D major and is a significant pitch at many points during the movement. The B flat that dominated the upper parts of the third movement can be seen to fall at a high middleground level to the 5 of the finale, both

in the upper parts and the bass. Transfer of register is necessary to achieve this in the treble, but this does not weaken the relationship between the movements. The descent occurs within a few bars as the tonic minor section suddenly returns to the tonic major and dominant and tonic are stated with great clarity (bs.331-333). Henceforth, there is repetition of the perfect cadence, the return of the appropriate key signature and prolongation of 1.

The difficulties of the 5-1 structure when so applied, are that firstly, 8 seems a very strong pitch in the opening theme and subsequent music. 5 is also significant, but choosing between them is a finely balanced judgement. Secondly, and perhaps more importantly, the F# section sees the pitch C# rise in significance and is 'in control' for a large part of the musical debate (bs.90-130). In addition, an ascending linear progression reinforces the pitch as it rises to a prominent pitch level. (Letter D).

Would it not better reflect the music to consider an initial 8 followed by this strong 7, supported by its own tonal area of F#? In which case, what of 6? The prominence of the high B (before Letter H) underpinned by the same pitch could act as 6. Interesting, B flat is also a significant pitch later in the movement in the context of the tonic minor. It must be considered, however, that 6 has less strength that 7 and certainly less than 5: can we really imply the 6 is being prolonged from Letter H through to the late descent through 5 to 1? In between there is both dominant and tonic with recapitulation of the first theme (Letter K) which surely deny any long-term prolongation of 6 ? Yet, before 5 is installed before its final descent, 6 or rather flat 6 (B flat) is prolonged through a dramatic three-octave descending linear progression underpinned by the same pitch (achieved through an interrupted cadence) Having

seen how Sibelius often highlights important pitches though extensive linear progressions, perhaps this renews the strength of a possible 6?(Approaching Letter O).

But what of the relationship with the Third Movement? The flat 6 upper neighbour-note falling to 5 has to be discarded as 8 is underpinned by the tonic, D. The motion from flat 6 becomes an internal structure within the third movement where the bass and entire tonality represent a flat 6 preparation for the brief motion to the 'new' dominant that occurs just as the third movement is ending.

Both structures represent the music faithfully in their own ways – the former gives great clarity to the two movements seen as a pair at a higher middleground level, whilst the second theory represents lower middleground music perhaps more convincingly.

Perhaps the best solution is to include the descent from 8-5 at a middleground level, leaving the 5-1 structure as the fundamental line.

SIBELIUS SYMPHONY NO.3

Overview

The Third Symphony contains just three movements, all of which find different and interesting ways to prolong 5 before a descent to 1. Many of the musical devices seen in the first two symphonies are found once more, although there are an increased number of arpeggiations in the first movement which reflect the triadic and diatonic nature of the music. The first and last C major movements are separated by a movement in G# minor, a distant key, but also representing the composer's fondness for flat 6 tonal relationships and tertiary modulations.

Often held up as a paragon of classical virtue, the first movement nevertheless presents significant problems for the analyst. Is it possible to employ Schenkerian methodology when working with a movement which avoids the dominant, even to the extent of preferring a final plagal cadence to eschew any V-I relationship? Surely no fundamental structure will be found. Yet, 5 is a significant, prolonged pitch. This movement certainly stretches Schenkerian theory to its limits, although there are compromise solutions which stay true to the music whilst keeping Schenker's philosophy in mind.

First Movement

Foreground

The movement begins with a low theme which outlines tonic, dominant and the submediant through scalic passages. At a higher foreground level there is interest created between the upper neighbour-note and the tonic during the opening bars. The pitch gradually rises as a tonic arpeggiation emerges, leading to the first significant statement of 5 (before fig. 2). Further tonic arpeggiations continue to ascend towards 5 throughout the first subject area, which are underpinned by a tonic pedal throughout.

If the first subject area is defined by ascending tonic arpeggiations, the second subject (b.40) introduces linear progressions as the bass finally moves away from the tonic and B is installed. There is some musical debate concerning whether this is the dominant key area to match the new key signature or its relative minor B, and the latter certainly is more apparent. A linear progression of a seventh (approaching b.60) takes the music away from B, before ascending arpeggiations of C and then G return (b.70).

As the motives are developed, greater chromaticism is apparent, as might be expected, and A flat becomes a significant pitch within D flat major (b.105). An enharmonic modulation takes the music briefly to C#, before two ascending linear progressions, the first of a fourth, and the second, that outlines an E flat scale through the octave (bs.111-121), highlight the importance of the latter pitch.

Another interesting facet of this developmental material involves a similar use of ascending fourths as important pitches, as was seen in the finale of the First Symphony (Letter T). Here the notes are: C, F/F# B flat (bs.141-152).

However, Sibelius approaches the recapitulation through more familiar methods, employing a series of overlapping ascending linear progressions that peak as the tonic is promulgated once more (bs.153-164).

Just as the tonic was quitted for B, so it is rejoined via that pitch: in effect acting as a substitute dominant, a feature that will figure in the composer's long-term tonal planning in later symphonies.

There are many more tonal and harmonic diversions in the recapitulation compared with the rather diatonic and triadic exposition: a descending whole-tone linear progression in the bass (b.236) approaches an enharmonic shift from D flat to C# (the same modulation that occurred earlier in the movement). A final excursion towards the relative minor, arpeggiated in the upper parts, creates tonal interest in the coda, before a touch of flat 7 adds extra piquant colouration to the concluding few bars.

The final cadence is of some significance. It will be noted that the composer has avoided V-I configurations throughout the movement, replacing the dominant G with the leading note. To use a plagal cadence to complete the movement may be seen as a further avoidance of the tonic and dominant, and would return again later in the Sixth Symphony.

Middleground

Clearly, in any movement where a substitute dominant is employed, the Schenkerian structure will be problematic. As has been noted, the tonic is quitted in favour of B, and rejoined via the same pitch. The dominant, G, is avoided – although its key signature is present! There is no obvious, conclusive perfect cadence that establishes the tonic/dominant relationship, and the composer strategically places a plagal cadence at the very end as if to confirm the earlier avoidance.

So what of a Schenkerian structure? Without V there can be none, yet if we wish not to deny the clear tonal direction of the music an argument can be made for 5-1. In the final eight bars of the movement, 2 is found in the violin above a dominant G in the horns: can this be the dominant necessary to complete the structure? Certainly the bar itself (b.269) can be seen as a microcosm of a 5-4-3-2 descent which completes in the final tonic of the last bar. Hence, 5-1 is technically possible, but does it adequately portray the composer's intentions in a movement where he seems at pains to avoid dominant/tonic relationships? However, there is no doubt that 5 is an important pitch, established through tonic arpeggiation which seems every bit as strong as 5 in other movements.

Therefore, if we are to accept that a late 5-1 descent is possible, with a fleeting dominant evident, much of the music between the initial ascent to 5 and the late descent becomes middleground interest: Sibelius avoiding the dominant, replacing its function at foreground, middleground and even upper middleground levels with a substitute dominant.

Upper Middleground

The initial arpeggiated ascent to 5 is now clearly evident, and 5 is prolonged through two complementary linear progressions: the first returning to 5 via a descent of a third, the second reversing the process, quitting a low 5 through an ascending linear progression of a third.

The role of upper neighbour-notes at a higher middleground level is also significant and reflects Sibelian middleground structures in earlier symphonic movements. Both A flat and A natural are employed in relation to 5, the former in a Neapolitan tonal context, the second within F.

MG:	5			FLAT 6			5		6	5
BASS:	C			DFLAT			C		F	C

This practice is also found in the bass, where the tonic is surrounded by chromatic upper and lower neighbour-notes:

C	B	C	D FLAT	C
Tonic	Substitute	Tonic	Neapolitan	Tonic

Second Movement

Foreground

The second movement begins in G# minor, interestingly, the pitch that was an upper neighbour to 5 in the previous movement. 5 is immediately established over the tonic via an initial ascent, in stark contrast to the extended initial arpeggiation of the previous movement. Indeed, 5 is highly significant pitch for the first hundred bars or so, totally dominating the melodic writing. The opening melody from which the whole movement derives, circles around 5 and hence its repetition ensures that 5 is highlighted.

The bass presents strong tonic and dominant relationships, again, contrasting with the previous movement. Motion to B, the relative major, is twice reinforced by descending linear progressions of a third away from 5 in the upper part (bs.20-40), before 5 is reinstated and a microcosm of the overall structure occurs (bs.36-37).

A second miniature 5-1 descent takes place in G# major (Fig.4) until the relative major returns, this time twice highlighted by descending linear progressions of a third which move from 7-6-5 (b.60). Clearly this mirrors the earlier motion to the relative major when descending linear progressions of a third moved from 5-4-3.

Here we are seeing an archetypal feature of Sibelian harmonic style as the composer highlights modulations to new tonal areas through linear progressions. Another example of this practice may be seen before the return of the 'tempo primo' where a

more extensive descending linear progression, mirrored for a while in tenths in the bass, illuminates the change of tempo (approaching Fig.7).

The dominance of 5 continues but is truncated by a modulation to D major which sees 7 (F#) as the significant pitch (3 in D major). Indeed, Sibelius reinforces its role through a descending linear progression of a third (b.110) in a similar manner to the tonic section. A swift modulation to its relative minor, B, is confirmed by a perfect cadence (Fig.9), but F# is still the dominant pitch after the cadence.

To effect the change of key, Sibelius employs a descending linear progression of an octave (including octave displacement) which starts from F# but leads to F natural to pave the way for the subsequent A flat major section. The first half of the octave descent represents D major, whilst the second indicates F major (bs.121-125).

A flat, which may be considered enharmonically, as 1 G#, is installed briefly in the upper part, but a series of descending linear progressions of a fifth move the music towards its relative, F minor.

At this point two ascending linear progressions, of a sixth and fifth respectively, the first accompanied in contrary motion by the bass, effect a temporary enharmonic modulation (approaching Fig.11). A flat is soon restored however, and D# is enharmonically transformed to E flat to begin a remarkable tour de force of linear progressions that is a familiar feature of the Sibelian style during passages of increased tonal flux: firstly a descent of a fourth (bs.144-145) is immediately followed

by a linear descent that spans an octave before an ascending linear progression spans a tenth to facilitate the enharmonic shift back to the tonic. (Fig 12)

With the tonic firmly in place, 5 resumes its dominance, strengthened once again by descending linear progressions of a third which end on 5.

Middleground and Upper Middleground

The middleground reveals most clearly the strength of 5 almost throughout the movement. The regular tonic and dominant relationships defy the 'avoidance' technique of the previous movement, yet one link remains: both movements find an unconventional approach to the returning tonic. In the first movement a substitute dominant produces a VII – I relationship; here an enharmonic shift from A flat to G# is employed.

The preponderance of linear progressions is evident, and shows a marked contrast at middleground compared with the arpeggiations of the first movement. Their placement, as ever, is strategic: positioned to highlight important pitches or changes of tonality.

Despite the role of 5, the importance of F# and A flat must be noted. The former is underpinned by D major tonality and dominates until A flat emerges after the next key change.

With the return of 5 (Fig.11) a curious pattern is evident at a higher middleground level that is not quite an arpeggiation!

Degree:	5	7	1?	5
Treble:	D#	F#	A flat	D#
Bass:	G#	D major	A flat	G#

The placement of the final descent from 5-1 must allow for registral displacement as 5 and 4 are found at a high level some two octaves above the last 4-3-2-1. However, it must be noted that 5 may be found during the last few bars, an arrangement that would produce a descent of 5-4-3-2-1 *still* at a pitch lower than the original statement of 5 at the opening of the movement. This choice is significant though, as the cadence underpinning this motion is a highly conclusive V 6/4 5/3 I.

