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The progress in "The Rake's" return

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The Progress in *The Rake's* Return

by

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ABSTRACT

THE PROGRESS IN *THE RAKE'S* RETURN

by

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Igor Stravinsky's opera *The Rake's Progress* (1948-51) represents a culmination of the composer's neo-classical period (ca. 1920 to ca. 1951), the works of which are characterized by the adaptation of tonal conventions from the distant past into a modern, post-tonal context. The stylistic variety contained in such music poses challenges that defy any single-faceted analysis. The analytical model developed in this paper incorporates tonal and post-tonal approaches, grouping Schenkerian tonal graphs, basic motivic analysis and set class theory. Such an approach offers a field on which to make connections and measure distinctions between diverse elements. More importantly, this model allows for the disjunctions, abrupt juxtapositions and discontinuity that characterizes so much of Stravinsky's music. The important dramatic effects of such stylistic play on the listener are also addressed.

The story of *The Rake's Progress* is itself an exploration of the issue of artistic progress and return. The choices that the opera's characters confront reflect important choices that an artist must make. Because Stravinsky subsequently abandoned neo-classicism in favor of a more uniformly modern serialism, the opera offers an insight into the choices of its own creator.

Preface

In a program note that Igor Stravinsky wrote for his opera *The Rake's Progress*, he asked, "Can a composer re-use the past and at the same time move in a forward direction?"[1] The opera not only contains the answer, one could argue that *The Rakes' Progress* is the answer. Its music resounds with echos of distant fanfares and arias, classical textures, florid melismas and secco recitatives. At first glance, these musical archaisms seem to offer a facile "yes" to the question of re-using the past. But unlike the satiric paintings on which it was based, the opera does more than lampoon blind progress. Its story, developed by Stravinsky and his librettist W. H. Auden, is itself an exploration of the human tendencies to return and progress. For any creative artist, the comforting lure of the familiar past is always counterbalanced by an unknown, but potentially exciting future. In *The Rake's Progress*, Stravinsky confronts, through his hapless hero, these conflicting tendencies in the human psyche. In so doing, he also reveals an insight into his own artistic choices.

For experienced listeners, echos of the musical past are a known quantity, recognizable conventions around which they may fix their bearings. While *The Rake's Progress* is an extreme example of the use of borrowed styles, it is only one of many of Stravinsky's works that share this quality. He spent thirty years of his life (ca. 1920 to ca. 1951) — his neo-classical period — adopting and

[1] "The composer's view" in Igor Stravinsky: *The Rake's Progress* ed. by Paul Griffiths (New York: Vintage Books, 1972), p. 2.

transforming classical models. Indeed, throughout his life, Stravinsky re-used many other forms of music. The presence of Russian and other folk music in the music of his "Russian" period has been widely recognized, even in the instances where Stravinsky denied it.[2] In his later serial works, Stravinsky assumes the style of contemporary masters — Webern in particular.[3] The composer himself confessed, "My instinct is to recompose, and not only students' works, but old masters as well. . . Whatever interests me, whatever I love, I wish to make my own (I am probably describing a rare form of kleptomania)."[4] Actually, Stravinsky's kleptomania, while more extreme than that of many artists, is not rare among composers. Many twentieth-century composers have re-used other musical idioms in a variety of ways. Composers as diverse as Mahler, Ravel, Milhaud and Charles Ives adopted music from folk and popular traditions; neo-classicists used classical models; and contemporary postmodernists freely quote and recompose music from the past. "Indeed, from the early decades of the twentieth-century," writes Glenn Watkins, "the very idea of Modernism has been likened to a curio cabinet, where unrelated objects are placed

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[2] See Richard Taruskin, "Russian Folk Melodies in *The Rite of Spring*," Journal of the American Musicological Society, 33/3 (1980), pp. 501-543.

[3] See Henri Pousseur, "Stravinsky by Way of Webern: The Consistency of a Syntax, " Perspectives of New Music, 10/2 (1971), pp. 13-51 and 11/1 (1972), pp. 112-145.

[4] Stravinsky and Robert Craft, Memories and Commentaries (Berkeley: University of California Press, 1981), p. 110.

together and achieve cohesion through arrangement and proximity."[5] Yet despite the prevalence of this phenomenon, the integration of widely varying musical styles and compositional techniques has been largely ignored by music analysts. At the center of much of this play of musical styles, particularly in the case of Stravinsky's neo-classical music, is the integration of tonal and post-tonal music.

I propose my study of *The Rake's Progress* as a testing ground for an analytical model that comfortably accomodates tonal and post-tonal points of view. Most accepted analytical methods — from Schenker's tonal theory of structural levels to post-tonal set theory — emphasize stylistically unified aspects of a work, and analysts have tended to use a single analytical approach in dealing with a given work. Consequently, music incorporating a variety of styles has eluded traditional analysis. It has been written off as "eclectic" because it poses analytical challenges that defy any single approach. The model that I propose offers a field on which to examine seemingly irreconcilable styles and to make cross references, thereby revealing unifying features that transcend different styles. More importantly, such an analytical model allows for the presence of discontinuity, disjunction, juxtaposition and irreconcilability, without reducing such features to a special or exceptional status.

When analyzing a work of musical drama, it is particularly important to appreciate such stylistic variety. Throughout music history, composers of opera, ballet and theater music have often

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[5] Glenn Watkins, Pyramids at the Louvre: Music, Culture, and Collage from Stravinsky to the Postmodernists (Cambridge, MA: The Belknap Press of Harvard University Press, 1994), p. 1.

employed a wide variety of musical styles. In his exhaustive analysis of Act I/ii and iii of Verdi's *Otello*, Harold Powers writes:

> [T]he relation of parts to wholes in opera cannot readily be grasped through the familiar metaphors of organic unity. . . The wholeness of an opera, in short, is not that of a majestic plant, a grand and luxuriant exfoliation from a single seed. It is rather the wholeness of a rich garden, with many flowering plants in harmonious profusion, brought together in banks and beds according to an overall design, as though by a master landscape architect.[6]

Such stylistic richness often serves dual dramatic purposes. A composer may use a known, discernible musical style to superficially distinguish one character or setting from another. But such musical references can have an emotional effect as well. They can manipulate our attachment to the story by engaging or distancing us from the drama. Often difficult to describe in concrete terms, this dramatic effect is nonetheless crucial to our appreciation of musical drama, and of stylistically varied music in general.

Therefore, in analyzing music that uses a variety of styles, simply accounting for structural coherence and unity is not all-revealing. My approach accepts unity and disunity equally, making relative unity or disunity another parameter to be measured. *The Rake's Progress* is an ideal work for developing such an approach. Despite the variety of styles he employs, Stravinsky works in a remarkably consistent manner, and plays on our musical expectations with a classical clarity. The varied and profuse examples that I explore in *The Rake's Progress* may serve as a foundation for future exploration of such stylistically rich music.

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[6] Harold Powers, "*Otello*, I. 2-3: An Essay in Multivalent Analysis" (typescript, Princeton University, 1992), pp. 2-3. Used by permission.

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Finally, I am eternally grateful to my wife, Patrice Newman, who edited early and late drafts of the paper, provided innumerable tedious services, lent emotional support throughout my work on the project, and most importantly, has shared my curiosity and love for this opera and music in general.

Contents

The Progress in *The Rake's* Return

"Let us return to old times, and that will be progress:" [1]

Critics who witnessed the premiere of Igor Stravinsky's new opera *The Rake's Progress* in September, 1951 unanimously and rightly interpreted the work as a product in the composer's neo-classical style. Colin Mason asserted, ". . . most would agree that *The Rake's Progress* is the greatest and most important neo-classical work that has yet been produced."[2] But neither the critics, nor even Stravinsky himself, fathomed that this would be his final effort of that "period" of his life. Years later, he wrote:

> I have had to survive two crises as a composer, though as I continued to move from work to work I was not aware of either of them as such, or, indeed, of any momentous change. The first — the loss of Russia and its language not only of music but of words — affected every circumstance of my personal no less than my artistic life . . . Crisis number two was brought on by the natural outgrowing of the special incubator in which I wrote *The Rake's Progress* (which is why I did not use Auden's beautiful *Delia* libretto; I could not continue in the same strain, could not compose a sequel to *The Rake*, as I would have had to do.)[3]

Why did *The Rake* inspire such a life-changing crisis in Stravinsky? How did he come to view the circumstance of its composition as a "special incubator?" *The Rake's Progress* is Stravinsky's last and longest completely neo-classical work, as well the most "classical" of his entirely original scores (i.e., excluding

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[1] Giuseppe Verdi, quoted in Poetics of Music by Igor Stravinsky, trans. by Arthur Knodel & Ingolf Dahl (Cambridge, MA: Harvard University Press, 1970), p. 43.

[2] Colin Mason, "Stravinsky's Opera," Music and Letters, 33 (1952), p. 9.

[3] Igor Stravinsky and Robert Craft, Themes and Episodes (New York: Alfred Knopf, 1966), p. 23.

Pulcinella and *Le Baiser de la fée*). But did the sheer size and "classicism" of *RP* drive its creator away from neo-classicism? Stravinsky's foray into serialism in the 1950's has always puzzled scholars and critics. In fact, scholars have sought and discovered striking connections between works from all three of Stravinsky's periods — the Russian, neo-classical and serial.[4] But these connections do not offset the glaring fact that after 1951, Stravinsky largely abandoned the practice of appropriating conventions of the musical past, particularly tonal conventions. As I explore *RP* as a work uniquely rich in classical allusions and tonal appropriations, I hope to discover insights as to why Stravinsky outgrew his "special incubator."

The practice of stylistic appropriation virtually defines neo-classicism. The technique, especially as practiced by Stravinsky, involves more than a mere reference or allusion to another composition, composer or style. It is an active assumption of a tradition from which the composer stands apart. Stylistic appropriation becomes the mode by which the new work is created. Glenn Watkins writes:

> For Stravinsky the invocation of a known and one's expectations regarding it became the starting point of the creative process. In this gloss of pre-existent material, however, Stravinsky was obliged to define his own voice with increasing precision. A personal style was thus coined not so much through the

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[4] Scott Messing, Neoclassicism in Music: From the Genesis of the Concept through the Schoenberg/Stravinsky Polemic (Ann Arbor: UMI Research Press, 1988) pp. 87-150; Andre Bouchourechliev, Stravinsky, trans. by Martin Cooper (New York: Holmes and Meier, 1987); William Austin, "Stravinsky's 'Fortunate Continuities' and 'Legitimate Accidents,' 1882-1982," Stravinsky Retrospectives ed. by Ethan Haimo and Paul Johnson (Lincoln: University of Nebraska Press, 1987), pp. 1-14.

> appropriation of ingredients from a particular historical or cultural model as through their fracture and purposeful reassemblage: criticism of received materials becomes the modus operandi for the creative act.[5]

For Stravinsky, the assumed style offers him the resistance that is necessary for the very act of composition. Thus, any inquiry into *RP* must begin with the question, "What is being appropriated?" Stravinsky himself answered this question when he revealed, "I chose to cast *The Rake* in the mould of an eighteenth-century 'number' opera, one in which the dramatic progress depends on the succession of separate pieces—recitatives and arias, duets, trios, choruses, instrumental interludes."[6] Numerous other features of the opera, such as the Classical makeup of the orchestra and the anachronistic use of the harpsichord, all reinforce the composer's stated intention. In addition to these general affinities with operas of the 18th century, numerous critics have noticed striking similarities to specific works by earlier composers, Mozart in particular. Again, even Stravinsky himself admitted, "*The Rake* is deeply involved in [Mozart's] *Così*."[7] Indeed, such specific allusions usually strike the listener as the opera's most salient feature, and ". . . [b]eginning with the tavern talk of friends following *The Rake's* premiere in Venice in 1951, the game of tune detection and dramatic

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[5] Pyramids at the Louvre, pp. 2-3.

[6] "The composer's view," p. 2.

[7] Memories and Commentaries, p. 158.

analogy has been continuously played. . . [T]he recurrent stylization, . . . if not everything, is clearly paramount."[8]

But there is perhaps a deeper connection with Mozart and the Classical tradition. When Stravinsky states that "*The Rake* is deeply involved with *Così*," we have only a few obvious musical resemblances as direct evidence. In fact, the entire plot of *Così* seems to "disprove the romantic, idealistic convention that lovers are made for each other, and that passion is immutable,"[9] while spiritual Love, if not passion, triumphs in *RP*. Affinities between *RP* and *Don Giovanni*, such as the protagonist's libertine behavior, the graveyard scene, the descent to Hell, and the epilogue are more obvious. But Stravinsky's remark clearly refers to more than explicit musical paraphrases and dramatic analogies. He uses Mozart not merely to edify sophisticated listeners, nor because he particularly loved the original sources (though both possibilities are not necessarily untrue). His appropriations play a calculated role in the opera's overall musical and dramatic design, and offer intriguing and important clues to the work's meaning.