The Third Movement

Foreground

A high G is sustained as the first representation of 5 in the movement, and a microcosm of the fundamental structure is promulgated over the dominant. As the tonic is reached it is decorated by a Lydian scale before refocusing upon 5 once more and a repetition of the microcosm occurs. The third theme of this movement, which transforms the latter part of the movement, has a prominent Lydian fourth. The use of the sharpened fourth is, of course, highly significant both in terms of this movement and Sibelius's musical processes in general. The Fourth Symphony sees the raised fourth move from the foreground to a structural middleground feature.

Although the tonic dominates the opening sixty bars, the upper parts engage in an elaborate series of descending arpeggiations which span diminished seventh chords before returning once more to the first subject's miniature 5-4-3-2-1 descent (Fig.2), although on this occasion supported by the exposition's first tonal departure from the tonic as the bass moves towards the relative minor.

To highlight the approach to the second subject, Sibelius employs an ascending melodic minor scale of A which serves to answer the preceding descending scalic passage (b.51). This high A acts as an upper neighbour-note to the 5 of the fundamental line. Further ascending diminished arpeggiations (Fig. 3) decorate A in a similar manner to that in which C had been earlier in the movement.

As the 'Allegro non tanto' is approached, 5 is reasserted through a linear descent of a third (7-6-5), immediately followed by a mirror ascent (3-#4-5) which hints at the Lydian tendencies found at the start of the movement and the third theme yet to come (approaching b.80).

The tonic C is only briefly re-established in the bass (Fig.5) after an ascending chromatic linear progression in the bass. However, it is swiftly subjected to a tertiary shift to A flat at the 'Poco a poco piu moderato'. The upper parts are dominated by a high A flat which acts as a chromatic upper neighbour-note to the 5 of the fundamental line. The foreground becomes more chromatic as the development becomes increasingly complex (after Fig.9), and is dominated by ascending diminished arpeggiations and a linear progression that outlines C# major to install C# as an important pitch underpinned by A (b.203). It is this pitch and its dominant that begin to hold sway in the bass and treble, highlighted in typical Sibelian fashion by rising linear progression (including a significant example which re-states the Lydian fourth, b.230).

It is also interesting to note that Sibelius regularly employs pedals based upon the third of the chord in this movement: for example, the A is the third of F# minor, and the E the third of C# minor. In addition, the previous A flat exists in the context of F minor which strengthens this view.

As the third theme emerges 'Con Energia' (Fig.13), 5 is reinstalled in the treble over the tonic, although the strength of 3 (E) is maintained, albeit at a lower pitch level, fulfilling the main melodic and motivic role.

Sibelius avoids traditional cadential formulae as he had in the first movement; preferring to return to the tonic via the dominant of the relative minor. The tonic is then totally dominant until the final breath of the movement, apart from a brief chromatic upper neighbour-note diversion to C# and fleeting motions to E.

The upper parts now focus strongly on 5 and its relationship with the Lydian raised fourth that was promulgated at the start of the movement. The first five notes of the Lydian scale are spelt out on several occasions starting from C (e.g. bs. 267-270) held together by extensive tonic arpeggiations. In fact, it could be maintained that the entire 'Con Energia' section is a series of tonic arpeggiations over I, with foreground colour added through the Lydian fourth.

Middleground and Upper Middleground

The middleground gives clarity in terms of the upper parts but reveals difficulties for the analyst that are similar to those encountered in the first movement.

The strength of 5 is clear and it has huge influence throughout the movement, prolonged through linear progressions and a greater reliance upon arpeggiations that seen before in Sibelius' symphonic output. The role of its upper neighbour-note, 6 is highly interesting and provides much of the harmonic interest in the movement. It is clear that both the natural and flattened forms of 6 are used in conjunction with 5: initially the second subject highlights the natural form, but after Fig.5 the flattened 6 dominates. There are brief moments where the natural form makes a reappearance prior to the introduction of the third 'Con Energia' theme, but both pitches must resolve onto 5 again as the tonic is restated and the final theme is promulgated. (Fig.13)

A comparison with the other C major movement, the first, shows a similarity of approach: both movements have passages which prolong both the natural and flat form of 6. In the first movement the flattened form is supported by a Neapolitan D flat, whereas the finale employs flat 6 within the context of F minor. The natural 6 of the first movement is seen in the context of the subdominant, whereas in the finale the relative minor provides the tonal support.

Other comparisons may be drawn: firstly, the descent from 5 in both movements involves a transfer of register and a late descent; secondly, both movements avoid the

dominant until the very last few bars of the music. (Although the finale does begin with the dominant.)

It is possible to see in this symphony Sibelius developing the tonal techniques and skills in avoiding traditional cadential formulae and tonic/dominant relationships which are seen in later works such as the Fourth and Sixth symphonies. For in the latter, the composer returns to the plagal ending and revisits modal inflection (often Dorian), and in the former the use of substitute dominants, opposite tonal 'poles' and the raised 'Lydian' fourth become significant structural factors .

SIBELIUS SYMPHONY NO.4

An Overview

The Fourth Symphony extends the structural ideas promulgated in earlier symphonies: the progressive aspects of the outer movements are highly influential in the composer's treatment of tonal planning where prolongations of upper neighbour-notes to 5 are of significance in both the upper and lower parts.

The concept of a replacement or substitute dominant, seen in the outer movements of the Third Symphony, is again developed further: the finale sees an opposite tonal 'pole' installed as a chromatic lower neighbour-note to the dominant.

In addition, the increasing valency of the pitches of the middleground and upper middleground becomes a fascinating issue: the opening movement sees a descent from 5 where each pitch is subject to alteration.

The second movement is a rare example of a 3-2-1 Schenkerian structure not seen since the middle movements of the First Symphony, although the complexity of Sibelius' tonal thinking now clouds the placement of 2 in a way that was not seen in the earlier symphony.

There are only four examples of prelude form in Sibelius' symphonic output, and interestingly, two of them are to be found in the Fourth Symphony. (Movements 1 & 3). Sibelius does not return to prelude form until the second movement of the Sixth Symphony.

Another important feature of the first movement sees the composer beginning in the minor and ending in the major, although the desolate final A with its upper neighbour-note B flat denies the key signature of three sharps in every way. Sibelius is able to take advantage of any uncertainty regarding tonality by employing both sharp and natural forms of the scale in the descent from 5 to create what Schenker defines as 'mixture'.

First Movement

Foreground and lower Middleground

A dominant E in the bass sets the scene for the first, and rare example of prelude structure as found in Sibelian symphonies. 5 is soon established and is immediately reinforced by an ascending arpeggiation (Letter B). It is interesting to note that the tonal area of the next section is already established as a pedal (F#/C#) which clouds the strength of the arpeggiation. This is an archetypal feature of Sibelius' mature symphonic style whereupon one tonality begins to blur into another, and one tonality is presented 'early' before another has completed its natural course.

Furthermore, C# and F# become significant pitch classes after the key change to F# major, and a lengthy arpeggiation dominates until the original key is re-established (Letter E). Hence, this section forms a structural upper neighbour-note both in the upper and lower parts to the initial V in the bass and 5 in the treble.

The return to the tonic (Letter E) is soon clouded by an intensely chromatic and contrapuntal passage which highlights the pitches B and D# before the latter is quitted via a descending chromatic linear progression to reach C (Letter F).

C# is soon in place and forms the starting place for a three-octave descending linear progression, which, after the initial two steps, is whole-tone.

An interesting passage ensues which outlines the opening motif of the movement with its characteristic intervallic relationships, but now augmented to almost middleground level. (See Foreground p.2 , marked !!!)

Both C# and C natural are of significance, although the latter is highlighted in archetypal Sibelian fashion through a series of linear descents from that pitch. (Before and after Letter G).

As has been seen in earlier symphonies, Sibelius highlights the return to the high 3 prior to the 'Adagio' through the use of a large-scale ascending linear progression of a ninth (Letter H-I) The bass alternates between D and A before settling on the latter which forms the eventual tonic during the final 'Adagio'.

The workings at foreground serve to outline a clear #4 and #3 (Letter K) before the eventual fall to 1 via a flat 2.

Middleground and Higher Middleground

As Sibelius' second example of prelude form, the concerns regarding the placement of the dominant that occupied the analyst in the Third Symphony are no longer so pressing, as the initial E in the bass confirms. Indeed there is a conclusive perfect cadence which heralds the final 'Tempo Primo', yet the placement of 2 is still open to debate. Choosing the penultimate note, B flat, as a flat 2 does accurately reflect the final descent to the ultimate 1, A, yet simultaneously denies the B natural which is at the very least implied during the perfect cadence alluded to above.

Further examples are easily found: the descent from 5 occurs via #4 and #3 during the final 'Adagio' and 'Tempo Primo' respectively, the latter pitch reflecting the role of C# earlier in the movement. Yet, what of the role of C natural, the 'true' 3? There is a musical debate between both pitches (Letters F-H) which sees the sharpened version prolonged on several occasions over large spans of music, whilst important linear progressions highlight C natural. In addition, the debate must be had as to which of C and C# should be considered to be the 'true' 3 in the light of a movement that starts in A minor and ends with a key signature of three sharps.

It is not simply a matter of stating that the natural form dominates the sections without key signature, and the sharpened form rules the final 'Adagio'; C# is of significance during the earlier sections despite the strength of the natural version. Certainly if we are to end the fundamental line during the final 'Adagio' section, then the sharpened form must be the chosen pitch, and at one level of middleground C natural must become its subservient chromatic neighbour-note.

Does the analyst need to engage in a similar discussion concerning the nature of 4? Sharp or natural? I believe the case is more conclusive this time, with D# occurring prominently during the development section (post Letter E) before falling at middleground level to #3.

Hence the final descent of 5 #4, #3 has been predicted and prefigured, which ensures that the choice of those pitches during the latter stages of the movement seems more coherent with the musical language of the movement.

The motion from V to I in the bass is somewhat at odds with traditional prelude form and Schenkerian theory as a whole; the bass returns to the tonic before the descent from 5 has begun, in fact it is in place to support #3 by bar 80!. There is no previous dominant except the more distant E (Letter E), Sibelius preferring to slip sideways to the tonic via a familiar ascending linear progression.

A wider view would perhaps take the opening E still to be in control despite the A in the bass, and is restated by the perfect cadences that heralds the final 'Tempo Primo.' This denies the stronger A major 'Adagio'section which is harder to justify, and also suggests that the descent should complete at this juncture. To do so would place the earlier # 4 and 3 as part of the fundamental line and the final 2 must be 'found' in the perfect cadence at the 'Tempo Primo'. This theory would, therefore, place a natural form of 2 above the dominant, denying the B flat of the final few bars, or at least relegate it to mere foreground detail. Another viewpoint, would be to regard the phenomenon as a middleground neighbour within the coda.

Whilst there may be some merit in this strategy, I would hold that the graph as presented reflects more appropriately the way in which the music is apprehended and received, and therefore that in this regard, as in others elsewhere, development of pure Schenkerian theory is required to accommodate the inalienable demands of Sibelius's music.

Second Movement

Foreground

The movement begins immediately with the head-note, a high 3, and is followed by a clear arpeggiation of the tonic over its pedal. This is a relatively unusual start for Sibelius, who tends to prefer a form of initial arpeggiation or ascent to the headnote.

The first departure is to the subdominant (after Letter A) which moves in turn to the dominant. Above this traditional tonal outline two linear progressions present an arch to highlight the dominant (after letter A, b.32). Hence, the opening is one of the most tonal of any Sibelian symphony and forms a sharp contrast with the chromaticism that is to come later in the movement, and indeed with that of the first movement.

The headnote 3, is restated (b.39) and this time a descending linear progression of a sixth is underpinned by motion in tenths as the tonic returns. Another arpeggiation of the tonic ensues, this time ascending, (b.50, Letter B) which aims for 3 once more as its focal point. The first 3 was left via a descending arpeggiation, the second through a descending linear progression of a sixth; on this occasion the use of a descending whole-tone scale segment reflects the increasing chromaticism associated with more developmental thematic material. A further descending linear progression of a sixth leads from a note of the tonic arpeggio (C) (b.68) which continues in part the whole-tone flavour before a series of ascending arpeggiations (b.81) take the music to a registral peak on a high F flat. The tonic has been displaced by its upper chromatic neighbour-note before B flat underpins the rising arpeggiations.