Meaning in the Music of Stravinsky and his Classical Models

The issue of meaning in *RP*, or any other work by Stravinsky, is especially prickly. The pronouncement in his autobiography —

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[8] Glenn Watkins, Soundings: Music in the Twentieth Century (New York: Schirmer Books, 1988), pp. 324-5. Robert Craft describes that first tune-detection game at the *taverna* in Venice in Stravinsky: Chronicle of a Friendship 1948/71 (New York: Vintage Books, 1972), p. 29.

[9] Andrew Steptoe, The Mozart-Da Ponte Operas (Oxford: Clarendon Press, 1990), p. 229.

"Music is. . . powerless to *express* anything at all"[10] — seems to discourage attempts to ascribe meaning to his works. But even the composer himself later qualified his famous statement:

> The over publicized bit about expression (or non-expression) was simply a way of saying that music is supra-personal and super-real and as such beyond verbal meanings and verbal descriptions . . . It was offhand and annoyingly incomplete, but even the stupider critics could have seen that it did not deny musical expressivity, but only the validity of a type of verbal statement about musical expressivity. I stand by the remark, incidentally, though today I would put it the other way around: music expresses itself.[11]

For Stravinsky, music is a self-contained language with an expressive range that requires no references to words, images or ideas to identify its content. Not only did he mistrust what he considered the mundane association of music and musical procedures with extra-musical objects and processes — e.g. the labeling of leitmotifs — his mistrust went even deeper. The very first words of his program note for *RP* read: "Rather than seek musical forms symbolically expressive of the dramatic content (as in the Daedalian examples of Alban Berg), I choose to cast *The Rake* in the mould of a 'number' opera. . ."[12] Gabriel Josipovici concludes from this statement that Stravinsky "accepts that music. . . cannot finally convey the feelings of either the characters or the composer (that is why he says the

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[10] Igor Stravinsky, An Autobiography (New York: Norton & Company, 1962), p. 53.

[11] Igor Stravinsky and Robert Craft, Expositions and Developments, (Berkeley: University of California Press, 1981), p. 101.

[12] "The composer's view," in Griffiths, p. 2. The italics are my own.

opera is so bound up with *Così fan tutte*). . . [H]is solution involves a rethinking of the form, not merely the content, of opera."[13]

In regard to the "deep involvement" of *RP* with *Così*, one critic asserts that "the most important resemblance is in the machine-tooled rigidity of the plot: either of these 'heartless' operas could be staged on a chess-board, for the characters are not individuals but mathematical counters pushed through pretty symmetries of attraction and repulsion."[14] Of *Così* Edward Dent writes, "The four lovers are utterly unreal; . . . it is only because they are marionettes that they are capable of such [a wide range of] emotions, for they are themselves playing parts all the time."[15] Mozart and Stravinsky both achieve this "clinical distance" through a strikingly similar technique: the pronounced use of stylistic allusion and parody. Andrew Steptoe observes:

> The sense of parody is so pervasive in *Così fan tutte* that it tends to be accepted without question. . . In this opera, the mixture of real and feigned emotion is completed at a musical as well as dramatic level; truth and deception are confounded and seemingly inseparable.[16]

Stravinsky's stylistic assumptions (from outright parodies to near quotations) also function to mix real and feigned emotion. Characters

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[13] Gabriel Josipovici, "Some Thoughts on the Libretto," in Igor Stravinsky: "The Rake's Progress," ed. by Paul Griffiths, p. 67.

[14] Daniel Albright, Stravinsky: The Music box and the Nightingale (New York: Gordon and Breach, 1989), p. 52.

[15] Edward Dent, Mozart's Operas (New York: Oxford University Press, 1943), p. 192.

[16] Steptoe, Mozart-Da Ponte Operas, pp. 221 & 230.

who are wooden archetypes in one scene emerge as thinking, feeling beings in the next because of the degree of our emotional attachment to (or belief in) their music. The fact that the very organization of *RP* is an appropriation of an operatic style indeed raises this emotional ambivalence to the level of a dramaturgical design. More fundamental than any mere quotation or dramatic allusion, this blurred division between real and feigned emotion in *Così* and *RP* is the heart of the neo-classical opera's "deep involvement" with Mozart's comedy.

While an extreme case, *Così* is certainly not the only opera in which Mozart, or any number of Classical composers, openly referred to other musical styles. In fact, a current trend in the analysis of Classical music focuses on the manner by which composers communicated by using certain types of music.[17] Contrary to Stravinsky's skepticism regarding the ascription of meaning to musical expression, this approach assumes that meaningful expression is not only possible through music, but that "without it no [Classical] piece was fit to be heard."[18] By identifying the musical

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[17] Wye Jamison Allanbrook identifies rhythmic types, or *topoi*, from eighteenth-century dance repertoire used by Mozart in *Le Nozze di Figaro* and *Don Giovanni*. See Rhythmic Gesture in Mozart (Chicago: University of Chicago Press, 1986). Allanbrook owes much of her approach to the ideas of Leonard Ratner, who proposes an analytical strategy that presumes the possibility of musical expression based on conventional topics or "subjects of musical discourse." See Classic Music: Expression, Form, and Style (New York: Schirmer Books, 1980). More recently, Kofi Agawu, also strongly influenced by Ratner, has employed semiotics in an effort to assess concretely how Classical composers employ these *topoi* toward expressive ends. See Playing with Signs: A Semiotic Interpretation of Classic Music (Princeton: Princeton University Press, 1991).

[18] Ratner, Classic Music, p. 1.

and extra-musical connotations associated with the stock figures of Classical music, the purveyors of this approach have established a groundwork upon which to assess concretely at least "*how* [a] piece means," if not "what [a] piece means."[19]

While scholars have only recently developed methods by which to analyze the "content" of Classical music, critics, including the composers themselves,[20] have continually ascribed dramatic "meaning" to overtly allusive passages. In his excellent study of Mozart's operas, Edward Dent, without recourse to concepts like rhythmic *topoi* or semiotics, cites numerous examples where Mozart appropriates a certain musical style for a dramatic end. One of his most striking observations involves the stylistic play between the Speaker and Tamino in their accompanied recitative during Act I of *Die Zauberflöte*, which Dent anachronistically asserts "is like a dialogue between Bach and Weber."[21] What is most remarkable about this reading of the scene is not the dramatic implications of Mozart's stylistic interplay, but that the styles in question are drawn

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[19] Agawu, Playing With Signs, p. 5.

[20] In a now famous letter to his father, dated 26 September 1781, Mozart reveals how, in the scene from *Die Entführung aus dem Serail* in which Osmin expresses his rage, he planned to use "Turkish music" to elicit a comic response from the audience. Mozart's comments are even more striking in that he reveals how he consciously manipulates presumably "abstract" tonal structure (in an unexpected modulation from F major to the "more remote A minor") in order to "express" Osmin's rage further. See The Letters of Mozart and His Family, Emily Anderson, ed. Third Edition (New York, Macmillan, 1985), pp. 768-70. Not only does Agawu use Mozart's comments as a point of departure for his book, so does Peter Kivy in Osmin's Rage (Princeton: Princeton University Press, 1988).

[21] Mozart's Operas, p. 249.

from across historical boundaries, not simply from a contemporary repository of musical types.

The appropriation of distinct historical styles toward a meaningful end has been a resource for composers at least since the Middle Ages. Parodies and allusions to earlier chant settings have been discovered in the motets and *chansons* of the *Roman de Fauvel* manuscript.[22] Monteverdi used the distinction between the conservative *prima prattica* and his harmonically adventurous *secunda prattica* to project solemnity in his religious works. Mozart consciously evoked the heritage of Bach, especially in the Act II fugue and chorale (not to mention Dent's example) from *Die Zauberflöte*. What, in these examples, is a resource to be called upon for special occasions becomes for Stravinsky the *modus operandi* of his neo-classical style, if not for his entire output. One biographer writes:

> Stravinsky regarded history. . . as his property and his *instrument*. He saw the whole course of history as available to him, and he criss-crossed it with abandon and delight. . . Why did he do this? . . . to rediscover beyond but also at the very heart of the complex constellations of musical history . . . certain active *constants*.[23]

Style, Emotion and Theatrical Distance

Perhaps the most influential contemporary writer on the subject of meaning in music, Leonard Meyer asserts that our

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[22] See Susan Rankin, "The Divine Truth of Scripture: Chant in the *Roman de Fauvel*," Journal of the American Musicological Society, 48 (1994), pp. 203-43.

[23] Andre Bouchourechliev, Stravinsky, p. 10.

emotional response to music is largely dependent upon internalized expectations that are "dependent upon the listener's learned habit responses, which are a product of . . . past musical experience."[24] When a composer fulfills or contradicts the expectations implied by a certain style, it affects our emotions. This phenomenon can be assessed most concretely in comic effects or parodies, which usually involve easily identifiable exaggerations. The classical music of Mozart (not to mention Haydn and Rossini) is replete with such effects, of which, among his operas, *Così* is only the most conspicuous example. Stravinsky himself often plays with listeners' expectations in his numerous parodies. The organ-grinder's music from the opening tableaux of *Petrushka* is a perfect example where deliberate and obvious deviations from an implied stylistic norm are employed for a comic end.

However, the purpose of Stravinsky's parody of the organ grinder's music is not simply comic. He uses it as a way of differentiating the performance of the organ grinder from the on-stage crowd that is listening to him. The crowd's music, while full of Russian folk tunes, is typically Stravinskyan — static or planed harmonies driven by colorful orchestration and unpredictable rhythmic patterns. Though thoroughly diatonic, the harmonies never progress tonally. The organ grinder's bastardized B-flat major ditty stands out in striking contrast to the crowd's surrounding music. Its

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[24] Music, the Arts, and Ideas (Chicago: University of Chicago Press, 1967), p. 47. Meyer has devoted several books and essays to this topic, including Emotion and Meaning in Music (Chicago: University of Chicago Press, 1956), and Explaining Music (Berkeley: University of California Press, 1973).

halting dominant and tonic harmonies clearly belong to a different tradition. This palpable distinction between musical styles projects two distinct theatrical dimensions for the real audience that is watching and listening to both. The organ grinder performs for the crowd just as the crowd performs for us. For whatever artificial devices the composer/dramatist employs as the principal means of presentation, another dimension of artificiality is needed to further differentiate the "play-within-the-play" — or, as it were, "music-within-a-music." This effect is a common resource for modern dramatists, but is by no means limited to them. In the finale of Act I of *Così*, Mozart's downright silly music for the "poisoned" Ferrando and Guglielmo and the "doctor" who comes to treat them signals the audience that what they are seeing and hearing is a joke. The degree of triviality measures the theatrical distance between the charade and the "real" story of the opera. It is important that in both these examples, Stravinsky and Mozart take pains to avoid exact imitations of their models. To employ "real" music (an actual organ-grinder playing an actual tune, for example) would destroy the distance between the character and the audience. The audience would believe in the action. In fact, Mozart achieves such an ambiguous effect in the fascinating Act I quintet of *Così*, "Di scrivermi ogni giorno," when a woodenly repeated progression gradually yields to an expressive modulation.[25] The theatrical distance between the exaggerated (in the case of the women) or fake (in the case of the

[25] Because of its marked similarity to a passage in *RP* (I/iii, R160), I discuss this Quintet at length in Chapter one (see examples 1-6 & 1-7).

men) emotions of the four lovers and the sincere affection they actually feel for each other is musically traversed in the span of a few measures. This is a perfect example of the mixture of "real and feigned emotion" to which Steptoe refers.

In each of these cases, the audience identifies with the "real" action and characters more than the "artificial" ones. However, no single style or technique achieves this effect. Neither simple, tonal or consonant music nor complex, post-tonal nor dissonant music inherently conveys sincerity or falsity. However, as I will demonstrate in chapter one, the consistent treatment of these elements can justify certain assumptions regarding their meaning. I hasten to add that such assumptions can be made only after a close examination of the music, and even then, the relative sincerity or falsity of any given passage may be subject to disagreement. For example, Kerman suggests that while Stravinsky's B-minor aria in I/iii "is entirely serious, his *cabaletta* is a parody of an old *da capo* aria, complete with absurd little modulation for the central section and then a thumping return. We love Anne all the more for being a little ridiculous, like Mozart's Fiordiligi."[26] While Stravinsky does recycle "Donizetti's worst cliché," he treats it with such beauty and excitement that I cannot help but accept Anne's florid exuberance at face value. The Mozartean heroine to whom Stravinsky alludes (whether consciously or not) is not the overly theatrical Fiordiligi, nor, as Daniel Albright asserts, the vengeful Donna Anna, but the

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[26] Opera as Drama, reprint of 1st ed. (Westport, CT: Greenwood Press, 1981), p. 244.

level-headed Countess from *Le Nozze di Figaro*, as I shall explain in considerable detail in Chapter two.[27]

Because Mozart composed within a relatively homogeneous harmonic order, he manipulated instrumentation, dynamics, articulation, degree of chromaticism, and even degree of competence to signal theatrical distance. Stravinsky uses these techniques to the same end. The contrast between the barren, somber and minor Mourning Chorus (III/iii) and the bright, exuberant and major Epilogue is accomplished without drastically altering the degree of tonal or post-tonal involvement. However, for a composer in the twentieth century, an even wider range of possibilities is available, particularly with regard to pitch. Once the system of tonality lost its ubiquitous grip upon music around 1900, it could then be perceived as a "style" (and therefore as a resource for musical contrast), as the *prima prattica* was for Monteverdi, or the fugues of Bach for Mozart. But a crucial distinction remains. Mozart staged his stylistic play over the stable foundation of tonality, in which universal guidelines for harmony and voice leading easily accommodated even the most varied musical types. If there is an analogous field that comfortably accommodates Stravinsky's various appropriations, then it must be newly defined in terms of the modern language of twentieth-century music.

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[27] At least Kerman appreciates the rhetorical gesture that underlies Anne's cabaletta. Albright ludicrously suggests that "Stravinsky has a joke at Anne's expense by making her sing rapid runs on the first syllable of *alter* — Love may not alter, but the word *alter* goes through spasm after spasm of altering" (Stravinsky: The Music Box and the Nightingale, p. 56). Anne's melismas convey an abstracted exuberance in the Classical tradition and not the literal symbolism of Baroque word painting.

The Rake's Progress and the Modern Stage

The numerous paraphrases and near quotations from traditional operas found in *RP* figure so prominently that the interplay of styles, in and of itself, must be regarded as an integral part of the work's content. Stravinsky not only openly assumes operatic traditions — from the most subtle Mozartean configurations to the wholesale adoption of classical dramaturgical structure — but he also periodically reminds the audience members that they are watching an opera. The most obvious example is when the singers step out of character in the Epilogue. But during the course of the story, Nick repeatedly addresses the audience directly: 1) at the end of Act I/i he announces, "The PROGRESS OF A RAKE begins;" 2) during the Pantomime in Act II/iii, he "demonstrates" the bread machine to the audience, and during the following duet, he takes the audience into his confidence to elicit investments in the fake invention; and 3) during the card game in Act III/ii, he reveals to the audience his reuse of the Queen of Hearts for the third card. The rapport Nick establishes with the audience is clearly evocative of similar asides by Don Alfonso in *Così*, who Dent asserts is, along with Despina, "a real person."[28] With that connection in mind, it is rather striking that Nick is the only character in the opera who explicitly retains his identity in the Epilogue by referring to himself in the first person

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[28] Mozart's Operas, p. 192. As I noted earlier, Dent, among others, sees the four lovers in *Così* as marionettes in the hands of the puppeteer Don Alfonso. Likewise Nick manipulates Tom even as he nominally functions to realize the latter's wishes.

("Many insist I do not exist. At times I wish I didn't."). I shall have more to say about the "reality" of Nick in Chapter three.

An obvious effect of such unsubtle theatrical devices is to create an awareness on the part of the audience of the artificiality of the drama they are witnessing. Once exposed, this awareness establishes a pervading emotional distance between the audience and characters which colors the viewer's reaction to and understanding of the entire drama. A similar distance can also be established through easily recognizable musical devices, as the example of the organ grinder's music from *Petrushka* demonstrates. Like the unsubtle asides directed by the actors to the audience, such overt signs reveal the hand of the composer, and therefore the artificiality of the work. For most of his career as a composer/dramatist, Stravinsky used these techniques to keep his distance. Even before his neo-classical phase, he promoted theatrical distance by appropriating musical style in his other Faustian drama, *The Soldier's Tale.* André Bouchourechliev writes:

> The material is simple, even commonplace, but 'structured to the second degree,' having undergone . . . *distortions* to which it owes its uniquely fresh quality. *The Soldier's Tale* is an archetypal fable beyond all doubt, but it is also an archetype of music itself. All these constructions, these melodies, these rhythms and even the apparently most trivial — though in fact the most incredibly refined — phrase (like that of the cornet in the 'Marche royale,' for instance) *represent music*, are the original outline, the sign manual, the very ideogram of music.[29]

The very arrangement of players (all visible on stage), the stiffly allegorical plot, and above all the music, each segment of which is a

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[29] André Bouchourechliev, Stravinsky, p. 130.

parody of some sort, functions to keep the audience at a theatrical arm's length. Of course, this technique is as old as opera itself. There is perhaps no greater example of the conscious projection of music in a dramatic discourse than Monteverdi's *Orfeo*, which opens with the proclamation by *La Musica* of her power to stir the heart of the listener.

That virtually Stravinsky's entire *oeuvre* is characterized by such a distance from its subject matter has been attributed by Mikhail Drushkin to the "element of play" which permeates not only Stravinsky's comic works for the theater, but, "on a higher spiritual level," his abstract and religious works as well.[30] In the words of Johan Huizinga, "Play is not 'ordinary' or 'real' life. It is rather a stepping out of 'real' life. . . a voluntary activity . . . it is 'played out' within certain limits of time and space. . . The aim of play is itself."[31] Ironically, Stravinsky observed the same predilection in his collaborator and librettist W. H. Auden: "The making of poetry [Auden] seemed to regard as a game, albeit played in a magic circle. . . Auden's task, as he considered it, was to redefine and be the custodian of its rules. All his conversation about Art was, so to speak, *sub specie ludi.*"[32] Drushkin concludes, "*Homo ludens* [playing man] rejects all that is subjective and arbitrary: the pre-established rules that govern play regulate and give objective value

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[30] Mikhail Druskin, Igor Stravinsky: His personality, works and views, trans. by Martin Cooper (New York: Cambridge University Press, 1983), pp. 7-9.

[31] Quoted in Drushkin, p. 8.

[32] Memories and Commentaries, p. 157.

to the formation and development of artistic images. . ."[33] Such a rejection of "all that is subjective" has traditionally been cited as a primary distinction between Stravinsky and his towering counterpart in modern music — Arnold Schoenberg.

Stravinsky's artificial appropriation of operatic tradition bears a striking resemblance to the techniques of other modern dramatists. No less astute an observer than Pierre Boulez took note of the congruity of approaches between the playwright Bertolt Brecht and Stravinsky when he remarked, "Just think what a collaboration between Stravinsky and Brecht in the twenties might have produced!"[34] Even Drushkin concedes that Stravinsky and Brecht "agreed on certain questions concerning the heightening of theatrical effect."[35] In his book Modern/Postmodern, Silvio Gaggi cites the dramas of Brecht as a standard example of referential theater. He writes, "... Brecht utilizes techniques that force the viewer to observe the artificiality of the very production he or she is watching. The viewer does not psychologically lose himself or herself in the work

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[33] Drushkin, p. 8. All this talk of "play" reminds me of Agawu's use of the term in his semiotic interpretation of Classical music, Playing with Signs. The author strives to analyze the seemingly exclusive attributes of structure and expression, respectively addressed in the approaches of Schenker and Ratner. Agawu calls the analytical and creative overlap (or gap) between these two modes of thought the "region of 'play'" (p. 24). This region, in which "structural" and "expressive" attributes interact, corresponds exactly to Drushkin's "play" in which "pre-established rules . . . regulate and give objective value to the formation and development of artistic images."

[34] Pierre Boulez, quoted in Drushkin, p. 54.

[35] Drushkin, p. 54.

but remains apart from it, regarding it critically and intellectually."[36] No doubt, the boisterous parodies of musical styles found in works like *The Soldier's Tale* are calculated to achieve such an alienating effect.

Though this effect is likewise achieved in *RP* (e.g. the parodies of the Ballad tune, the Bread machine episode, most of Nick Shadow's music, much of Act I), in certain crucial moments, Stravinsky actually engages the listener's sympathy, in effect luring the audience into the world of the drama. The result can be disarming, as when Baba opens up to Anne during the auction scene (III/i), or even devastating, as when Tom realizes that "Venus" has left him (III/iii). Jean-Paul Sartre discusses the magical effect emotion can have in causing us to identify with an artistic image, whether it be a person acting, a painting, or a singer singing: "True emotion . . . is accompanied by belief. The qualities conferred upon objects are taken as true qualities."[37] Because, among the dramatic media, music so naturally inspires emotion, — in the words of the Prologue to Monteverdi's *Orfeo*, "Io la musica, ch'ai dolci accenti so far tranquillo ogni turbato core" — opera, among dramatic genres, naturally commands emotional attachment to, and therefore "belief" in, otherwise outrageously unrealistic characters and relationships.

Of course, the conventional wisdom among writers about twentieth-century music is that Stravinsky, in particular among

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[36] Silvio Gaggi, Modern/Postmodern (Philadelphia: University of Pennsylvania Press, 1989), p. 37.

[37] Quoted in Daphna Ben Chaim, Distance in the Theater: The aesthetics of audience response (Ann Arbor: UMI Research Press, c1984), p. 16.

composers, eschewed excessive emotion.[38] But emotional restraint certainly does not mute the dramatic possibilities of Mozartean opera. In fact, classical and neo-classical detachment can be directed to particularly dramatic effect by controlling the degree of emotional involvement. Classical clarity enables us to empathize momentarily with Mozart's pairs of couples in their moment of "parting" before the laughing Don Alfonso reminds us that it is just a game. Likewise, we are deeply touched by Tom's "death," only to snapped back to reality when the music of the Epilogue begins. Such a push and pull of the audience's emotional attachment is one of the central techniques of farce.

It may seem ironic that artists with such differing world views as Brecht, a banner-waving Marxist, and Stravinsky, who was notoriously conservative, would employ affiliated methods of presentation. In fact, Brecht consciously created his dramas *and* his manner of presenting them with a political agenda in mind. Gaggi writes:

> [Brecht] wanted to use the theater as an instrument of social change and to do so in an 'objective,' rational way. In order to do this it was necessary forthrightly to acknowledge the artifice of art, to recognize that while art might deal with reality it should not be mistaken for reality.[39]

Brecht's *Verfremdungseffekt* (effect of alienation) not only establishes an emotional distance between audience and characters,

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[38] Even Stravinsky himself lent his blessing to the generalization. In a sketchy and admittedly flip comparison of himself and Schoenberg, he labeled his music as "Reaction against . . . 'German romanticism.' No '*Sehnsucht*,' no '*ausdrucksvoll*.'" See Stravinsky and Robert Craft, Dialogues (Berkeley: University of California Press, 1982), p. 107.

[39] Gaggi, p. 38.

but it also points toward a higher-level meaning in the drama. Brecht forces the audience to reflect upon the drama by separating them from it. Is it possible that Stravinsky also intends the audience to read into *RP* a second level of meaning? If so, the meaning is certainly more elusive than that of the radical playwright. Drushkin contrasts the composer's approach to that of Brecht:

> Brecht's chief concern was with the didactic role of the theatre as a social and educative force. . . What aroused Stravinsky's interest was pure 'play', the whole ritual side of drama, strict style within a given theatrical form.[40]

However, Stravinsky's well-known aesthetic stance should not necessarily deter an attempt to perceive a deeper meaning. Even Drushkin admits that "It would . . . be a mistake to equate Stravinsky's opinions with his musical legacy: his subjective interpretations of his own works may well differ from the estimates of objective critics."[41] Indeed, Stravinsky's personal beliefs, far from prohibiting such an effort, provide the most obvious clues, for "[h]e was keenly aware of the beating of the contemporary pulse. . . [A]s a great artist he could not . . . fail to react to the events which gave that age its character."[42] Stravinsky's feelings in regard to religion and art are forcefully articulated in the writings attributed to him,[43]

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[40] Drushkin, p. 54.

[41] ibid., xii.

[42] Drushkin, p. 23.

[43] There is considerable doubt regarding Stravinsky's authorship of all the published documents that bear his name. Richard Taruskin asserts that the Autobiography was ghostwritten by Walter Nouvel (see "Russian Folk Melodies in *The Rite of Spring*," p. 502). Robert Craft attributes only part of the Poetics of Music to Stravinsky, citing Roland-Manuel as the true author, with assistance by Pierre Suvchinsky on the chapter on Russian music (see

and these pronounced opinions certainly bear their mark on his compositions, as Drushkin's study aptly demonstrates. Likewise Stravinsky's collaborator in *RP*, W. H. Auden, shared similar aesthetic beliefs, even more clearly articulated.[44] Judging from his writings and accounts of his collaboration with the composer, it is clear that Auden shared equal responsibility for the opera's stylized mode of presentation. His (and Chester Kallman's) libretto literally sets the tone for Stravinsky's music at every level, from versification to matters of structure.