The high F flat is quitted by a descending chromatic linear progression which accelerates in rhythmic pace as it descends to reach B natural (Letter C, b.100) before the original high F flat is transformed enharmonically into E natural (before Letter D). A series of ascending arpeggiations, initially diminished and augmented (bs.130-140) but latterly the tonic, brings the music back to the high 3 of the familiar recurring thematic material heard earlier and its departure through a descending linear progression of a sixth over tenths in the bass (before Letter E).

The ensuing 'Tranquillo' sections takes the music towards E flat, which becomes the point of departure for a cycle of fifths moving via A flat and D flat to reach G flat which itself acts as a Neapolitan Second to the recapitulation of the tonic material (Letter G). This is only part of a greater cycle of fifths that began with the tonic stated after Letter E, then falling to B flat, before moving to on to the progression outlined above. The entire cycle spans a large section of music (Letter E-G) and provides an interesting tonal distraction between two tonics:

F B flat E flat A flat D flat G flat (Nea2nd) F

The recapitulation proceeds in familiar fashion with only minor adjustments until a sudden tonal twist introduces an arpeggiation of F# over C# (Letter K). The C# of the arpeggiation does defer to C natural in time and the tonic is restated in the bass (bs.270-280), but the ascending scalic passages which outline seventh arpeggiations cloud the tonality somewhat. A descending linear progression of a fourth (b.289) reaches the leading note over the dominant, but there is no motion to the tonic this time, rather sideways slip to B natural keeps the music in a state of mild tonal flux.

A repetition of the previous material (found at Letter K onwards) keeps the tonic from having any real foreground strength, and although 3 is restated, albeit at a lower register, it is crowded by upper and lower neighbour-notes and a chromatic bass with an internal B natural pedal (b.330). The tonic is reached once more, but is again diluted by B natural, the interval of a raised fourth that pervades the outer movements, as Neapolitan arpeggiations descend in the upper part. G flat is swiftly and enharmonically turned to F# for the final arpeggiation that eventually falls to F natural at the movement's close.

Hence, it is interesting to note how the tonality of the movement develops from simple diatonic arpeggiations of the tonic and associated areas at the start, before becoming increasingly chromatic during the middle and later stages. There is a recapitulation of thematic material in the tonic, but the tonic's foreground presence is soon dispersed by chromaticism, indeed the ending of the movement seems almost at pains to avoid installing the tonic with any degree of conviction.

Perhaps we are looking at a journey from a simple tonal landscape that the composer feels that he is unable to remain within, to a more complicated picture of tonal struggle which reflects the character of much of the Fourth Symphony, where tonal areas are diluted and kept in tonal flux to a far greater extent than in previous symphonies.

Middleground

The middleground graph portrays at a glance that journey, although the strength of 3 is evident, and the tonal departures to F# become less significant chromatic neighbour-notes. The movement may seemingly struggle to reach resolution and the tonic F, but nevertheless it is achieved in the end and at this higher structural level the chromatic wanderings, interesting though they are, become of less significance.

Of greater significance, perhaps, to the analyst is the placement of 2 and the dominant beneath. In earlier symphonic movements (e.g. the outer movements of the Third Symphony) the dominant was avoided with some care: that is not the case here, in fact in the early stages of the movement the dominant is stated repeatedly.

However, later in the movement as the tonality becomes more uncertain the dominant is less frequently present, and may be found without the leading-note (e.g. after Letter H). This particular juncture *could* be considered to be the conclusion of the fundamental line as it is the only location since the start of the movement where tonic and dominant are placed in the usual relationship. This viewpoint though is, I believe, flawed as it is too early in the movement and, as previously stated, the leading-note is not present.

A more convincing solution may be found by considering a later dominant: the placement and final appearance of the dominant (Letter L) is entirely in keeping with the tonal changes that have occurred through the movement as it does not have a *direct* relationship with the tonic, but rather falls to one that does, B natural, the raised

fourth, which partners the tonic in the last few bars. Hence, the dominant moves to the tonic only at a higher middleground level.

An interesting anomaly results from promulgating this viewpoint, as the dominant and the 2 found above it, exists within the auspices of the chromatic upper neighbour-note (# 3) which itself will return to natural 3 within a few bars. If this stretches Schenkerian technique beyond breaking point then another theory must be found.

It *could* be argued that the elusive 2 may be found above the B natural which precedes the final tonic, and this might be considered almost appropriate when one remembers the role of B natural as 'intermediary' between dominant and tonic! (Indeed, at a higher structural level the B natural pedal will form part of a prolongation of V.)

Sibelius may be seen here to be reversing traditional cadential formulae whereupon raised IV, V, I formed a commonplace ending since the time of Bach's chorales. Now the relationship is V, raised IV, I at a middleground level, although one must not lose sight of the fact that at the highest level of all V resolves to I without the need of a 'tonal chaperone'.

Third movement

Foreground

The head-note 5 is installed in the upper part via a brief chromatic upper neighbour-note, initially over the mediant, before it is replaced by the dominant. Hence, the movement follows the same Schenkerian structure as the first movement: prelude form.

The movement is dominated by two features: firstly, an ascending triadic motif with a passing-note between the first two pitches of the triad, secondly, by ascending chromatic scale segments. Both are apparent as 5 is subjected to registral transfer until is resumes its initial tessitura after Letter A. The strength of 5 is soon diminished however, as there is a clear tonic and dominant relationship between A and D natural (between Letters A and C) as 5 gives way to 4 at this juncture.

In archetypal fashion, Sibelius reserves his first linear progression of the movement to highlight the return to 5 (Letter D) which is achieved through an ascending motion starting from C natural; this also acts as a neighbour-note to the tonic C# in the bass (creating consecutive octaves which disappear at a higher level). 5 continues to be prolonged at various registers during the ensuing passages and is almost omnipresent until the conclusion of the movement, such is its strength now.

V soon replaces the tonic in the bass and is later seen in relation to its dominant. Only the second linear progression of the movement (an ascending fifth) stresses 4 and there is a brief diversion to E flat before an arpeggiation of the tonic in both of the

parts reinstated 5 over the tonic once more. (Letter G) A late descent sees 5 quitted via a scale segment which involves a lowered second and sees an intriguing link in practice between the first and third movements at foreground and middleground level.

Middleground

This movement is certainly unusual in the symphonic output of Sibelius in its economy of linear progressions at middleground. Only two occur, both rising to stress important structural pitches (5 and 4 respectively) Perhaps the scalic nature of much of the movement provides a natural reason for this, yet the lack of such progressions is of note.

Many Sibelian movements have an upper neighbour-note to 5 which is of some structural significance (e.g. the outer movements) a procedure preferred to that of stressing a pitch within the descent. This is not the case here. 4 is the only significant pitch to be prolonged apart from 5, and is given tonal support by D natural.

Links with the compositional practices of the first movement are evident as has been mentioned: both employ prelude form and they share a late descent from 5 which contains a lowered 2nd as the penultimate step which occurs over the tonic. This descent though, exists as a foreground phenomenon whereas the latter stages of the first movement see a gradual descent at a middleground level.

It is interesting to note that both movements opt for the lowered second in the last few bars, but it is harder to provide a convincing theory as to why the composer would do this. In both movements the expected form of 2 is found freely during the movement and the lowered form therefore has no more sway than its counterpart during the main musical argument, yet the lowered form is ultimately preferred.

The first movement, following a distant path from Beethoven, attempts to transform minor to major during the movement, and the lowered second in the final stages could be seen as a way of avoiding a bright major ending. This third movement is also in a minor key but makes no attempt to encourage the major, and so has no need of a piquant lowered second for that purpose.

Another view could be that the application of D natural as a lowered second in this manner reflects the use of D as a tonal centre during the middle part of the movement, supporting the prolongation of 4 above it. Using D natural in the melodic material and hence part of the fundamental line gives the appropriate degree of recognition to an important tonal area. If this is so, we see a composer combining the long-term tonal and motivic thinking to a remarkable degree. (This technique is not seen in the first movement as its lowered second is not found as a tonal area.)

Equally, perhaps the answer lies more in the composer's interest in modality, the desired effect was more that of modal inflection, providing a Phrygian flavour which prefigures the Lydian moments of the finale and the Dorian elements of the Sixth symphony.

Fourth Movement

Foreground and Middleground

Firstly, as I shall argue here that the foreground detail has a significant effect upon the wider tonal structures of the middleground, I intend to comment on both areas simultaneously.

Secondly, the finale is an extensive movement, employing nearly as much musical material as the preceding three movements combined, and as such I do not intend to dwell on every moment of foreground detail, but rather intend to highlight the ways in which this movement reflects many of the techniques and structures experimented with in previous movements and symphonies yet innovates and enthralls at the same time.

Thirdly, the movement is pervaded by a strong 'Lydian' inflection which has a greater structural effect than seen just at foreground level. To describe the movement as 'modal' however, would be inaccurate and more importantly would misrepresent the role of the raised fourth. Much of the debate in the ensuing pages will concern the role of that pitch and how it can be best characterized. Certainly we see foreground detail transformed into a tonal area which vies for control with the tonic.

The first sighting of the raised fourth is as a foreground detail during the initial arpeggiation to the headnote, 5: providing the final step to 5. The tonic is installed in the bass within a few bars and A major is strengthened by a perfect cadence (after b.20, b.50) At Letter B, 5 is heralded again by a stronger raised fourth, but after the

next two perfect cadences (bs.50-60) the tonality begins, for the first time, to show signs of greater instability as a dual pedal of A/G# undermines the strength of the tonic.

The 'Lydian' raised fourth of the opening is enharmonically transformed into E flat, and placed at a high tessitura (Letter C). It is interesting to note that it is often in this guise that this pitch seems to be at odds with the tonic rather than being merely a moment of piquancy that the D# otherwise reflects. At a higher level, this pitch will resolve to E natural, 5, and is the second stage in the development of the raised fourth in this movement.

The third stage is reached when E flat is established as a clear tonal centre, an opposite tonal pole, at the centre of the movement, representing the furthest possible point of tonal departure from the tonic (bs.170+, 340+). E flat and E natural engage in direct 'opposition' (Letter F), with the former seeming to win the first skirmish as a perfect cadence confirms the key (b.170). Ascending whole-tone linear progressions and rising scale segments take control before a descending linear progression outlines the augmented fourth interval between the tonic, A and its tonal pole, E flat (b.240).

D# is preferred to E flat in the approach (Letter L) to the return of 5 and the tonic in the bass which in turn moves to its dominant E natural. Perhaps the interlude of E flat/D# is now over, but no, Sibelius confirms his intentions by installing the key signature of three flats and E flat in the bass(b.340).

Indeed, E flat, not content with disrupting the tonic, now takes on its own appearance as it promulgates 'tonic' thematic material. In fact the roles are reversed in more ways than one as now it is the turn of A to try to disrupt the influence of E flat, appearing after Letter N in the upper parts. Clearly, it is successful enough to see a return to the tonic's key signature (Letter O) and soon 5 is in control underpinned by the tonic.

There are more minor 'skirmishes' between the two tonal areas, or at least their representatives, before a series of decisive perfect cadences in A conclude the movement. Indeed, there is no avoidance of the dominant in this movement: E flat should never be considered to be a substitute dominant, it does not act in the manner of those seen in the Third Symphony. Instead it is a foreign irritant that initially causes minor irritation, but as it is driven in further and further it begins to disturb the tonic more and more until there is direct tonal conflict to rid the latter of the former once and for all. When the key signature of the opposite pole is installed the tables have been turned to an extent that A becomes the alien intruder whilst its opponent promulgates the thematic material. Yet, at a higher level all of the E flat material resolves upwards to E, replicating the motion from D# to E found in the opening foreground thematic material.

The middleground graph begins to show the relationship between the two opposing tonalities, grown out of melodic invention, but at a higher middleground level the tonal conflict must be reduced to a feature of minor visibility or impact (albeit a fascinating one!) defined by tonic and dominant and a diatonic descent from 5.