Finally, there is ample evidence in the plot, the characters and the language of the libretto, not to mention the music, pointing towards an underlying meaning. Though their agenda is certainly not proclaimed with Brecht's heavy hand (neither is their stylization as blatant and parodistic), Stravinsky and Auden nonetheless present a musical "morality play"[45] whose characters stand as allegorical figures in the dominant aesthetic battle of their day, an interpretation that I will explore more fully in chapter three. By

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"Roland-Manuel and the 'Poetics of Music,'" Perspectives of New Music 21/1-2, 1982-83: pp. 487-505). In the case of the numerous collaborative writings by Stravinsky and Craft, Craft himself openly admits that his role extended beyond the bounds of mere interviewer (see "On a Misunderstood Collaboration: Assisting Stravinsky," Atlantic Monthly (December 1982) pp. 68-74. However, in none of these cases need we assume that Stravinsky's personal feelings differed significantly from the points of view expressed.

[44] Auden wrote numerous essays on a variety of topics, including opera. Most of the latter, collected in a section entitled "Homage to Igor Stravinsky," are also included in The Dyer's Hand (New York: Vintage International, 1989).

[45] Pierre Boulez, quoted in "The *Lulu* Character and the Character of *Lulu* " in Music and the Historical Imagination by Leo Treitler (Cambridge, MA: Harvard University Press, 1989), pp. 264 & 302. Stravinsky himself refers to the "opera's 'moral fable' proposition" in Themes and Conclusions (Berkeley: University of California, 1972), p. 54.

projecting their drama through the artificial tint of operatic archaisms, Stravinsky and Auden do not merely create a "*pure* 'play,'. . . *strict* style within a given theatrical form," they participate in their own story, and in so doing, contribute a brilliant and witty comment on the contemporary battle between artistic progress and return.

Chapter 1:
Analysis: Separating Styles

"What the Chinese philosopher says cannot be separated from the fact that he says it in Chinese." [1]

While Classical music encompasses a variety of musical types which cross not only national, but even historical boundaries, these types at least share a common tonal practice. In the post-tonal world of twentieth-century music, that is no longer the case. Tonal appropriations in modern music can literally compete with and contradict the language of their musical "hosts" in a manner only barely implied in Mozart's historical references. When tonal elements appear in a modern composition, seemingly contradictory musical styles and systems influence and ultimately distort each other. In certain instances, tonal references are fleeting and incidental — seemingly unconscious on the part of the composer. In other cases, the composer consciously appropriates and manipulate tonality, instigating a struggle that virtually drives the music. Stravinsky's neo-classical works fall in this latter category. In his book Remaking the Past, Joseph Straus examines the complex impulses behind modern composers' appropriation of the past and addresses the challenging theoretical implications. He writes:

> [Modern composers] looked back on a classical heritage grown increasingly hallowed by the passage of time, its stature enhanced by greater distance and by the deep stylistic and structural gulf between the musical periods.
>
> In these historical circumstances it is not surprising that composers felt a deep ambivalence toward the masterworks of the

[1] Stravinsky and Craft, Dialogues, p. 108.

> past. On the one hand, those works are a source of inspiration, a touchstone of musical value; on the other, they are a source of anxiety, an inescapable burden.[2]

In an effort to discover "a twentieth-century common practice,"[3] Straus examines numerous strategies by which modern composers have reinterpreted tonal models. *RP* is replete with such revisionary strategies. Much of my analysis will be devoted to identifying these strategies and thereby explaining the work's remarkably varied harmonic structure. But it is also necessary to identify and analyze the implications of Stravinsky's use of tonality, just as Allanbrook identifies the musical types that populate and lend expressive meaning to Mozart's operas. Once identified, the traditional connotations of the Classical model (if not its "meaning") can be concretely assessed, establishing a basis for expressive interpretation. While it is difficult to sort out these often elusive and contradictory tonal and post-tonal[4] elements, it is not impossible.

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[2] Straus, Remaking the Past (Cambridge, MA: Harvard University Press, 1990), pp. 5 & 9.

[3] ibid., p. 17.

[4] I use the word tonal to describe music in which the hierarchical relationships of tonic and dominant play a functional role. This could refer to a passage which may be analyzed as a composed-out triad with a 3-1 linear descent, or a fleeting V-I cadence. Post-tonal refers to music in which, to various degrees, the functional relationships of tonal music are absent. This could refer to chromatic harmonies related through the inversion of a set class or a static diatonic harmony without functional support. There is a temptation to view these terms as antipodes, which they are not. Besides refering to all varieties of atonal, non-tonal, and serial music, the term post-tonal may also refer to music in which tonal elements have been appropriated and distorted to the point that they no longer function tonally. Such is the case in much of Stravinsky's neo-classical music, and indeed most of the music of *RP*. Consequently, tonal and post-tonal elements can exist side by side, and even simultaneously at different structural levels of a composition.

Because the tonal system has been so firmly established, its conventions tend to stand out. Once these tonal elements are identified, one may then assess their function within the larger post-tonal context.

In fact, most early commentaries on Stravinsky's opera, both appreciative and contemptuous, focused almost exclusively on his unabashed manipulation of tonality.[5] Only recently have scholars looked beyond Stravinsky's overt tonal allusions, discovering a fabric of recurring motives and harmonies governed more by intervallic structure than by tonal function.[6] These analyses imply two general analytical orientations — 1) in which the harmonic language may be understood primarily in terms of major/minor tonality with certain adjustments (accounting for the "neo" in "neo-classical"), and 2) in which intervallic structure and motivic transformation play a dominant role in governing the harmonic structure. Both perspectives afford important and crucial insights into the score.[7] In

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[5] Those appreciative include Paul Griffiths, Igor Stravinsky - *The Rake's Progress*, p. 99 and Mason, "Stravinsky's Opera," p. 6. Those contemptuous include Deryck Cooke, "*The Rake* and the 18th century," The Musical Times, 103 (1962), pp. 20-3.

[6] Mary Hunter, "Igor and Tom: History and Destiny in *The Rake's Progress* ," The Opera Quarterly VII/4 (Winter 90-91), pp. 38-52; Joseph Straus, "The Progress of a Motive in Stravinsky's *The Rake's Progress*," The Journal of Musicology 9/2 (Spring 1991), pp. 166-85; Straus, Remaking the Past, pp. 156-9, and Straus, Introduction to Post-Tonal Theory (Englewood Cliffs, NJ: Prentice Hall, 1990), p. 10.

[7] I should mention that in the general analytical literature on Stravinsky, a third harmonic orientation has been suggested — principally by Arthur Berger, Pieter van den Toorn and Richard Taruskin — which focuses on the role of the octatonic collection and its interpenetration with the diatonic collection. However, in spite of Stravinsky's prounounced use of some typical octatonic set classes (which I will discuss in detail in chapter two), this collection plays no major role in the harmonic structure of the opera.

an effort to lay out a flexible theoretical approach that accounts for the interaction between tonal and post-tonal elements in the various numbers of the opera (and by extension, much of Stravinsky's neo-classical *oeuvre*), I will closely examine three emblematic passages, each representative of various degrees of tonal and post-tonal interaction: Anne's traditional Lullaby in Act III/iii (R254); the whores' half conventionally tonal and half bewilderingly dissonant chorus in Act I/ii (R160-162); and the chromatically meandering Prelude to the Graveyard scene, Act III/ii.

To analyze such music, one must first parse out the tonal elements from the post-tonal, allowing room for the necessary interplay and ambiguity implied by such a coupling. For overtly tonal passages, I will apply a fairly strict voice-leading model in the manner of Heinrich Schenker in an effort to measure the extent to which Stravinsky has assumed tonal conventions. In his discussion of attempts to apply Schenker's analytical method to post-tonal music, James Baker suggests this useful procedure:

> . . . [O]ne must ask: In what way is this piece tonal? To what extent and how do atonal procedures also determine its structure? Moreover, if one is to discover the extent to which a piece is tonal, one must begin as a "strict constructionist," examining every possibility for interpreting the structure in conventional terms.[8]

Van den Toorn cites only one instance of the octatonic collection in *RP* : Act II/iii: R189-93. See The Music of Igor Stravinsky (New Haven: Yale University Press, 1983), pp. 45-6.

[8] James Baker, "Schenkerian Analysis and Post-tonal Music," in Aspects of Schenkerian Theory ed. by David Beach. (New Haven: Yale University Press, 1983), p. 168.

In fact, Schenker himself offered just such a "strict constructionist" analysis of 16 measures of Stravinsky's *Concerto for Piano and Winds*,[9] which, "for all that it bristles with normative irrelevances, provided the most revealing insight into the procedures of Stravinsky's compositions."[10] Instead of accepting Stravinsky's dissonances and contradictory voice leading as a given, he forces the passage to conform to his own conservative tonal model. The result is a rather unexceptional sounding tonal middleground graph that resembles Stravinsky's music, but deliberately omits elements that violate common tonal practices. Schenker admits that his outline does not actually correspond to Stravinsky's music, but that it "could stand for what Stravinsky might have had in mind."[11] By offering an analysis that conforms artificially to tonal conditions, Schenker identifies a viable, internally consistent tonal prototype. The extent to which Stravinsky's music departs from that tonal prototype reflects the extent of Stravinsky's post-tonal revisions. Schenker has, in effect, separated the tonal "wheat" from the post-tonal "chaff." Indeed, if one reads through his rather apoplectic tone, Schenker's

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[9] "Resumption of Urlinie Considerations," in Sylvan Sol Kalib, Thirteen Essays from the Three Yearbooks Das Meisterwerk in der Musik by Heinrich Schenker: An Annotated Translation (Phd. dissertation, Northwestern University, 1973), Vol. 2, p. 164.

[10] Milton Babbitt, "Remarks on Recent Stravinsky," Perspectives of New Music, 2 (1964), p. 36.

[11] "Resumption of Urlinie. . .," p. 213. Schenker's original German sentence reads: *"In dem vorliegenden Beispiel könnte bestenfalls folgende Anlage als das bezeichnet werden, was Strawinsky vorgeschwebt haben mag."* See Das Meisterwerk in der Musik: Ein Jahrbuch, Drei Teile in einem Band (New York: Georg Olms Verlag, 1974), vol. 2, p. 38.

description of the passage provides an insightful assessment of Stravinsky's procedure:

> Figure 31 shows spans. . . of the simplest kind. . . Stravinsky contradicts this outline everywhere he possibly can . . through the progression of outer voices . . . which obstructs every formation in spans, . . . [and t]hrough the fact that he brings no differentiation in his motives, . . . [and] allows the tones to constantly appear in dissonances against each other.[12]

Schenker describes the passage as well as or better than anyone, yet he utterly fails to appreciate that Stravinsky fully intended to "obstruct every formation in spans" and "allow tones to constantly appear in dissonances against each other." Tonal elements in Stravinsky's neo-classical music were never meant to be heard in their original tonal context. On the contrary, Stravinsky appropriates tonal music in order to transform it. There is a fundamental technical and aesthetic distance between common period tonal practice and Stravinsky's appropriation of tonality beginning in the early 1920's.[13] Recognizing this cultural gap is crucial to any assessment of the tonal elements in Stravinsky's neo-classical music, and Schenker's refusal to do so accounts for his misguided assessment. More recently, music theorists have made systematic attempts to construct internally consistent and reliable voice-leading

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[12] ibid., p. 214.

[13] Donald Mitchell contrasts "Stravinsky's special sense of the 'past'" with "Schoenberg's no less special sense of 'immediate tradition.'" See The Language of Modern Music (London: Faber and Faber Limited, 1963), p. 105. In his discussion of neo-classicism as it relates to Stravinsky and Schoenberg, Alan Lessem attributes this "wide gulf" (as Mitchell puts it) to Stravinsky's "status as an outsider to Europe's musical heritage." See "Schoenberg, Stravinsky, and Neo-Classicism: The Issues Reexamined," The Musical Quarterly 68 (1982), p. 532.

models through which the referential nature of Stravinsky's tonal elements is more fully recognized.[14] However, there have been no systematic applications of this kind to *RP*, which, by any account, offers the greatest number of possibilities for studying Stravinsky's technique of tonal allusion.[15]

In the following analyses, I will simultaneously examine Stravinsky's appropriation of the tonal past *and* his post-tonal revision of that past. In so doing, I hope to discover not only insights into the composer's compositional strategies, but also insights as to how and why he "progressed" even as he "returned."

Act III, scene iii - Anne's Lullaby

In certain isolated passages, Stravinsky adheres closely to tonal convention. Anne's Act III Lullaby is perhaps the clearest example. The passage entails a large-scale motion from tonic to dominant in A-flat major, with a subsidiary motion to the mediant C minor (see Example 1-1). Accompanied by only two flutes, Anne sings this simple song three times unaltered, each followed by a different and significantly less conventional choral response by the inhabitants of Bedlam. Therefore, the Lullaby stands out in striking contrast to its surroundings by virtue of its simplicity and relative tonal purity (I

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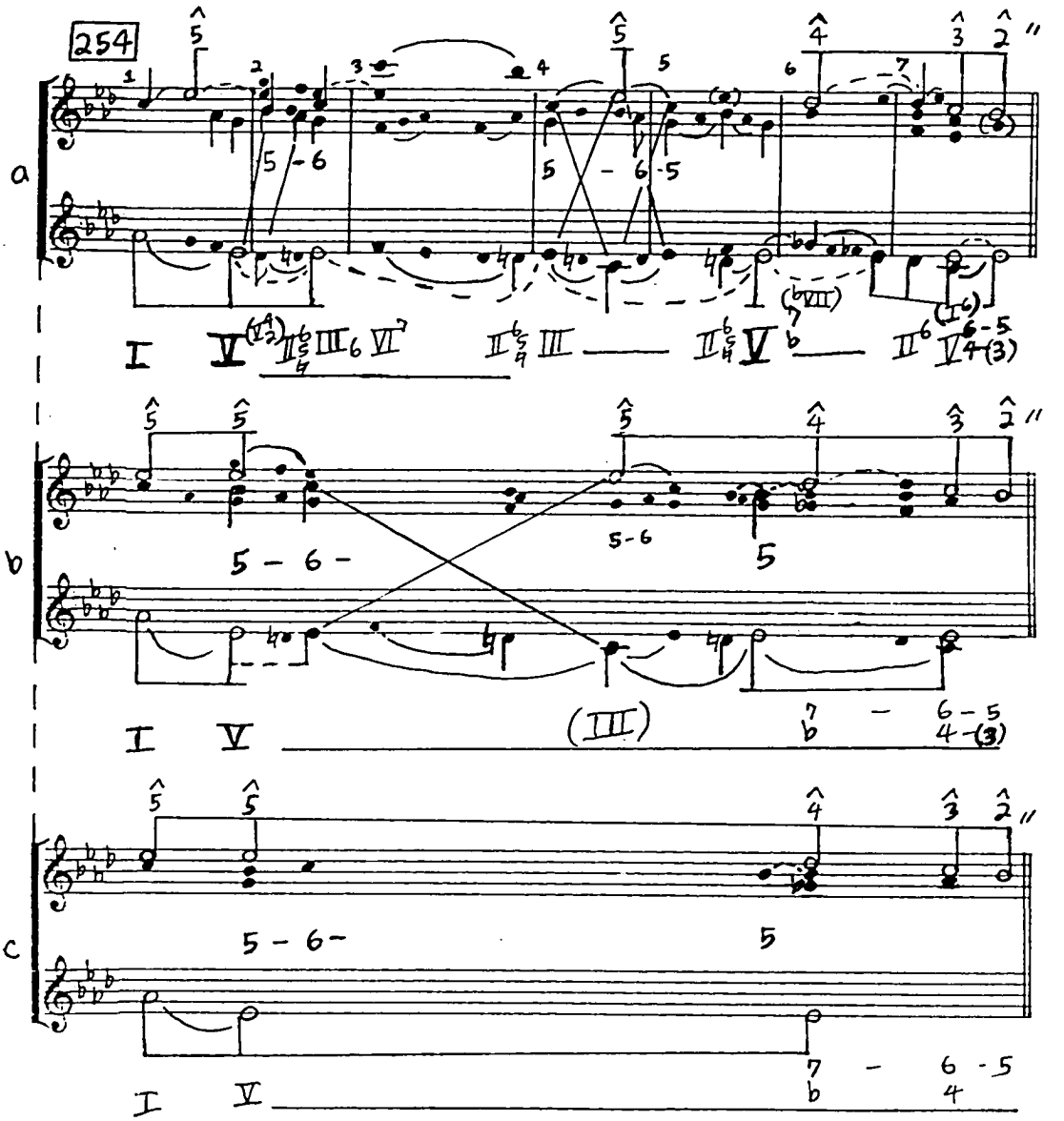
[14] Straus, "A Principle of Voice Leading in the Music of Stravinsky," Music Theory Spectrum 4 (1982), pp. 106-124, and "Stravinsky's Tonal Axis," Journal of Music Theory 26 (1982), pp. 261-290; Agawu, "Stravinsky's *Mass* and Stravinsky Analysis," Music Theory Spectrum 11/2 (1989), pp. 139-163.

[15] Straus incorporates voice-leading graphs in "The Progress of a Motive . . ." pp. 178 & 182-4 and Remaking the Past, p. 160, but his central focus in the former is Stravinsky's manipulation of the motive C-C#, and in the latter the role of set-class 0147.

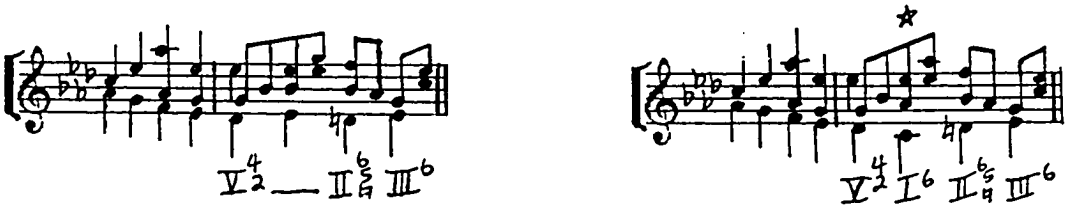
will discuss the relationship between Anne's Lullaby and the choral responses in considerable detail in Chapter 3).

Example 1-1. Anne's Lullaby, III/iii - R254.



However, in subjecting this simple tonal passage to a rather strict tonal analysis, one encounters certain details which defy tonal conventions. For instance, the leading-tone G is conspicuously absent from the final half cadence. And instead of resolving the flute II d flats^{1} in m. 2 and 3 to c^{1} as part of a $V^{4/2}$-I^{6} progression, Stravinsky diverts the d flat^{1} to d natural^{1} (and thereby toward the dominant e flat^{1}) on both occasions (see Example 1-2).

Example 1-2. III/iii - R254, mm. 1-2. normative voice leading

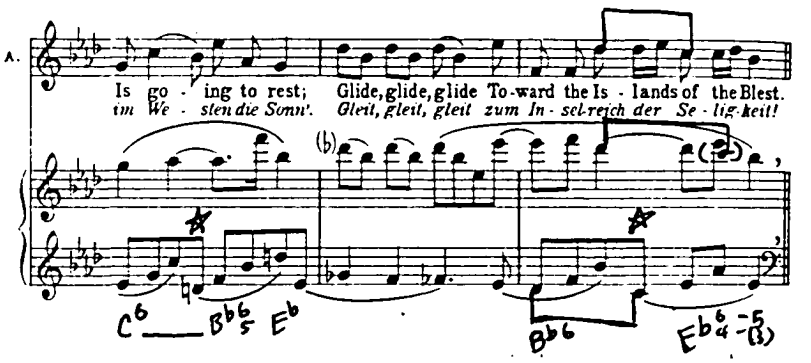


Such a diversion, if not entirely unheard of in tonal music, is certainly rare, and in the context of a simply scored lullaby, the progression is slightly unsettling.

Another feature that subtly undermines the harmonic clarity of the passage is the rhythmic displacement of the flute II arpeggiations in mm. 5 and 7. In m. 5, the harmony seems to progress from C^{6} (beats 1-2) to B flat$^{6/5}$ (beat 3) to E flat (beat 4). The flute II d natural^{1}, the bass note of the B flat$^{6/5}$, appears one eighth too soon, creating a sense of syncopated harmonic rhythm. A similarly early entrance of the flute II c^{1} in m. 7 results in a brief clash with the D flats in the voice and flute I. And while the voice progresses to c^{2} in beat 3, the flute I d flat^{3} is suspended without resolution at all. In fact, the progression from D flat to C, diverted in mm. 2-3, is implied in all three voices in m. 7. By anticipating the resolution to c^{1} in the flute II and skipping over c^{3} altogether in the

flute I, Stravinsky misaligns the three voices, and thereby mitigates this redundancy. Through the process of *displacement* (or *misalignment*),[16] he blurs the harmonic progression in m. 5 and creates an intrusive dissonance in m. 7 (see Example 1-3).

Example 1-3. III/iii - R254, mm. 5-7.



An examination of Stravinsky's sketches[17] of the Lullaby reveals the process of displacement as it unfolds in the composer's mind. The versions of both mm. 5 and 7 reveal a greater degree of rethinking compared to the rest of the passage, the initial sketches of which closely resemble the final version. In fact, mm. 4-5 and 7 are the only passages that he bothers to sketch more than once before

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16 Schenker's primary criticism of Stravinsky's *Piano Concerto* revolves around just such displacements or misalignments: "[The] effect [of the third span a^2-$g\#^2$-$f\#^2$] is nullified by the b^1 of the middle voice, in place of $c\#^2$ (the same situation occurs at the repetition of the third span. . .); in bar 6, g appears in the lower voice, instead of b, which destroys the chord which is due; and [in] bar 7, g# is seen in the lower voice, but it is thwarted at the same time in the upper voices by c^2 and g^2, and so forth." ("Resumption of Urlinie . . .," p. 214).

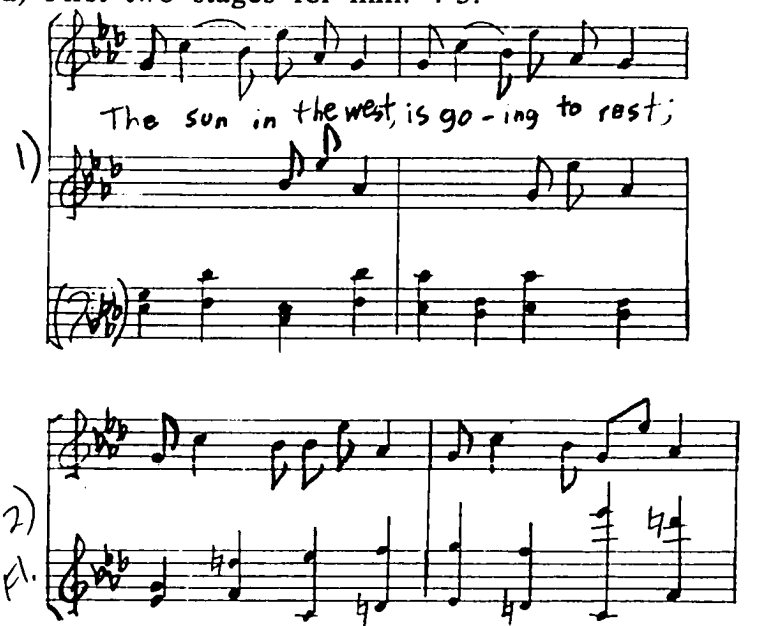
Lynn Rogers observes a similar procedure, which she calls *phrase staggering*, in her analysis of Stravinsky's *Violin Concerto*. See Stravinsky's approach to counterpoint (Ph.D. dissertation, Princeton University, 1989).

17 I am indebted to Joseph Straus for his diplomatic copy of the sketches for Anne's Lullaby.

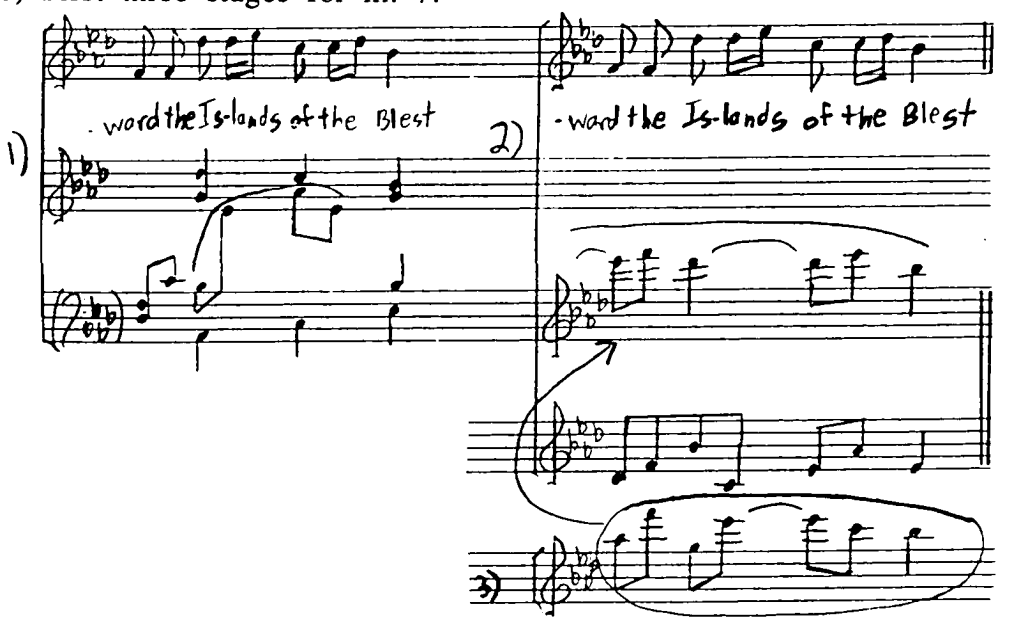
notating the final version. In Example 1-4a, I reproduce the first two sketches of mm. 4-5.

Example 1-4. Sketches for Anne's Lullaby, III/iii (Paul Sacher Foundation, Microfilm #112-0645).

a) First two stages for mm. 4-5.



b) First three stages for m. 7.