Another point worthy of mention revolves around the fact that D#/E flat is also 4 of the fundamental line. Perhaps its deployment in the upper part should be considered as merely a prolongation of # 4 rather than anything more unusual? This view reflects a communality of technique with the preceding movement which also sees 4 employed as its main diversion. However, it must be noted that in the third movement 4 was the third of D major, whereas in the finale Sibelius takes the process one stage further and presents 4 as its own tonal area. In addition, at no point during the third movement is there a feeling of conflict between 4 and 5, rather they are a natural part of one another.

It is interesting to note that despite the role of E flat/D#, there is no inclination to include either in the descent from 5 as has been seen in earlier movements. Without the juxtaposition of the two tonalities the movement would be clearly defined by tonic and dominants, with no attempt made to avoid the latter. In fact, the dominant is used to confirm the tonic in a way that has not been seen in many earlier movements, perhaps due to the need to strengthen a tonic that is 'under threat' in a way not seen in any movement thus far.

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SIBELIUS SYMPHONY NO.5

An Overview

Hepokoski rightly describes the symphony as,

'a prolonged E flat-major sound sheet set into hierarchies of surface and subsurface motion.' [7]

This statement, which itself offers some deference to Schenkerian thinking, tempts the analyst to investigate the intricacies of the 'surface and subsurface motion'. All three movements employ a 5-1 Schenkerian structure, although there is great diversity in the outworkings at middleground levels: during the last two movements the nature of the descent reveals chromatic alteration in a similar manner to that seen in the previous symphony.

Hepokoski describes Sibelius's diversions from tonic and dominant as,

'colour transformations as an alternative to the more powerful, but historically eclipsed tonic-dominant harmony.' [8]

Certainly, by the Third Symphony Sibelius was beginning to avoid the traditional relationship, but nevertheless in each symphony analysed in this thesis the 'historically eclipsed tonic-dominant harmony' may be found, as the graphs reveal.

Perhaps one man's 'colour transformations' is another's 'chromatic neighbour-note', Hepokoski preferring to see the motion to B in the first movement as part of an octave subdivided by thirds, whereas I prefer to view the pitch as an upper chromatic

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[7] James Hepokoski, Sibelius: Symphony No.5, Cambridge, 1993, Cambridge University Press, p.58
[8] James Hepokoski, Sibelius: Symphony No.5, Cambridge, 1993, Cambridge University Press, p.59

neighbour-note to the dominant – thereby highlighting the 'eclipsed' dominant. In many previous movements we have seen Sibelius expanding the concept of a 'dominant' by using upper or lower neighbour-notes, for example the last two movements of the Fourth Symphony both prolong a chromatic lower neighbour-note to the dominant.

Hepokoski may hear,

'this system of non-dominant-orientated colour-shifts.....characteristic of Sibelian harmony.' [9]

but I would wish to promulgate the view that in many cases the 'colour-shift' is 'dominant-orientated' as it resolves to such at middle or upper middleground levels of structural hearing. The emphatic perfect cadence that concludes the first movement must remind the analyst that to Sibelius the tonic-dominant relationship is never 'eclipsed' but is rather enriched.

The Fifth Symphony is generally conceived to be a work of optimism after the gloom of much of the Fourth Symphony, but there are harmonic and tonal linkages which indicate that one is more of a progression from the other than has been considered before. For example, the use of the augmented fourth pervades the outer movements of the earlier symphony and has been cited as a reflection of the struggle that Sibelius was encountering at that time; yet, the first movement of the latter symphony restages the debate between the tonal areas in question, even using the same pitches of A and E flat.

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[9] James Hepokoski, Sibelius: Symphony No.5, Cambridge, 1993, Cambridge University Press, p.59

In addition, the second movement employs the augmented fourth in 'Lydian Fourth' guise, as a lower neighbour-note to the dominant. Hence, the harmonic sound worlds of the two symphonies are not so disparate as the may seem, although the nature of the melodic material may differ more substantially.

The second movement if often described as 'simple and unaffected' , but that merely portrays the atmosphere created by the composer, and does not give credit to the structural complexities that lie below the surface.

The First Movement

Foreground

The influence of tonic and dominant is made immediately apparent in the opening two bars before the head-note 5 is reached via 6. A brief debate ensues between the two pitches before a linear progression descends to 2 and still further until 5 is again established. Another descending linear progression of a fifth presents a microcosm of the fundamental line accompanied by a perfect cadence, dominant to tonic. Yet the concept of tonic is diluted to being a 'tonic pitch' rather than tonal area, as the E flat is found as part of a diminished first inversion chord (bs.10-11).

Hence, within a few bars the strength of the tonic is all but gone and is replaced by what Hepokoski describes as 'colour-shifts', and Schenker would term 'chromatic neighbour-notes'. E natural is found in relation to the tonic E flat, B natural is found in relation to the dominant B flat (b.13) whilst above, 2 acts as an upper neighbour-note to 1.

B natural becomes an all-pervading pedal which underpins a linear descent from C# of an octave (Letter B) which is mirrored by a similar ascent from D as the new key signature of a single sharp is installed (b.17). Indeed, D becomes an important pitch in the upper part combining with the B pedal and touches of G to form a tenuous G major.

A series of ascending and descending linear progressions (Letter D) come to an eventual resting place upon G (b.33), and the pedal shifts upwards through a third to D, although it is under constant threat from its upper and lower neighbour-notes. A descending octave linear progression, of greater scope and extent than seen previously in this movement, begins on G (b.40) and moves expansively through the restoration of the tonic key signature and beyond to reach its destination, at Letter G.

The scale type employed is interesting and worthy of comment: beginning on G in the context of G major in second inversion, moving to F (Letter F) (via the tonic key-signature change) above the dominant, B flat which is maintained as the descent progresses via E flat and D flat (swiftly transformed enharmonically to C# - bar 50) before curiously moving to B and A naturals as the final steps to the ultimate G. (Letter G) The presence of an augmented fourth in the scale reminds the listener of the Fourth Symphony where, it may be recalled, its extent and influence begat middleground tonal structure. Certainly this sort of extended hybrid scale is commonplace in Sibelius and allows him to shift seamlessly between tonal areas.

Both G and B flat are important pitches after Letter G as a further linear ascent of an octave highlights that pitch whilst the dominant is stressed as well. The lower part of the score present a similar picture as both G and the dominant are in juxtaposition, although G is now found to be part of a tonic first inversion chord (b.58).

The debate between the two pitches continues (Letters I-J) as an ascending linear progression of a fifth begins on G whilst beneath, in contrary motion, a descent of an

octave (including the augmented fourth once again) highlights B flat. The roles are immediately reversed as a high B flat (5) is underpinned by G.

Sibelius now moves to another of his favourite techniques of prolongation, the chromatic linear progression, as the music becomes increasingly developmental (Letters J-K). B flat is quitted via an ascending chromatic linear progression to reach D which itself is subjected to a falling and rising chromatic linear progression before eventually descending back to B flat once more. Beneath, a new tonal discussion is taking place between A and its chromatic lower neighbour-note G# which takes hold of the music until an adulterated tonic reappears (Letter L).

The intense chromaticism now gives way to 5 above the dominant B flat, with the musical interest taking place through neighbour-notes such as B natural, A flat and A natural. Interestingly, as the passage approaches the B major key signature, another ascending linear progression of an octave stresses the augmented fourth once again. That same interval defines the link between the B flat and the bass E natural of the ensuing section accompanied by the 5 sharp key signature (b.106). The high D flat is transformed enharmonically to C# (replicating the process found during the extensive G octave linear progression, b.40-Letter G), and indeed this pitch, over an E pedal, becomes the 'sound set' which exists as a similar pair to the previous G and B flat (bs.106 -'Allegro moderato').

Although the 'Allegro moderato' (b.114) transforms the music into triple time, the C# is maintained (with close attention from its upper neighbour-note). The bass however,

rises a step to F# to form the dominant of B major. C# eventually is relinquished in favour of B to form a perfect cadence in the new key (b.142).

At a middleground level B exists as an upper chromatic neighbour-note to the dominant, and here that relationship is seen most clearly as B moves to B flat as the tonic key signature returns (Letter B, b.158), accompanied by an ascending linear progression of a sixth which reaches a high D#. This destination pitch is then enharmonically transformed to become the tonic in the ensuing section (Letter B) within the texture, as a high B flat (5) returns with the original thematic material.

Letters B-E recapitulates much of the progressions and tonal relationships seen in the early part of the movement, before the debate between the dominant B flat and its chromatic upper neighbour-note B natural continues to rage as the latter returns, complete with 5 sharp key signature (Letter E-G).

Upon the return to the tonic key signature for the next re-transitional section, Sibelius harks back to the crux of the tonal interest from the Fourth Symphony as he begins a fascinating ascending linear progression of two octaves and a diminished fifth which places A and E flat in a direct relationship (Letters G-H). In addition, the seemingly innocuous placement of the augmented fourth in various linear progressions of an octave earlier in the movement, may be seen as part of preparation for this moment.

It is interesting also to note that the bass also shifts through a two-octave linear progression beginning on C#, thereby forming another pair of pitches, A and C#, in

the manner of B flat and G, or C# and E before it, the pairs always defined by a relationship of a third.

The destination of the long ascending linear progression, E flat, takes control and is paired with G in the bass, forming a further pair of pitches arranged in the manner of a first inversion sonority. (Letter H-I) The bass descends through a third to reach the tonic E flat (b.344), but there is no feeling of settlement yet as the augmented fourth, A, returns in the bass to reconfirm the passage between Letters G-H as being more significant than mere foreground decoration. Above the bass a descending linear progression of a fourth (bs.358-367) outlines C#, B, A, G to strengthen the A of the bass before a similar, but more extensive progression sees E flat reinstated via a descent through B, A, G and F (bs.369-390).

It is an interesting point that the approach to the tonic pitch is achieved through pitches that represent two of the most important tonal areas of the movement: firstly, B natural (chromatic upper neighbour-note to the dominant, a common structural feature of Sibelian symphonic movements) and secondly, A natural: a pitch that, when placed in relation to the E flat tonic, sees the augmented fourth dialogue of the Fourth Symphony re-opened once more.

Further evidence of fascinating debate between the above pitches is immediately presented as E flat is prolonged (bs.390-396), whilst both A and B naturals are promulgated over a descending linear progression of a sixth which reaches B to underpin A (b.397). E flat and A continue to be in direct juxtaposition and the tonic is weakened further by its chromatic upper neighbour-note E natural. In the bass this

pitch acts as the dominant of A and a perfect cadence occurs to confirm the strength and influence of the pitches (bs.404-5).

B flat returns to support the tonic (b.408), but rapidly descends through a chromatic linear progression, which is mirrored, initially at least, by a descent of a third in the bass. This in turn forms parallel major sevenths in the first two stages before landing on A (bs.408-410). E natural enters the fray in both parts (b.416), descending through an augmented fourth to reach B flat (b.422). The inner linear chromatic descent that started from the first B flat (b.408) has now reached its destination, B natural before falling onto E natural (b.425). Hence we may see two descending linear progressions existing simultaneously at foreground level which both highlight crucial pitches and intervallic relationships.

A natural continues to hold sway in the bass as E natural is restated above, before a brief chromatic linear progression of a third descends to the dominant of the dominant (F) (bs. 430-433), which falls in turn to B flat over the tonic E flat. Yet once again, the tonic is not pure: the B flat above is seen in the context of a dominant minor, and the D flat of that triad is immediately enharmonically transformed to C# and a familiar chromatic linear progression takes the music away from the head-note (bs.439-449).

However, it must be noted that the destination of this progression, in what seems to be another tonal diversion, is in fact E flat! The bass provides no tonal stability either at this juncture, appearing to be in complete tonal flux before finally resting onto the dominant, B flat through the demands of the timpani (b.455). There is to be no rest there either, as yet more descending chromatic linear progressions until A natural is

reached (Letter O). Interestingly, two pairs of descending linear progressions of a third highlight the pitches of A and E flat again, keeping the debate alive in the latter stages of the movement (bs.462-471).