While there is some doubt as to the clef Stravinsky intended in the lowest stave of the first sketch, the replication of that passage in the upper stave of the second version confirms that the original is in bass clef. In both versions, the melody and harmony is essentially the same in both measures, and the harmony changes on every quarter note. Only in the final version does Stravinsky transform m. 5 into a consequent resolution of the antecedent B flat$^{6/5}$ of m. 4 (see ex. 1-3). However, by anticipating the motion to d^{1}, he slows the harmonic motion in beats 1-3 from three chords to two, and by delaying the e flat^{1} until the last eighth note of the measure, he subtly obscures the identity of that resolution (E-flat major or G minor?).

In Example 1-4b, Stravinsky's original sketch of m. 7 reveals the glaring redundancy of the threefold motion from D flat to C on beat 3. The flute I replicates the soprano voice, without the escape tones, while the lowest voice moves concurrently to C_1. Just below (and presumably sketched after) his final version, Stravinsky even toys with the idea of skipping over the d flat^{3} altogether in the flute I. The absence of the leading tone in the concluding cadence (notice in ex. 1-4b that Stravinsky originally included the g^{1}), the peculiar path of the D flat to C, and the rhythmic and harmonic ambiguity in mm. 5 and 7 are subtle anomalies that betray a degree of artificiality in this Lullaby. While the pastoral text and unpretentious scoring project the image of that idyllic prototype, one is left with the distinct impression that Anne's Lullaby to poor Tom is as illusory as his idealized vision of Venus.

Act I, scene ii Chorus - "How sad a song"

Anne's Lullaby is a rare exception in its conformity to tonal convention. While tonal allusions abound in the rest of the score, tonal analysis, as such, never fully accounts for an entire passage. In his scathing attack on Stravinsky for his "uncomprehending plagiarism of Mozart's mere stock-in-trade,"[18] Deryck Cooke cites several remarkable allusions and near quotations that offer useful means of analytical comparison. He observes that the repeated opening measure of the whore's chorus "How sad a song" (I/ii; R160-162) is a nearly exact quotation of the repeated opening measure of Mozart's quintet "Di scrivermi" from Act I of *Così fan tutte*.[19] Like Schenker, Cooke accurately describes the modern composer's procedure, but completely fails to appreciate the method in his apparent madness:

> . . . Mozart uses his one-bar accompaniment figure to . . .[build] a short dynamic movement by repeating it six times and then modulating expressively with it through another 14 bars before returning to the tonic, whereas Stravinsky uses the cliché for its own sake, making a tiny static section by repeating it ten times in the tonic, and then stopping abruptly [see example 1-5].[20]

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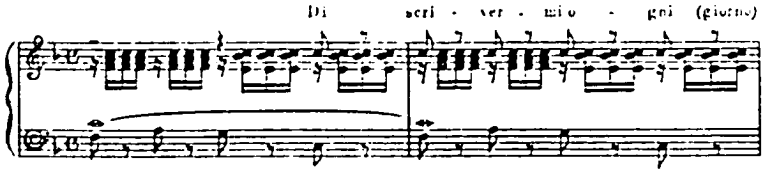
[18] Cooke, "*The Rake* and the 18th Century," p. 22.

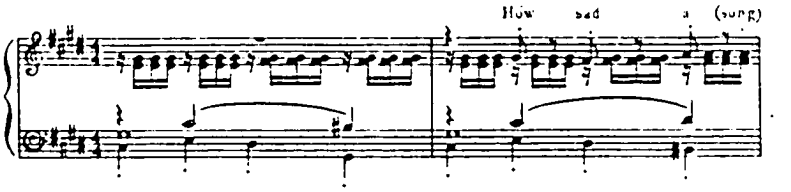
[19] Prior to the premiere, Auden had worried about several "obvious resemblances . . . between the first Bedlam aria and an aria in *Semele;* between the *fandango* in the graveyard scene and, well, a *fandango;* and between "Love that too quickly betrays [sic]," "Dear Father Truelove [sic]," the whores' chorus, and three pieces in *Così: "Un aura amorosa," "Vorrei dir,"* and *"Di scrivermi ogni giorno."* See Robert Craft, Chronicle of a Friendship, p. 26.

[20] "*The Rake* and the 18th Century," p. 22.

Example 1-5. Mozart, *Così fan tutte* - Act I Quintet, "Di scrivermi," mm. 1-2.



The Rake's Progress, I/ii - R160, mm. 1-2.



Cooke's incredulity at Stravinsky's reuse of Mozart's music stems from a refusal to recognize the dramatic potential in the tension between classical prototypes and neo-classical allusions. This musical example yields an especially fruitful comparison, because Stravinsky initially presents Mozart's progression without any post-tonal adjustments, and only gradually overlays dissonances and incongruent voice-leading above the repeating bass. Thus, the most simple of tonal progressions ($I\text{-}V^7$) is transformed in the course of ten measures into a rather dissonant and confusing imitation of tonality. When Mother Goose interrupts at R-162, the progression to D major is, in the absence of any direction-creating leading tones, weak by tonal standards.

As we have seen from the sketches for Anne's Lullaby, Stravinsky's successive workings of a given passage can reveal a similar process of post-tonal adaptation of a traditional tonal progression. Straus writes:

> The initial sketches tend to be rhythmically square and harmonically rudimentary. They often have the appearance of a simple, classical prototype. As musical ideas are brought to a more final state, the sketches often become increasingly free

> rhythmically and increasingly remote from classical tonal norms harmonically. A significant aspect of Stravinsky's compositional process. . . involves the explicit transformation of relatively traditional tonal prototypes. . . [T]he "classical" often comes first chronologically, and the 'neo' emerges as the compositional process unfolds.[21]

Indeed, in this ten-measure chorus, the "neo" emerges as the composition itself unfolds. One may even assert that Stravinsky's music, at some level of interpretation, alludes to the compositional process that Straus describes. The chorus is a setting of the brothel whores' sympathetic response to Tom's plaintive song about his betrayal of Love (Anne). Of course, the whores represent precisely the object for which Tom is about to betray his chaste sweetheart. They are not concerned with Tom's moral dilemma, but only attracted to the sensual quality of his sadness. As they openly beckon him to "drown your sorrows in these arms," the music slips ever further from its tonal mooring. As the opening C# minor yields to post-tonal dissonance, the whores' empathy yields to their amoral pursuit of Pleasure, identified most completely with Mother Goose herself, who insensitively barges in to claim Tom for herself.

A comparison to the obvious prototype from Mozart's *Così* is especially revealing here. The quintet "Di scrivermi ogni giorno" depicts the half-touching, half-comic parting of the pair of lovers, Fiordiligi and Guglielmo and Dorabella and Ferrando, while the amused Don Alfonso comments on the side. Of course, the men are not really leaving, and the women's sorrow, as will be revealed during the course of the opera, is less profound than it is profuse. With this in mind, the repetitions of the opening measure set a

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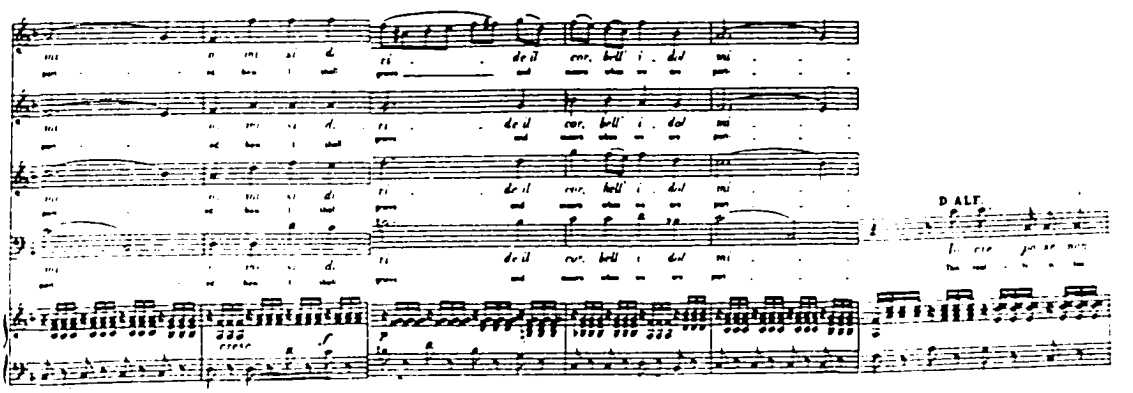
[21] "Progress of a motive. . .", pp. 165-6.

rather obsessive and thereby comic tone, in keeping with the ladies' insistence that their lovers write daily. However, as Cooke correctly observes, Mozart modulates *expressively* to the dominant C major through another 14 bars before returning to the tonic opening. In abandoning the static tonic repetition, the characters plumb a new depth of expression. As Mozart abandons the emotionally wooden opening measures, the listener is compelled to take seriously the sincerity of all four lovers. Contrary to Stravinsky's whores, whose empathy is betrayed as lust, the shallowness of Mozart's lovers unexpectedly yields to a surprisingly rich depth of feeling (see Example 1-6).[22]

Example 1-6. Mozart, Così fan tutte, Act I Quintet, "Di scrivermi," mm. 17-22.



Mozart's expressive transformation is rather easily analyzable as a tonicization of the dominant through the sensitive use of chromatic passing tones. In tracing Stravinsky's less noble

[22] Edward Dent even notices in this expressive passage a foreshadowing of the composer's sacred chorus *Ave verum corpus*, K. 618, written a year and a half after the premiere of *Così*. (See Mozart's Operas, p. 196.)

transformation, the analytical challenge is to parse out the functionally tonal chords from non-functional dissonant sonorities. It is inevitable that some sonorities may — indeed must — be interpretable in either system, rather like pivot chords in a tonal modulation. In his commentary on Schenker's analysis of Stravinsky's *Piano Concerto*, Robert Morgan asserts that the fact that dissonant sonorities in Stravinsky, such as the G#-A-G natural-C#-E in m. 8, are "heard as 'wanting' to resolve to a consonance" does not invalidate the structural role of the dissonance.[23] He suggests that "Stravinsky's procedures should perhaps be considered an intermediate stage between the traditional use of dissonance and a more radical one, in which the dissonant sonority completely loses its tendency toward resolution."[24] I assert that each stage in such a gradual emancipation of dissonance — tonal, intermediate and post-tonal — can be traced in Stravinsky's ten-measure chorus (see Example 1-7).

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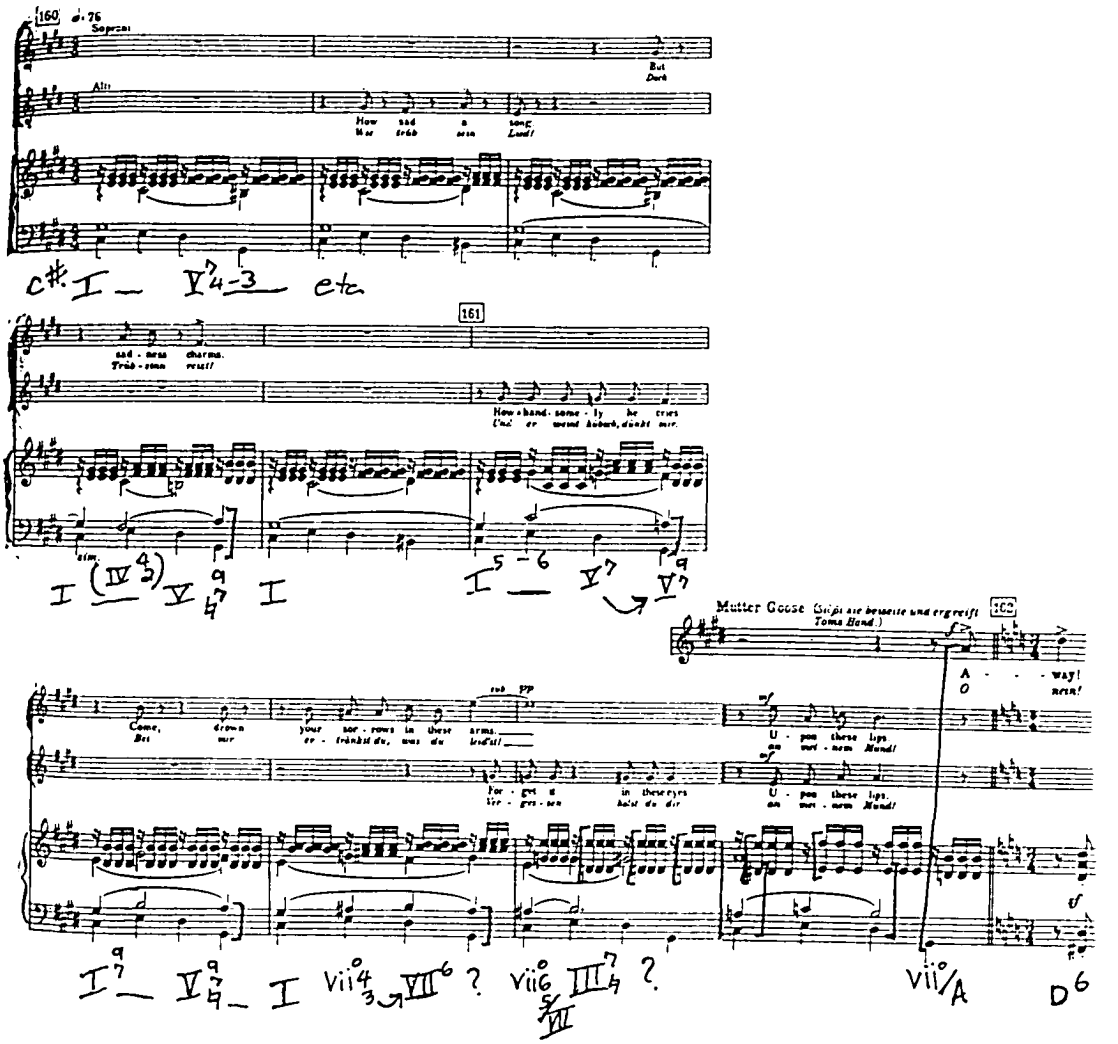
[23] Robert P. Morgan, "Dissonant Prolongation: Theoretical and Compositional Precedents," Journal of Music Theory 20 (1976), p. 87. Morgan actually argues that such dissonant structures may be prolonged, an assertion that need not concern us here.

[24] ibid., p. 88.

Example 1-7. Whore's Chorus, I/ii - R160-2.



After three repetitions of the same tonal progression, Stravinsky introduces new dissonances in m. 4 — the horn's $F\#_1$ and A_1. The resulting progression — $I\text{-}IV^{4/2}\text{-}V^9$ — poses little challenge to the control of tonic C# minor, even in the absence of the leading-tone B#. In m. 6, Stravinsky actually intensifies this progression by

introducing an applied V^7 in beat three to the V^9 in beat four. However, in m. 7, the unresolved B and D# in the upper strings contradict the tonic C# and E. In spite of these distractions, the sense of tonal direction still persists in m. 8, especially since the "sensitive" tones (to borrow a term from Rameau) of the applied $VII^{\circ 4/3}$ in beat two (E, A# and G) resolve "correctly" to B major in beat three.

It is at this point that things go awry, tonally speaking. The $VII^{\circ 7}$ chord {E, C#, G and A#} recurs in beat four against the recurrent bass G#. When combined, the two functional components of this sonority ($VII^{\circ 7}$ of B major and V of C#) negate each other. E, G, A# and C# are retained in m. 9, but this time, no resolution to B major (except for the single B in the horn) follows. Instead one encounters an E $minor^7$ chord (IV in B major?). Any vestige of tonal function dissipates when the g^1 of the violin II skips to d $natural^1$ and then to $d\#^1$ against a recurring e^2 in violin I. The major and minor ninths between the two violin parts are retained in parallel movement in m. 10, obscuring even latent triadic structure. And while the upper violin voice follows a clear linear progression to $f\#^2$, the violin II part meanders between $d,^1$ $d\#^1$ and e^1, undermining clarity of voice leading and the structural primacy of any of the three notes. In the final beat of m. 10, Mother Goose sings what would be V-I root movement to the following D major, but the VII°-built-on-G# in the accompaniment contradicts, and essentially negates any feeling of directed progression. Stravinsky essentially slips down to D major without any apparent functional preparation.

In general, traditional dissonances in the "tonal" beginning ($g\#^1$ against $f\#^1$ in V^7 of C# and the passing a^1 against $g\#^1$ in m. 6) become

normative with increased use. For instance, the V^9 in mm. 4, 6 and 7 features the traditionally dissonant $G\#_2/A_1$. When the A_1 moves to $A\#_1$ and g natural^1 is introduced against $G\#_2$ in m. 8, the sonority no longer retains its original function as V of C#. In m. 7, the superimposed $b^1/d\#^1$ over C# minor may be interpreted as a retention of the previous G# minor or an anticipation of the next. That ambiguity adds to the increasingly ambivalent impact of the sevenths and ninths. By the time the parallel ninths in the violins arrive in m. 9, that dissonant interval, which according to tonal practice demands "sensitive" treatment, has been desensitized and placed at the center of the new harmonic vocabulary. One may say that the interval of the ninth has been *centralized*.[25]

Conversely, one might assert that because of the unabashedly tonal beginning, dissonant structures that under post-tonal circumstances possess little or no tonal implications here remain susceptible to the pull of tonic. Once again, by strictly applying the procedures of tonal analysis, the extent to which tonic C# minor exerts its control over the passage — i.e. is prolonged — may be concretely assessed. Just as Schenker, artificially imposing the rules of his tonal analytical model, proposed an outline that "could stand for what Stravinsky might have had in mind" in the passage from the *Piano Concerto*, so one could similarly hypothesize a strict tonal model that may function behind the post-tonal surface of the later measures of this chorus.

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[25] Joseph Straus includes *centralization* in his list of revisionary strategies in Remaking the Past, p. 17.

What is most apparent when one examines this passage in strictly tonal terms is the increasing disjunction between the ostinato bass and the upper voices. By m. 9, one may even assert that the bass and upper voices represent *discernibly* separate strata, each subject to separate tonal interpretations. Dissociating strata of a musical texture for purposes of analysis is always a risky proposition. However, not only is this bass line presented in a unique register (the lowest) and articulation (pizzicato), the fact that it repeats a static pattern isolates it from the progressive upper voices.[26] But here, it is not even necessary that the disjunction be heard as such, only that the departure from normative tonal practice be discernible. Analyzing the upper voices *without* the bass reveals a relatively coherent and typical progression from C# minor to its relative E major, beginning with the appearance of B natural instead of B# in m. 4. It is the superposition of this modulation to E major over the static C# minor ostinato that produces the dissonant harmonies dominated by the interval of the ninth (see Example 1-8). The ostinato neutralizes what Cooke might have called an "expressive" modulation, while the otherwise static ostinato is itself transported into a richly dissonant harmonic world by the

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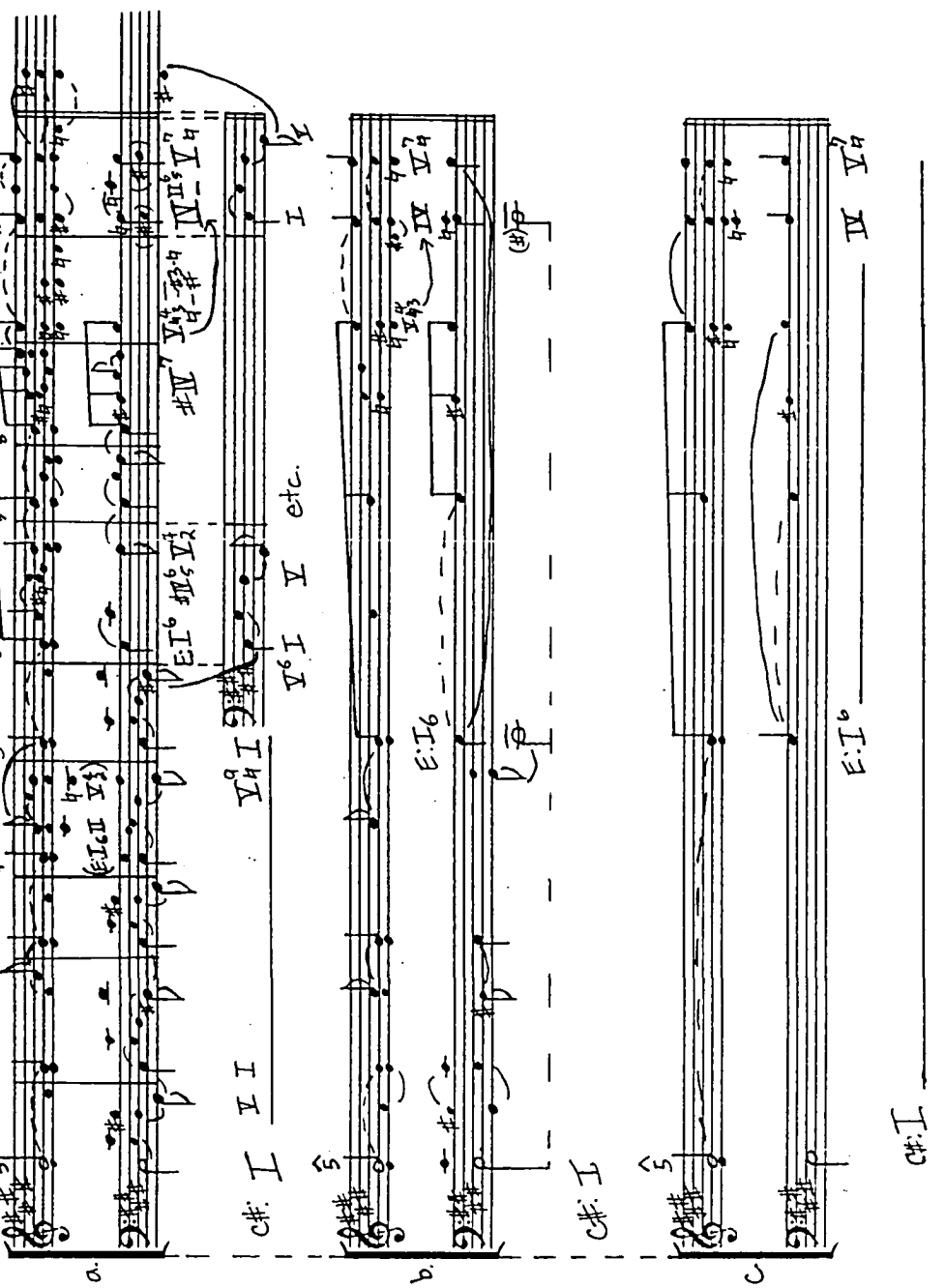
[26] Lynn Rogers has discovered a similar technique of *dissociation* in the composer's "Russian and middle periods." She writes, "Dissociation describes the relationship between superimposed layers of contrasting musical materials. Each layer, which consists of one or more lines, may be distinguished by instrumentation, motivic material, and rhythmic organization. To be dissociated, the simultaneously sounding layers must be harmonically independent. The pitch organization of each must be distinct and self-sufficient. Dissociation can be thought of as a compositional alternative to the integration of tonal counterpoint." Quoted from the abstract of Stravinsky's alternative approach to counterpoint.

Example 1-8. I/ii - R160-2.



adventurous upper voices. This technique may be described as the synchronic *compression* of elements that traditionally appear diachronically.[27]

Prelude to Act III, scene ii

As demonstrated in the latter half of the previous example, Stravinsky usually avoids unaltered triads. In fact, altered triads, non-triadic harmonies (both chromatic and diatonic) and fixed chromatic motives often recur with such regularity that they play a structural role. For example, the tetrachord C flat-B flat-G-E and its transposition at F-E-D flat-B flat — both members of set-class 0147[28] — predominate during Nick's descent into hell (III/ii. - R201-202).[29]

The passage in *RP* in which such post-tonal structures dominate to the apparent exclusion of tonal elements is the Prelude

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[27] There are numerous examples in Stravinsky's neo-classical works in which he synchronically juxtaposes tonal elements from keys related by a third. See Straus's discussion of the F major/A minor juxtaposition in the *Serenade in A* (Remaking the Past, pp. 149-55) and C major/E minor in the *Symphony in C* (ibid., pp. 98-103).

[28] In this paper, set-classes are identified by their prime form (the most compressed representation of the set class), e.g. a trichord built in perfect fourths or fifths (F-C-G) will be identified as 027. I use the set class label not simply because it is less awkward than calling these chords E minor and B flat minor triads with added augmented fourths. The terms E minor and B flat minor imply a tonal context which may be inappropriate. In the course of this study I will freely refer to harmonies both in terms of set class and tonal function, whichever is appropriate. In fact, I will refer to some harmonies in both ways. For example, in Chapter two I refer to the tetrachord B-D-E#-F# at R183 of II/ii (Anne's aria) as both a member of set-class 0147 and as tonic in the key of B minor. Even with the added E#, this chord clearly functions as a structural tonic from R183 to R190, yet Stravinsky takes advantage of its intervallic properties to effect a distinctly non-tonal harmonic movement (I demonstrate this in Example 2-3).

[29] See Straus, Remaking the Past, p. 160.

to the Graveyard scene (III/ii). This was the first music that Stravinsky composed for the opera, completing it even before he had received any of Auden's libretto and less than a month after he and Auden had completed the original scenario during their ten-day meeting in Hollywood.[30] Stravinsky's eagerness underscores the central importance of the Graveyard scene, and one is tempted to assign an equally central role to the music of the Prelude. However this passage stands alone in the opera in its general avoidance of stylistic allusions (with the exception of a motivic quote that will be discussed shortly). Economically scored for string quartet, the quiet, dark and austere prelude projects no overt clichés from operatic history and scarcely any unambiguous tonal references, except for the F-major chord that finally emerges from the unrelenting chromaticism. This tonal and stylistic austerity aptly evokes the frightening and alienated world to which Nick has led Tom. Indeed, the graveyard is the end of Tom's Progress, and therefore an extreme point in the opera, both dramatically and musically.