As the movement begins to draw to a close the role of the dominant of the dominant (F) increases in both parts (Letter P), as the tessitura rises to reach a tumultuous peak on a high B flat (5) (b.497) underpinned as a unison in the bass. A resounding perfect cadence sees the fundamental line conclude falling at a lower pitch level through 4, 3, 2 and 1 over the newly-installed tonic.

The remainder of the movement consists of the ultimate settling of the tonic as the upper and lower neighbour-notes are finally resolved and the dominant triad ultimately gives way to the tonic.

Middleground, and Higher Middleground

The middleground graphs confirm most clearly the extended role of the chromatic upper neighbour-notes to both dominant and tonic: the former represented most strongly during the 'G major' and 'B major' passages. The interesting regression to the tonal debate of the Fourth Symphony, namely that between A and E flat, becomes relegated to the role of a sub-plot at a higher level. Even at upper middleground, however, some vestiges of its presence are still to be found.

The choice of 5 for the head-note is made clear from its position in the first few bars: its sporadic reappearances, before its climactic positioning towards the conclusion of the movement, the focus for all before it. The final descent may defy strict Schenkerian convention, suffering registral transfer and the absence of a leading note, yet a descent it most surely is, falling to a tonic that requires a considerable number of bars to gain final settlement.

The Second Movement

Foreground

The movement begins in G major, positioned in a tertiary relationship to the outer movements, with an immediate placement of 5 in the opening bar which forms the head-note. In fact, this pitch is promulgated with great regularity, so that the prolongation can be heard from bar 1 until the very last moments of the movement, such is its influence.

The tonality is certainly much more diatonic than at times in the previous movement: chromatic linear progressions are not found, and what linear progressions there are follow more traditional scale types rather than the hybrid forms seen during the first movement. Tonic and dominant pervade the bass, and the only significant linear progression to be found moves through an octave and a fourth to link the two together once more.

Much of the tonal interest derives from the Lydian Fourth which acts as a lower neighbour-note to the dominant, in a manner reminiscent of the finale of the Fourth Symphony. The augmented fourth is also to be found in E flat ascending linear progressions (e.g. Letter E) that restate the relationship between E flat and A that fascinated the composer in the Fourth Symphony and, as has been noted above, in the first movement of the Fifth Symphony.

Middleground

The all-pervading role of 5 ensures a straight-forward decision is possible regarding the choice of head-note. The Lydian Fourth has no greater structural significance than a foreground decoration, which is where its role and purpose differ from those in the Fourth Symphony. The tonic minor is one of the few tonal diversions to be found, alongside the tertiary shift to E flat which is reflected in the change of key signature.

At middleground and higher middleground levels, E flat may be seen as a chromatic upper neighbour-note to the dominant, the only significant pitch outside of tonic and dominant. This fact presents an interesting comparison with the seemingly disparate first movement: despite considerable differences of foreground and middleground workings-out, both movements in fact rely upon the chromatic upper neighbour-note to the dominant for their main points of tonal departure.

	Neighbour	Dominant	Tonic
Mov.1 in E flat	B	B flat	E flat
Mov.2 in G	E flat	D	G

This practice is, of course, not confined to the Fifth Symphony: the first example in Sibelius's symphonic output was noted during the analysis of the third movement of the Second Symphony, where virtually the whole movement is a huge prolongation of the chromatic upper neighbour-note in preparation for a fall to the dominant ahead of the segue into the finale. In addition, another example may be found within the second movement of the Third Symphony.

The descent from 5 is found late in the movement, with some interesting features: 4 and 3 are positioned above a 2nd inversion tonic, whilst 2 occurs atop a dominant seventh in traditional fashion. It does fall to 1, but a resolution to tonic in the bass is denied through an interrupted cadence which forms the first step in an ascending linear progression of an octave that reinstates the dominant once more, as the ultimate perfect cadence sees the tonic, G installed.

At a middleground level there could be some debate concerning the 'Picardy' Third, as the flattened third stems from the E flat section, but at a higher level the B flat would become no more than a chromatic lower neighbour-note to 3 thereby presenting mixture.

The Third Movement (Finale)

Foreground

Immediately the head-note 5 of E flat is installed, but the motivic interest shifts to a lower register centering around tonic and dominant. Between those pitches, however, archetypal Sibelian scale segments abound revealing modal inflection: in this case, the composer unites all three movements by employing A natural in direct relation to E flat. Clearly, this is a harmonic subplot in the Fifth Symphony which lies beneath the surface of what is often heard in relation to this work, showing the struggles of the previous symphony are perhaps not fully resolved.

Mixolydian inflection joins Lydian before a series of arpeggiations outline the triads of F minor and A flat major (bs.21-26). The tessitura begins to rise as 5 returns, reached through a Lydian E flat scale (b.31), before a descending linear progression mimics the process of the fundamental line, falling through 4 to 3 (bs.32-36). It is interesting to note that A flat is now preferred to the Lydian variant, and indeed that is the case throughout the movement at any structural level above foreground detail.

5 is swiftly restored, however, over a 1st inversion tonic as an ascending linear progression, beginning on the Mixolydian flat seventh, is joined by a rising arpeggiation which takes the music to new heights and a tumultuous statement of the head-note over the tonic (bs. 39-52).

The B flat is quitted via the Lydian fourth, A (b.54) and is then both approached and quitted by arpeggiations and linear progressions respectively (bs.58-66). In fact, 5 and the tonic continue to hold sway as much of earlier music is recapitulated, and it not until much later that the dominant is first heard with any degree of certainty (b.96). A pair of brief perfect cadences conclude the first theme, and Tovey's 'Hammer of Thor' begins [10] (b.105).

Much has been written about this theme with regard to metre, form and intervallic relationships but we are concerned here with the harmonic and tonal significance of these pitches: clearly, the high second pitch in each series re-affirms the head-note at every step, which there is a falling and rising linear progression of a third within. Whilst the theme continues in the inner part, the countermelody introduces another pitch which grows in strength during the C major section.

Hence, after the initial, and oft-repeated head-note 5, we have seen prolongations of both 4 and 3, a feature often missing in previous Sibelian movements, especially those involved intense chromaticism. Later in the movement the exact nature of 3 is called into question, but for the moment it is G natural and is carried forth as such into C major where it forms 5 with the bass as the 'swinging theme' continues its journey (b.165).

The original 5, B flat, is found in the bars that precede the return to the tonic key signature by way of dominant preparation, albeit in the upper parts (bs.201-205). The tonic is re-installed with a prolongation of 3 above, which rises swiftly to 5 (bs.213-

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[10] Donald Tovey, Essays in Musical Analysis, Oxford, 2nd ed. 1981, Oxford University Press, p.499

218), but on this occasion the head-note is to be supplanted by 4 which is twice highlighted through a series of ascending linear progressions stemming from the tonic (bs.224-230). The bass centres around the dominant, as 4 is quitted via a linear descent of a thirteenth which sees a return to C as a significant pitch (bs.230-Letter H).

Simultaneously, the bass also departs the dominant and embarks upon an ascending linear progression which creates contrary motion with the upper parts before it too falls back to C. (Letter H) This is not C of C major, it must be noted, rather a second inversion of F minor which forms only a temporary resting place before the entire texture slips chromatically to the dominant and head-note B flat. (Letter H - b.250)

4 does retain some influence, however, before another descending linear progression spanning an eleventh, employs a hybrid scale formation to move to the tonic, E flat (bs.253-263). The bass also displays E flat, but this not a true tonic as it is adulterated by an augmented fifth, B natural, and soon begins a linear chromatic ascent to G flat (bs.265-280) and the 'Misterioso'.

Hence, G flat is installed as the second tonal area distinct from the tonic, and like its predecessor C, is a mere tertiary modulation from the tonic. The scurrying scales, so typical of the Sibelian sound-world, outline an arpeggiation of G flat, until the composer once again shows his fondness for highlighting his head-note through an extensive ascending linear progression which reaches a high tessitura: on this occasion the full two octaves (bs.290-301).

The pitch level descends once more as further arpeggiations of G flat occur, this time over the dominant of G flat (bs.312-315). Indeed, D flat begins to hold sway in the upper parts, interspersed by scalic motions back to G flat and the occasional brief ascending linear progression (Letters K-L).

The tonality shifts to the relative minor, and in terms of the entire movement, tonic minor (b.382), with a return to the head-note B flat as the focus for the thematic motive. Somewhat unusually for Sibelius, the by now inevitable motion towards the tonic major is achieved through a series of *descending* linear progressions as the tessitura plummets to the G string of the first violins (bs.422-428). The dominant is in place in the bass and the tonic is restored in the ensuing 'Largamente assai'. Above, a countermelody outlines a descending linear progression implying the microcosm of the fundamental line, 5-4-3-2-1 (bs.432-440).

As the movement draws to a close and the intervals of the main theme are extended and modified, the linear progressions become increasingly chromatic and interlocking, underpinned by an extensive progression of a third in the bass from E flat through D flat to C (bs.440-457).

A final fascinating twist sees the composer rejoin, yet again, the debate between the pitches of A and E flat, as twice ascending linear progressions outline this interval as the tonic is highlighted (bs.466-472). It is only then, when the augmented/Lydian fourth argument is finally laid to rest, not only for this movement, but for the entire symphony, that the tonic E flat is allowed to settle and be finally reconfirmed through its dominant.

The ultimate separated chords give final closure and, incidentally, prove to be similar to the conclusion that Walton found for his First Symphony some years later.

Middleground and Higher Middleground

At a higher level the placement of 5 early in the movement is straightforward, but unlike many Sibelian symphonic movements the descent to 1 is not late and rapid. 4 is given a greater degree of prolongation than in most earlier movements, (Letters G-H) and there is a lengthy debate concerning the nature of 3. The pitch is initially presented in natural form via 4 within the tonic, and is then reinforced (Letter E) in the context of a tertiary shift to C major, but as the tonality moves by a similar process in the opposite direction flat 3 is found within G flat major (Letter I). This pitch is prolonged through extensive ascending arpeggiations (Letters J-K) and is also prominent during the tonic minor passages (Letters L-N).

The length and dominance of its role during the extended G flat section gives flat 3 great structural significance which I feel must be reflected in the structure of the movement at a higher level.

Although the natural form is found again as the tonic is rejoined, it is seen without any great structural prominence. Hence, at a higher middleground level I have preferred the flat form within the descent, although if Schenkerian theory is strictly applied then at the very highest level it must surely cede its position to the natural form, remaining a chromatic alteration to the natural form.

The placement of 2 and the dominant, often difficult in the Third and Fourth Symphonies, is conclusive in this case: the series of chords that punctuate the end of

the movement outline a traditional perfect cadence and 2 may be found within the dominant chord enunciated by the entire orchestra.

Finally, at this level the interesting 'sub-plot' between A and E flat does not have the structural influence upon the movement that it had during the finale of the Fourth Symphony, perhaps in this context the relationship between the two movements may be regarded as a structural statement and echo.

SIBELIUS SYMPHONY NO.6

An Overview

The Sixth Symphony is undoubtedly dominated by modal inflection at a foreground level, which at times has implications for the middleground and which requires flexibility in the application of strict Schenkerian technique. Yet the backgrounds of each movement reveal the same structure that has been seen in the majority of Sibelian symphonic movements: 5-4-3-2-1, and one a rare example of 'prelude form.' Many familiar structural themes recur, as we witness the mature Sibelian style which builds on the developments of the Fourth and Fifth Symphonies whilst taking new and fascinating directions. The concept of a clash of tonalities which was seen in preceding symphonies is now extended to a juxtaposition of diatonicism and modality, and in the case of the finale a third force, that of the whole-tone, is added to great effect.

The First Movement

Foreground

The head-note 5 is established at the very start of the movement which is soon underpinned by the tonic and strengthened through a series of descending linear progressions moving from 8 7 6 5. (bs.5-9, 13-16) 8 replaces 5 (b.51) before an ascending linear progression reaches a characteristic 'Tristan chord'/half-diminished seventh with 4 as its apex. (b.62)

It is at this point that a modal D tonality collides with C major: a C major triad is sounded by the brass at the same time as the 'Tristan chord'/Half-diminished seventh creating a piquant dissonance which results in modal D being abruptly usurped by C. Within the middleground C arpeggiation, a descending linear progression of a fourth emphasises B flat, hinting at a pitch that has a greater role as the arpeggiation ends (b.100).

The new tonal centre of B flat is promulgated through an arpeggiation before it is quitted via an intensely chromatic descending linear progression of ten steps which moves from a C in the bass (underpinning a 'Tristan chord'/half-diminished seventh) through to its dominant, G.

It has been seen in earlier analysis of Sibelius's compositional processes that such a progression is often reserved for highly significant moments in the symphonic argument, and here we have a case in point: the G cadences emphatically onto C,

seemingly to confirm the 'new' tonic, yet above we find not tonic and dominant motivic writing, but instead a descending phrase that outlines the scalic motion from A (5) to D (1). The close juxtaposition of the two tonalities is reminiscent of how C was first heard, against a tonal backdrop of D, but here the roles are reversed.

The tonic briefly holds sway with 5 above it, before the tonality moves towards F with its dominant, C: giving an opportunity for 4 to gain prominence once more. The strength of C grows as is highlighted by an ascending linear progression of a fourth which heralds another C arpeggiation (ends Letter K). Once again the tonality is blurred and somewhat ambiguous as the tonic finds its way into the bass underneath the C arpeggiation.

A fascinating passage ensues which the composer uses the brass to highlight 'both' of the possible dominants in the movement, namely A or G as the movement draws to a close. (b.230) Firstly, a descending linear progression of a third reaches G the dominant of C; then, a similar passage results in the 'true' dominant A, complete with leading-note. The discussion regarding the possible resolutions of these pitches I will leave for the middleground section of text, but suffice it to say that the dominant moves to E flat in the bass which is then promulgated through an ascending arpeggiation and a return to the influence of B flat. Within this motion it is possible to find the dominant resolving fleetingly to a tonic major, although this is seemingly lost amongst the strength of E flat.

As has been stated earlier, E flat lead to B flat which is eventually underpinned with G flat and in turn leads to a D flat major scale segment. Such harmonic progressions

might seem quite routine and of little consequence if it were not for the fact that they are found in the closing bars of a movement where the principal debate centres around D and C. The latter is sounded as a pedal from the moment the first D flat is sounded which perhaps pulls the scale 'off course', stopping as it does on the seventh degree. C is then confirmed strongly through a brass scale segment though to E and the movement appears to have finished in the 'wrong' key. Yet, the final four bars tie the movement back to D, abruptly juxtaposed once more with C.

Middleground and Background

In previous symphonic movements we have noted how the composer had begun to make new solutions to the tonic/dominant formulae, resulting in substitute dominants. In this movement this practice is developed still further: certainly C major has a greater degree of influence than a mere substitute dominant, in fact I would argue that here we see a substitute tonic. By this I am suggesting that the two tonal areas are found in direct juxtaposition, and both hold important structural positions and roles throughout the movement.

If C is merely seen as a substitute dominant, its role should be one that is seen as a supporting complementary tonal area to the tonic, whereas in this movement C is seen more as a challenge to the tonic. The placement of the C major brass chord is such that it overpowers the tonic D, personified by the C sharp of the 'Tristan chord'/Half-diminished seventh, as if pushing it out of the way to allow the flattened seventh's tonal area free rein henceforth. It would, therefore, better portray the music to comment that in effect we are dealing here with two tonics.

The direct juxtaposition of the two tonal areas occurs in reverse (b. 167), where the 'new' C completes a resounding perfect cadence in the bass whilst simultaneously the upper parts outline a D triad which re-installs 5 once more. For a while both tonalities exist in tandem as a dual pedal of C/D demonstrates (bs.171-5), but there appears to be no obvious victor this time, as F replaces them both. As F wanes D increases its role as a pitch, but often seen as an upper neighbour-note to C in the upper part (bs.200-213). Indeed, the latter is further strengthened through middleground arpeggiation (Letters I-K).

At the end of the movement again there are almost two endings: one centering on C, (bs.257-262) strengthened powerfully and characteristically by the brass, a second ending more subtly on D. Yet is would be inaccurate to suggest that the movement can be easily outlined by stating that D minor exists in the outer edges of the movement with C at the centre. D rears its head during the dominance of C, for example a strong dominant is sounded (b. 236) which resolves to the tonic major via an upper neighbour-note (E flat) (b.245).

If the above is accepted then what of Schenkerian theory and any semblance of a fundamental line? In fact, I believe that with mild adaptation both the C major ending and the eventual conclusion into D can co-exist quite comfortably in this context. The role of 5 cannot be in doubt: once more we see Sibelius prolonging this pitch as we have seen in many previous movements, although it must be noted that compared with other 5-1 movements found in Sibelius output, 5 is not as dominant as is often the case in the melodic line.

The strength of 4 may be seen clearly and, representing as it does the C passages, is given the strongest reinforcement seen in a Sibelian symphonic movement for this degree of the descent. From here on, however, the descent becomes more problematic and open to debate. Before looking at the placement and role of 3 we must consider the dominant: during the foreground part of the analysis of this movement I noted that Sibelius seemed at pains to highlight two dominants, one after the other, to complement the two tonics. The true dominant A is found in complete form with leading-note, and does resolve onto the tonic albeit via a foreground neighbour-note E flat section. (bs.236-7) This is the only dominant chord to be found in the latter part of

the movement, and if that is accepted as being the dominant then the fundamental line must be deemed to have ended when the subsequent tonic is reached.

My 'upper middleground B' graph depicts this analysis, leaving the final E flat/B flat passages and the final flourish of C to lower middleground detail. The placement of 3 becomes a problem with this graph, and of course the 'tonic chord' (b.245), although fiercely stressed, is in fact the tonic major, which might be considered as not a true tonic ending. Can we see the remaining bars as major turning to minor? That is perhaps not convincing. An alternative solution may be found in my 'upper middleground A' graph where I have chosen the major version of the pitch as being a Picardy variant of 3, seen as presenting an example of mixture, before a later descent which reaches its destination in the final four 'tranquillo' bars. This version has the additional advantage of encompassing the enigmatic ending into the fundamental line. Adaptations of Schenkerian theory are required though, as the final 2 is found within C major tonality rather than the dominant.

Both versions have their merits, and there may well be other solutions, although in this case I feel that neither give an completely accurate account of the musical processes that have taken place: Schenkerian analysis, however, will always look to subjugate all other tonal areas to the 'tyranny of tonic and dominant' and indeed analysis B does do that, placing the C in its rightful position of being a lower neighbour-note to the tonic. Yet, for once, perhaps the analysis does not tell the whole story of how the two tonics were juxtaposed and at times existed simultaneously, as at the highest level that relationship must be separated.

Second Movement

Foreground

There are only four examples of what Schenker describes as 'Prelude' structure in the symphonic output of Sibelius: two examples were seen in the Fourth Symphony (movements one and three) and the fourth and final example is found in the second movement of the Sixth Symphony.

The head-note 5 is found within the first few bars at the top of the texture, yet its harmonic support is different to the many examples of 5 that occur in previous symphonic movements; instead of tonic or dominant support, the archetypal 'Tristan chord'/Half-diminished seventh is employed to create tonal ambiguity (b.4). A series of rising and falling chords lead to and from 5 which serves to continue the uncertainty, neither V nor I present.

The head-note is quitted in characteristic fashion via a descending linear progression of a fifth (bs.25-28) which may be seen as a diminution of the fundamental line with the exception of 2, which is flattened in a manner reminiscent of the descent found in the third movement of the Fourth Symphony. V supports 5 at this juncture (b.28), but tonal stability is still not to be found. Instead, Sibelius employs an expansive ascending whole-tone linear progression of a fourth (bs.34-45), a comparatively rare structure in Sibelius but certainly not unique, before a 5 is re-instated complete with the ambiguous 'Tristan'/half diminished seventh sonority (b.49). The bass has a clearer sense of direction than when the companion passage was stated at the start of the movement, leaving V through a descending linear progression of a third which

sees B flat established as an important pitch. (b.55) Simultaneously, the upper parts present another diminution of the fundamental line; this time with the 'correct' natural 2, before beginning another descent of a fourth which prolongs the B flat of the bass (bs.59-62).

The dominant returns in the bass once more, although dominant harmony is replaced by 'Tristan chord'/Half-diminished sevenths (bs.63-66).However there is, for the first time, a sense of some emerging relationship between tonic and dominant as the former is briefly sounded, immediately preceded by its leading-note (bs.71-2). This fleeting glimpse of tonal stability is immediately brushed aside by a series of linear progressions, the first a descending third moving from B flat to G flat, the second taking this as its point of departure for an ascending octatonic progression (bs.75-90) which reaches a high E natural.

It has been noted throughout this thesis that Sibelius tends to highlight significant pitches through elaborate large-scale linear progressions, and here we see another example of this technique. The target note is natural 6, (E) which returns to the debate concerning the nature of 6 begun in earlier symphonies, as both flat and natural versions are found.

E is now the focus for two more descending linear progressions: the first of a fourth; the second, a third, which serve to prolong this pitch further. The natural form does give way to the flattened version (b.100) as C and E flat become neighbour-notes which herald the return of 5 underpinned by V (b.100, Letter F).

Once again it is immediately apparent that this is not to be dominant harmony, in fact a rising scale which, at first glance appears to be a melodic minor segment of the tonic G minor, actually has greater significance as the stressed pitches prove to be an arpeggiation of the dominant major 7th/9th from which a 'Tristan chord'/Half-diminished seventh is created (D, F#, A, C, E) (Bs.101-2). The placement of the E natural at the top of the scale continues to identify natural 6 as a significant pitch which will become increasingly apparent as the movement draws to a close.

A further arpeggiation of a dominant major 7th/9th prolongs the tonic, G which then returns to 5 through a descending linear progression of a fourth: 8, 7, 6 5 (bs.108-111).This time, flat 6 is employed for the descent, yet almost immediately a rising linear progression acts as a mirror moving from 5 through natural 6, through 7 to 8 once more. (bs.111-116) At a foreground level it should perhaps be not surprising that a composer will employ both versions of 6 in rising and falling scale passages as in this context they are perhaps little more than the differences between harmonic and melodic minor scales within the tonic G minor. However, we have seen examples in earlier movements (e.g. Fourth Symphony movs.1 & 4) of Sibelius taking foreground elements and transforming their influence into middleground structures, and the placement of the natural form at significant points in this movement provides evidence that the composer is again employing this technique.

As the key signature changes to that of the tonic major, (b.120) F# and E natural continue to hold sway until they descend to the brief restatement of 5 (b.134). Despite the return to the tonic minor key signature, (Letter H, b.139) E natural continues to dominate before an oscillating dual ostinato in both the treble and the bass is established which drives the music almost to its conclusion. The first part of the

ostinato resolves onto C minor (b.150) which is prolonged through an ascending arpeggiation that leads to the second part of the dual ostinato, which revolves around C/E flat. A final twist in the nature of 6 is seen as the high E flat descends through a whole tone linear progression to rest upon a C major chord with the inevitable E natural.

For a brief moment, the quasi-modal cadence complete with 'rallentando' gives the listener the feeling that, like in the first movement, the music is going to end in C; but, sharing the processes of the previous movement, a final passage of four bars returns the music to the tonic in modal fashion.

These final bars are a compact resume of the movement: the rising scale that outlines the dominant major 7th/9th which contains the characteristic sound of the movement: the 'Tristan chord'/half-diminished seventh (b.163). It is then finally presented once more in vertical form (b.164) before the final cadence.

The cadential formula employed here is generally regarded as a reminder of the by-gone age of modal music of the Renaissance. In fact, the 'plagal' cadence contains the 'incorrect' E natural of the 'Tristan chord'/Half-diminished seventh and may be seen as a vertical form of the voice-leading seen throughout the movement: the final step in the debate between flat and natural 6 with the latter ending supreme. If heard with that in mind, the final cadence could be regarded as being entirely appropriate, and therefore not merely the modal addendum that it may seem at first glance.

Middleground

As has been noted above, the middleground sees the fourth and final example of 'prelude' form in Sibelius's symphonic output, and, unlike examples in the Fourth Symphony, joins the third movement of the Third Symphony in needing no adaptation of the descent to accurately reflect the musical processes.

It is interesting to note that the majority of examples of this compositional technique are found in movements where there is a greater degree of tonal instability than may be found in the majority of Sibelius's work. In this movement, 5 and V may be stated at the very start of the movement but they should be seen as pitches representing tonalities and traditional compositional processes rather than dominant harmony itself. The presence of 'Tristan chord'/half-diminished sevenths, chromatic, whole-tone and octatonic passages weaken the concept of tonic and dominant, yet do not destroy it. They are visible, but at times also well hidden.

A late descent sees the lengthy prolongation of 5 fall to the tonic in the last few bars, with the only variant being the E natural, which at one level acts as an upper-neighbour-note to 5, such is its influence. The quasi-plagal cadence of the conclusion may be omitted at the highest level as the conclusive V resolves to I.

If the previous movement sought to juxtapose two pitches C and D in conflict for the role of tonic, this movement sees almost the opposite: G minor is avoided throughout the music except for the briefest of resting points. If in the first movement we have two contenders for the role of tonic, here we struggle to find one. The final bars of course spell out the tonality in emphatic fashion, but not before passages which unite

the first and second movements in a fascinating way. Both movements have 'false' endings seemingly in C; both movements employ four bars of quasi-modal music to return the movement to its original tonality. It is interesting to note that despite their idiosyncrasies, both movements fit within Schenkerian compositional structures with little adaptation; although without the enigmatic quasi-modal codas there would be greater analytical difficulties.

The Third Movement

Foreground

An initial tonic D minor arpeggiation underpinned by a first inversion triad takes the music to the head-note 5, providing a certain degree of tonal contrast compared with the ambiguity of much of the previous movements. Within the arpeggiations Sibelius's choice of a blank key signature ensures that B natural is preferred to B flat on most occasions providing the modal atmosphere that has been noted in earlier movements of this symphony.

Descending linear progressions are present as has been seen in much of Sibelius's writing, and in this movement they provide another source of contrast with the harmonic language of the previous movements of this symphony as they are neither chromatic, whole-tone nor octatonic. There are fewer in number than in most Sibelian movements and shorter in descent, all examples in the treble are descents of a third with the exception of a single progression of a fourth. In the bass there is a single descent of a fifth.

Hence, whereas linear progressions dominate the musical argument of many Sibelian movements at foreground and even middleground levels, here arpeggiations provide the structure of much of the voice-leading and harmonic writing. The initial arpeggiation provides the first example of many arpeggiations that dominate the musical processes in this movement. Arpeggiations are widespread at foreground and lower middleground levels and indicate the more triadic nature of the material.

However, the two phenomena that in many respects define the archetypal sound of the Sixth Symphony still have a role to play: firstly, the 'Tristan chord'/half-diminished seventh is evident at crucial junctures: twice at the conclusion of the movement it is employed to act as IV in the traditional IV, V, I cadential formulae (bs.211, 214). Secondly, the modality that pervades the sound-world of the Sixth Symphony ensures that this is a Dorian D: for example at the start of the movement B naturals are evident as early as bar ten, and at the conclusion of the movement B natural is stressed again (b.219, 221) to ensure the Dorian flavour is the last sound to be retained by the listener.

Much interest is created at foreground level through the musical debate as to the 'true' nature of the sixth degree of the scale, as both B natural and B flat are found – sometimes within close proximity. (Bs,10-15, 115-117). Clearly the change of key, adding the single flat, restores the missing accidental, yet Sibelius does not take the opportunity to present a diatonic D minor, instead opting to veer towards G minor. The pitch D, like in the first movement, represents a Dorian sound world.

Middleground

At middleground arpeggiations still predominate, spanning large amounts of musical material serving to prolong either 5 or 4 in the majority of instances. The initial arpeggiation reaching 5 is mirrored by many similar tonic arpeggiations both ascending and descending, whilst 4 is highlighted from the key change (b.56) by an extensive arpeggiation of G minor (bs.56-102).

The strength of 4 allows it to exist as a lower neighbour-note between two statements of 5 when viewed at a high middleground level, but the descent is a late one with an emphatic perfect cadence containing 2. It is interesting to note that 2 is also the destination of the previous companion passage (bs.211-213), which presents a similar cadence onto E. The 4 of the descent may be found, ironically, at a moment when not supported as strongly as has been the case after the key change, but rather in the context of the 'Tristan chord'/half-diminished seventh that acts as IV in the final cadential formula (b.215).

3 is to be located immediately prior to 2, underpinned by the dominant in the final cadence (b.217). It is important to note once more that B flats are found during this bar above the dominant, but once D is reached in the bass the B naturals emerge to end the movement with Dorian flourishes.

The Fourth Movement

Foreground

The modal sound world of previous movements is maintained from the outset of the movement defined by Aeolian scalic passages, yet alternate segments cadence firmly into C. Familiar themes and processes are at work here: the musical debate between a Dorian D and a diatonic C major. In addition, another Sibelian fingerprint from the Fourth Symphony appears as a rising scale segment from C to G employs the Lydian fourth. (Letter A, b.29) In the context of A minor, it may be also be regarded as a Dorian 6th.

Nevertheless, behind the modal veneer, the head-note 5 is soon established (b.40), although underpinned at this juncture by a C which alternates between 6/3 and 6/4 positions. The tonic, D, had been installed somewhat earlier (b.33) and was reinforced by a perfect cadence, gently promulgated by the timpani (bs.36-7), yet C is preferred to support 5. Once again we see this pitch acting as a lower neighbour-note to the tonic and also as a substitute dominant in a manner reminiscent of many of Sibelius's symphonic movements from the Third Symphony onwards.

After two descending linear progressions of an octave and a fourth respectively, 5 returns, this time supported by the tonic (b.50), but 5 is soon quitted in favour of 1. A chromatic upper neighbour-note exists in both the bass and treble (e.g. Bass b.56, treble b.60) before an ascending linear progression with accompanying lower neighbour-notes takes the bass from B flat through a third back to the tonic, whilst the progression in the treble move two steps further (Letter C, b.61).

The tonic is quitted through a descending whole-tone linear progression of an octave (b.64) which serves only to re-establish the tonic once more. C is again found as a lower neighbour-note in the ensuing passage before the tonic returns, now decorated by still further linear progressions both descending and ascending. Sibelius re-employs the descending whole-tone linear progression found earlier in the movement (Letter F, b.92) heralding a more diatonic D minor passage (b.100) which even includes a two octave descent, thereby outlining a D minor melodic scale (b.111).

A pattern of diatonic D minor alternating with whole-tone linear descents becomes apparent at a higher structural level, as we see Sibelius embark upon the most extensive whole-tone passage of his entire symphonic output (b.125 to Letter I). In a remarkable 'tour de force' of Sibelian symphonic technique, a series of five whole-tone linear descents in the upper part is simultaneously underpinned by a lengthy circle of fifths.

The bass soon abandons this traditional structure in favour of ascending whole-tone linear progressions, which act in contrary motion to the treble. The whole complex arrangement finally culminates on a unison B held in both parts, which is to act as an upper neighbour-note to the dominant, as the recapitulation of earlier motives is heard (b.146).

The passage described above is truly remarkable in a movement so often described as merely 'modal'. In fact here we find an extensive and highly complex series of interlocking whole-tone linear progressions the likes of which have not been seen

before in the composer's symphonic output, made even more interesting through their initial, ingenious combination with the traditional cycle of fifths. Here we see a 20th - century composer brilliantly combining the old and the new to create a unique sound-world.

5 returns as the recapitulatory material is heard, but is underpinned by the dominant pitch, found in both first and second inversion, but never the expected root. Once more, Sibelius contrives to avoid a conclusive dominant sonority at this juncture, although at a middleground level it may be seen to cadence back to the tonic as the key change occurs (Letter K).

3 is now established after a fleeting glimpse of 4 (found at the apex of a 'Tristan chord'/half-diminished seventh) and is supported by the tonic D and the key signature of D minor. By the 'Allegro Assai' (Letter L) the tonality has veered more towards the relative major, albeit a Lydian version, before the tonic returns (b.181).

The whole-tone sonority is now abandoned in favour of a diatonic discussion centering around whether the tonic or its third should dominate the bass, whilst 5 re-establishes control in the upper part. Any descents from 5 are purely diatonic (b.228) and serve to outline the fundamental line. A late descent from 5 provides one Schenkerian solution, although as will be seen below, there are also other possibilities.

Middleground

It is possible to see familiar structural features found in earlier movements and indeed earlier symphonies: the role of the lower neighbour-note to the tonic, the dominance of 5 in the outer sections of the movement, the use of descending linear progressions to name but a few. However, the pattern of alternating diatonic and whole-tone passages becomes more clearly evident, and provides the analyst with something unique in the composer's symphonic output. The complexity of the passage can now be seen in greater focus, as an ascending chromatic progression moves from G sharp to B to form a third layer in the approach to Letter I.

Sibelius appears to be using linear progressions, whether whole-tone or chromatic, as a modern form of counterpoint, as one progression interlocks with another in contrary motion. The analogy with counterpoint may be reinforced by the initial combination of an extensive circle of fifths in the bass with a substantial whole-tone linear descent above.

The placement of the fundamental line sees 5 established somewhat later than in many previous movements, preluded as it is by the modal introduction. Nevertheless, its role is clear during the diatonic passages, but is less so during the whole-tone sections. Henceforth the location of the remaining degrees of the fundamental line presents at least two solutions: firstly, a familiar late descent as the music fades away to the enigmatic final chord minus its defining pitch, the third. Alternatively, a structure can be created which sees 3 prolonged more extensively during the key change section, preceded briefly by 4.

What is clear is that in neither model do we find 2 underscored by the dominant. In both scenarios it must be found in relation to the lower neighbour-note, C. Perhaps this should come as no particular surprise to the analyst after many symphonic movements have seen just such a procedure, and may in fact be an adjustment to Schenkerian technique that must be made to accommodate late-Sibelian symphonic movements.

SIBELIUS SYMPHONY NO.7

An Overview

Of the previous twenty-two symphonic movements, all but four are formulated in the Schenkerian 5-4-3-2-1 Ursatz, so perhaps it seems entirely appropriate that Sibelius's ultimate one-movement symphony employs that structure once more. This must surely represent one of the most extensive prolongations of 5 in symphonic music. When spread over such a broad canvas, this provides much scope for interest and musical diversion, here demonstrated in ways which represent the idiosyncratic techniques employed in the composer's earlier symphonies.

This symphony was created at much the same time as the Sixth Symphony and shares the absence of a key signature. Yet, if the debate between Dorian D and C major raged in the Sixth Symphony and saw D prevail, here C is firmly in control; although there are many fascinating and significant tonal twists along the musical journey.

In a number of the previous symphonic movements we have noted that Sibelius has been at pains to avoid traditional tonic/dominant relationships, to the extent of employing substitute dominants, opposite tonal poles, and the avoidance of any perfect cadences that might serve to confirm a tonal area. In this work, however, the relationship between the tonic C and its dominant G is most obvious and well-defined.

Foreground

The opening bars consist of a familiar harmonic device employed frequently by Sibelius: the enigmatic scale passage. There are at least two ways of considering such as opening. Firstly, it could be considered to be an extension of the composer's interest in modality, displayed through Lydian inflection in the Fourth Symphony and Dorian tendencies in the Sixth, seen here as a scale which outlines a Mixolydian mode (bs.1-2).

Alternatively, another viewpoint can note that just as the Lydian flavouring of the Fourth symphony could be viewed as a preoccupation with the interval of the augmented fourth/diminished fifth, 'diabolus in musica', here, if the 'Mixolydian' scale loses its initial G (provided so delicately by the timpani), then the scale may be seen to move from A to an eventual E flat: and therefore a return to the influence of the augmented fourth.

The head-note 5 is quickly established, (b.9) but at a lower tessitura than in the majority of previous movements, reflecting the role and nature of the later trombone theme that is at the heart of the symphony. Much of the interest will of course centre around how Sibelius quits and returns to that pitch, and indeed early in the symphony 5 is the starting point for a linear ascent to the tonic via flat 6 and flat 7 (bs.14-17).

Again the analyst can consider two theories with regard to the alterations of 6 and 7: firstly modal inflection, or secondly the interval of a diminished fifth which is created as the bass ascends in parallel motion.

Interesting departures from V occur in the bass which highlight a pitch that will have a significant role to play at a higher structural level: twice V is quitted via a descending linear progression which moves through E flat. The first example of a descending fifth, (bs.11-14) steps down to the tonic via E flat, whereas a second example sees the dominant reasserted after the linear descent moves through an entire octave including E flat (bs.17-25). The ensuing bars provide a return to the oft-discussed debate in Sibelius concerning the nature of 3: flat or natural?

One passage in the early part of the symphony provides a useful guide to the composer's foreground techniques: a descending Lydian scale (bs.80-83) departs the tonic, and the raised fourth is highlighted by a short motive in the strings which is highly reminiscent of one from the Fourth Symphony (bs.82-3). A C major chord in first inversion provides the back drop. The very next bar displays a diatonic scale, this time A flat (which at a higher level becomes a chromatic upper neighbour-note to 5) providing a relationship of a diminished fifth with the bass's E.

In earlier symphonies we have noted that foreground motivic events of this nature may be transformed into middleground tonal structures. Indeed, here the significance of F#, like that of E flat, extends into the middleground to provide principal points of tonal departure. The former is reached via a whole-tone linear descent from the tonic (bs.115-127). The latter, although often found in the context of the dominant of A flat, also becomes the tonal centre of E flat minor (Letter T).

The influence of this pitch extends further, as the first, darker portrayal of the symphony's main theme, promulgated by the trombone, is set in the context of C minor.

Linear progressions have been crucial features in the musical language of all Sibelius's symphonies; the later symphonies employing modal and whole-tone progressions in addition to the diatonic and chromatic. In the Seventh Symphony the full range of linear motions are on display and there are numerous examples of each scattered throughout the work, which provide much of the foreground and often middleground tonal interest.

The final four bars seem to epitomize the motivic processes at work in the symphony. An upper neighbour-note, D falls to the tonic before a lower neighbour-note rises to the tonic which seems to distill the central trombone theme to its very essence. Many of the other subsidiary themes in the symphony rely upon neighbour-notes for their interest, for example the flute theme at Letter O, and the composer recognizes this in the final four bars.

Middleground

One of the first questions to be considered is that of the exact nature of the Schenkerian structure: is there 'Prelude' form here? Only the first and third movements of the Fourth Symphony share that form with the third of the Third and second of the Sixth, so it is a less familiar technique in Sibelian symphonic movements. If the initial dominant sounded by the timpani is taken into account then the answer is clear. The kettledrums re-state G once more in the second bar before moving to E flat, a clear indication of the composer's intent. Hence, the motion from G in bar 1 and A flat in bar 3 presents an interrupted cadence.

However, with the opening timpani G not considered, the scale outlines the diminished fifth that fascinated the composer in the Fourth Symphony. Nevertheless, I feel that the initial dominant must be considered to be the outset of Prelude form as there is no tonic in place, and the composer clearly chooses the dominant to head the movement.

Another interesting feature is the descent from 5 itself. The first and third movements of the Fourth Symphony provided examples where the descent, at least at upper middleground level, required chromatic alteration to accurately represent the music itself. Here the debate must concern what Schenker describes as 'mixture', and the exact nature of 3: both the natural and flat versions hold sway at various points in the movement, although at the highest level the latter will give way to the former.

The flattened version has been seen to be a pitch of importance right from the third bar quoted above, forming C minor sections around the first trombone theme and later

tonicised in E flat minor (Letters T-V). However, the natural version is also given a significant role, both within the context of the tonic and within A minor (Letter Q).

The descent is late, and perhaps the final thirteen bars provide the answer we are seeking: 5 is provided at the same tessitura as when first heard (underpinned by E flat), and moves slowly and deliberately to 4 and flat 3 to a transitory flat 2. Flat 3 is immediately restated in the context of E flat *major* before natural 2 is presented, with dominant support, in advance of the final step to the tonic. Clearly, Sibelius wished to stress the role of the flattened third in this symphony to the extent of giving it a highlighted position within the last few bars of the work.

However, the final tonic chord is not left without a third to retain a sense of tonal ambiguity, in fact Sibelius ends with a blaze of C major, with the third of the triad promulgated loudly by the brass. Hence, within the last half a dozen bars the middleground musical debate between flattened and natural 3 is finally resolved, with the former giving way to the latter in a manner which conforms in a delightful manner to the principles which Schenker established for musical structures.

It is interesting to note that extra interest is added to the descent by the composer's last symphonic descending linear progression which drops through a ninth (ensuring that the important pitches of both E flat and B flat are highlighted), to reach the final dominant that underpins 2.

Upper Middleground

At a still higher level, the prevalence of tonic and dominant, in contrast to many of the movements in the previous three symphonies, is clear to see. Equally evident is the impact the foreground events of E flat and F sharp make when extended to form the principal points of tonal departure. Clearly, in any twentieth century composition there will be other tonal areas encountered as the musical ideas are transformed and developed, but these are the only two tonalities which are given a sense of tonal stability through their own tonic/dominant relationships.

The movement ends in the most emphatic tonic dominant relationship of arguably any Sibelian symphony. Only the finale of the Fifth Symphony could be a worthy rival, although it should be noted that the third of the chord is omitted during the final hammer blows. However, in the Seventh Symphony the strength and prominence of the third of the chord ensures that Sibelius's symphonic output ends in an unequivocal statement of major tonality.

CONCLUSION

Schenker's concept of 'organic coherence'[11] whereby a background structure underpins voice-leading transformations in the middleground which in turn are elaborated as foreground phenomena, may be seen to apply to the seven symphonies of Sibelius as strongly in the 21st century as when Schenker himself graphed the works of Beethoven at the start of the 20th..

High-level prolongational structures survive the onslaught of chromaticism and other anti-diatonic factors to provide the musical coherence that Schenker held as central to the creation of musical art forms.

The fundamental line 5-1 dominates Sibelius's symphonic writings: eighteen of the twenty-two movements in the first six symphonies employ this structure, as does the 'one-movement' Seventh Symphony. Of the remaining four, three promulgate 3-1, whilst the third movement of the Second Symphony acts as a prelude to the finale, where the focus of the music is the dominant preparation which heralds the final movement.

The head-note is approached in a variety of ways, including arpeggiation (2/ii, 3/I, 4/iv. 6,iii) and initial ascent (1/iii).

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[11] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.xxii

Descents are often late, relying upon foreground material, although there are examples of symphonic movements where the descent extends over a greater range, allowing other degrees of the scalic descent to be prolonged more extensively. (4/1, 6/iii, 6/iv)

Three movements present Schenker's 'prelude form' (4/i, 4/iii,6/ii), and the structure seems its supreme example in the Seventh Symphony.

At middleground level examples of 'mixture' occur: the third movement of the Fifth Symphony provides sees the third degree fluctuating between G flat and natural, but the ultimate expression of this structure must surely be the Seventh Symphony's debate between E flat and E natural which combines mixture with prelude form.

However, it must be noted that there are occasions when at middleground the descent must be chromatically altered if the music is to be accurately represented. For example, the first movement of the Fourth Symphony sees the third and fourth degrees raised, whilst the second tone is lowered – the latter, a feature that it shares with the third movement. Schenker gives an example of a similar procedure in a Chopin Mazurka [12], where the lowered second degree persists until the final bar. Cleary, although adaptations to Schenkerian technique must be made to allow the graphs to represent the true musical processes at work, there are also occasions where there are clear precedents in Schenker's own writings. The physical scale of a Mazurka and a symphonic movement may be very different, but the musical

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[12] Heinrich Schenker, Five Graphic Analyses, Vienna ,1932, Universal Edition, Chopin, op.10 no.2

processes and structures can remain the same: surely a fact that is at the heart of Schenker's beliefs.

At middleground, the structural device employed by Sibelius with the greatest frequency and effect is the linear progression. Schenker states that,

> 'A firmly established linear progression can withstand even the most discordant friction of voices... '[13]

Sibelius clearly concurs with this view, as linear progressions dominate Sibelian middleground, some brief, but many much more extensive. Motions beyond the scope of an octave occur, and often serve to highlight the motion to a significant pitch or structural event. Although the number and length of these progressions increase during Sibelius's later symphonies, enough examples occur in the first two symphonies where linear progressions serve to highlight important structural moments for the conclusion to be drawn that this is a key feature of Sibelius's constructions throughout his symphonic output.

Although Schenker stated categorically that,

> The first tone of the fundamental line is the only possible goal for an ascending line [14]

this is not the case in Sibelius's symphonic movements, as a cursory glance at the graphs will confirm. Starting points and destination notes are many and varied,

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13 Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.xxiii
14 Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.45

although there are occasions when Sibelius will employ an extensive linear progressions to return to 5.

However, Schenker does confirm the need for chromatic alterations stating,

> 'Especially in an initial ascent to 5, the #4 is frequently employed.' [15]

although he may have baulked at that same sharpened fourth becoming an upper middleground structural device as in the case of the Fourth Symphony.

Sibelius's individual use of linear progressions stretches Schenkerian technique still further when the many examples of chromatic, whole-tone, octatonic and modal scale forms are included. Yet, they form a crucial part of the middleground tonal world which defines Sibelius's symphonies, which result in the foreground interest that epitomizes the Sibelian sound.

The use of neighbour-notes at middleground as structural features is prevalent, and confirms Schenker's view of the neighbour-note as a 'form generator' [16]. Flat sixth and seconds are commonplace, (4/i, iii) and there are occasions where 5 is surrounded by converging neighbour-notes at middleground (2/i, /2,ii), or equally V may be addressed in a similar fashion (eg.2/iii).

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[15] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.46
[16] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.72

When Sibelius began to dilute the role of the dominant after he wrote the Third Symphony, the substitute dominants are often built on neighbour-notes to I or V, (eg.3/i, 5/i, 5/ii, 6/i, 6/iv) elaborating Schenker's comment that,

> 'A neighbour-note in the bass is of special significance and can even be generative of form.' [17]

In conclusion, I hope that this Schenkerian survey of the seven symphonies has unveiled the middleground and background structures that have been hitherto unknown in many cases, and provides a commentary upon the tonal and voice-leading processes at work.

Although some adaptations of strict Schenkerian technique may be necessary when analysing any post-tonal music if the intricacies of the musical debate are to be accurately portrayed, large-scale prolongations of individual pitches are still apparent and contribute to a structure that Schenker would have recognised.

Each movement falls into a formal outline that Schenker identified so often in music of a smaller scale, and similarly, each movement sees the tonic/dominant relationship endorsed, even if disguised, in so many intriguing ways.

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[17] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.72

Despite radical differences in the outworkings of that background structure, each of the symphonic movements display the essential principles of Schenker's Ursatz. The tonal departures of the twentieth century saw modality, whole-tone and octatonic scale forms existing alongside the diatonic and chromatic, yet it is still possible to discern the background and find,

> Musical coherence.... achieved only through the fundamental structure in the background and its transformations in the middleground and foreground. [18]

Schenkerian analysis should no longer be seen as invalidating thematic, formal and motivic achetype analysis. It will be the task of future analysts of Sibelius's symphonies to supplement this work on as systematic a basis as possible, and it is hoped that such a work will ultimately be integrated into rounded accounts of the music which draw on the Schenkerian insights presented here.

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[18] Heinrich Schenker, Free Composition, tr. E. Ostler, New York, 1979, Longman, p.6

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