So it is appropriate that the Prelude also represents an extreme in its distance from the tonal models with which Stravinsky flirts throughout the rest of the opera. Analysts have generally concluded that "[t]here is a hint of B-flat centricity in the opening of the prelude with a motion to F at the end, but for the most part, the music is post-tonal in its construction, emphasizing contextual set-class

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[30] According to Craft, Stravinsky dated his "summary sketch score" of the Prelude *11 December 1947* . Stravinsky and Auden's original outline for the opera is dated *Hollywood, Nov. 18/1947* - "A note on the sketches and the two versions of the libretto," in Paul Griffiths, ed., Igor Stravinsky: *The Rake's Progress*, pp. 19 & 27.

relations to the virtual exclusion of tonal functionality."[31] One observer even relates the "crab-like" chromatic movement of the prelude to Stravinsky's later serial period.[32] And while the B-A-C-H motive in m. 3 (B flat-A-C-B) represents a conspicuous allusion to 18th-century music, it is striking and indicative that this one allusion is primarily motivic and *not* notably tonal (though it could be and was originally used in a tonal context).[33] Considered in the context of the Prelude, the B-A-C-H motive, a chromatic cambiata figure, is uniquely suited for the "crab-like movement" and "sluggish, dark, slipping harmony."[34] In fact, there are nine such instances where a chromatically filled-in minor third (0123) is stated linearly, and in only two instances does Stravinsky present 0123 in stepwise motion (violin II and viola in m. 12). The remaining seven appearances take one of three distinct (i.e. not stepwise) shapes — 1) <+1,-3,+1>; 2) <+1,+2,-1>; 3) <+2,-3,+2> — each potentially subject to inversion, retrograde and retrograde inversion (see Example 1-9).

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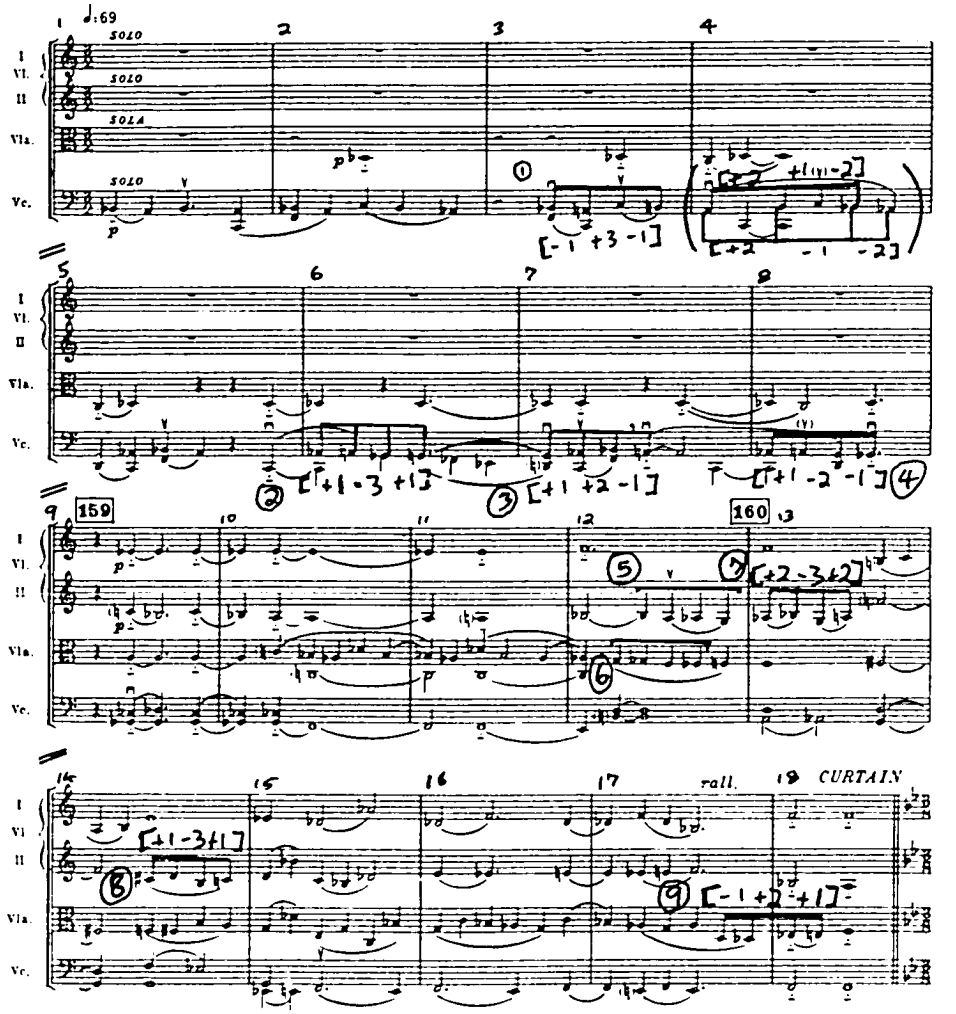
[31] Straus, "The Progress of a Motive . . .," p. 174.

[32] Paul Griffiths, "In an operatic graveyard: Act III scene 2," in Griffiths, Igor Stravinsky: "The Rake's Progress," p. 77.

[33] See Mary Hunter, "Igor and Tom. . .,"pp. 38-39. The progenitor of this oft-used motive is a third subject in Contrapuntus XIX of J. S. Bach's *Kunst der Fuge* - according to his son, C. P. E., the final music the composer ever wrote. In its original context, the chromatic alteration from B flat to B can be attributed to the raising of the sixth scale degree in the melodic form of D minor.

[34] Griffiths, "In an operatic graveyard . . .," p. 174.

Example 1-9. Prelude to the Graveyard scene, II/ii.[35]



35 I refer to melodic shapes in terms of ordered pitch intervals, e.g. up a half step = +1; down a whole step = -2, etc. Any shape (e.g. <+1,+2,-1>) may be inverted: <-1,-2,+1>; retrograded: <+1,-2,-1>; or retrograde inverted: <-1,+2,+1>. The form of the shapes that I cite as standard has nothing to do with primacy in the music. I simply begin each with +1.

For instance, the B-A-C-H motive <-1,+3,-1> in m. 3 is an inversion of <+1,-3,+1>, the prime form of which appears in m. 14. The prime form of <+1,+2,-1> in m. 7 is followed by its retrograde <+1,-2,-1> in m. 8 and its retrograde-inversion <-1,+2,+1> in mm. 17-18. In addition, one may interpret the cello part in m. 4 as interlocking versions (prime and retrograde) of a fourth possible shape: <+2,+1,-2>.

Common to all of these "shapes" is the single three-note motive <+1,-2> and its possible transformations: <-1,+2>,<+2,-1> and <-2,+1>.[36] In fact, the B-A-C-H motive <-1,+3,-1> constitutes two interlocking forms of this motive (see ex. 1-11 below), though the motive does not actually occur between adjacent pitches. While chromatic, this motive certainly can and does appear in traditionally tonal passages. But it requires special circumstances, such as a modulation or mode mixture, if it is to be perceived as conforming to tonal practice. In the absence of these contexts, the numerous occurrences of the motive in the Prelude effectively undermine any sense of traditional tonal progression.

Therefore, the "sluggish, dark, slipping harmony" of the Prelude is largely attributable to this three-note motive (+1,-2). (Not coincidentally, the meandering D natural-D#-E-D in mm. 9-10 of the Act I/ii chorus anticipates the <+1,-2> motive, no doubt contributing to the breakdown of the sense of tonal progression at the conclusion of that passage.) Even the abstract numerals — +1,-2 — themselves evoke the frustrating image of falling back two steps for every step

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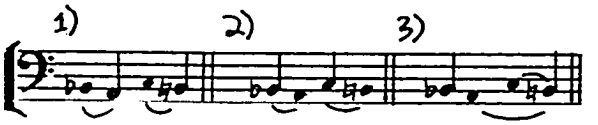
[36] Unless I am discussing a specific instance, I will refer to the four versions of this single shape in the unordered form: (+1,-2).

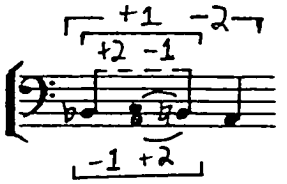
forward. Taken literally, the motive may be viewed as Stravinsky's wry comment on this final, uncertain stage of Tom's Progress. Indeed, this "literal" view reflects directly upon the tonal status of the Prelude, for if a tonal analysis purports to trace the "progress" of voice leading, then here one is confronted with ambiguity and uncertainty at nearly every step. For example, one could interpret the voice leading of the B-A-C-H motive as 1) A-B natural embellished with appoggiaturas, 2) B flat-C embellished with escape tones, or 3) B flat-B natural embellished with double neighboring tones (see Example 1-10).

Example 1-10. Voice-leading interpretations of the B-A-C-H motive.



However, viewed in context of the Prelude, the initial B flat appears to lead ultimately to the A in m. 4. The A and C in m. 3 therefore function as a double neighbor (the third option offered in ex. 1-10), leaving the appropriately peculiar voice leading B flat-B natural-A <+1,-2> (see Example 1-11). The double neighbor interpretation actually highlights the interlocking appearances of <+2,-1> and <-1,+2>.

Example 1-11. Prelude to III/ii, mm. 3-4.

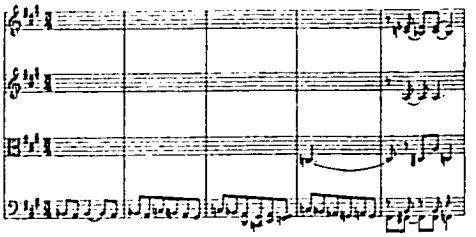


In this interpretation, B flat is given greater structural weight than the other three notes of the motive, and by implication, theoretically prolonged. Upon further examination, the upper voice of the cello

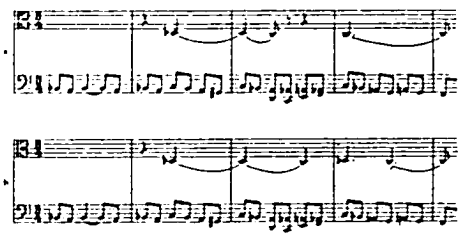
meanders its way down the chromatic scale from B flat to G flat in m. 8, to the "leading tone" E in m. 12 and finally to the "tonic" F in m. 18. In fact, Stravinsky's first preliminary sketch for the Prelude reveals with remarkable clarity this descending linear span (see Example 1-12a).

Example 1-12. First three stages of sketches for the Prelude to III/ii (Paul Sacher Foundation, Microfilm #112-0563 & 0564).[37]

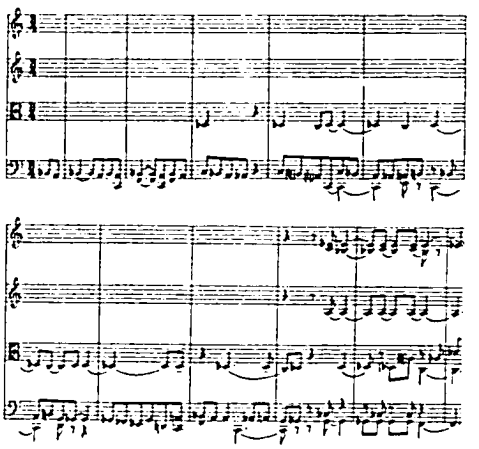
a)



b)



c)



[37] These sketches were originally used by Joseph Straus in "Progress of a Motive. . .," pp. 172-3.

It is only in the two subsequent stages of sketches and the final version that this linear span is obscured (see Example 1-12b and c). Furthermore, the resolutions from E to F (in the viola and cello) and B flat to A (in the violin II) in m.18 constitute an unambiguous, if peculiar VII°-I cadence in F major. This voice leading is repeatedly implied in the dense chords from mm. 10-17, though never in a concerted fashion. The plodding, awkward, but inevitable movement of the various E's to F's and the B flat to A demands an interpretation that somehow accounts for its allusion to a fundamental tonal progression. In fact, this F-major cadence, which Griffiths asserts is "foreseeable only from a short distance,"[38] may even be inferred in the cello's lower-voice C_2-F_2 in mm. 1-2, 3, 5 and 7. By wading through each tortured measure, one can discern a reasonable large-scale tonal structure out of which the final F major emerges, if not as the organic composing-out of a tonic triad, at least as an allusion to functional tonal movement (see Example 1-13).

Strictly speaking, my background graph for the Prelude (ex. 1-13c) implies that mm. 1-17 ultimately function as V^7 in F major,[39] a chord that is not only not sustained throughout that span, but that

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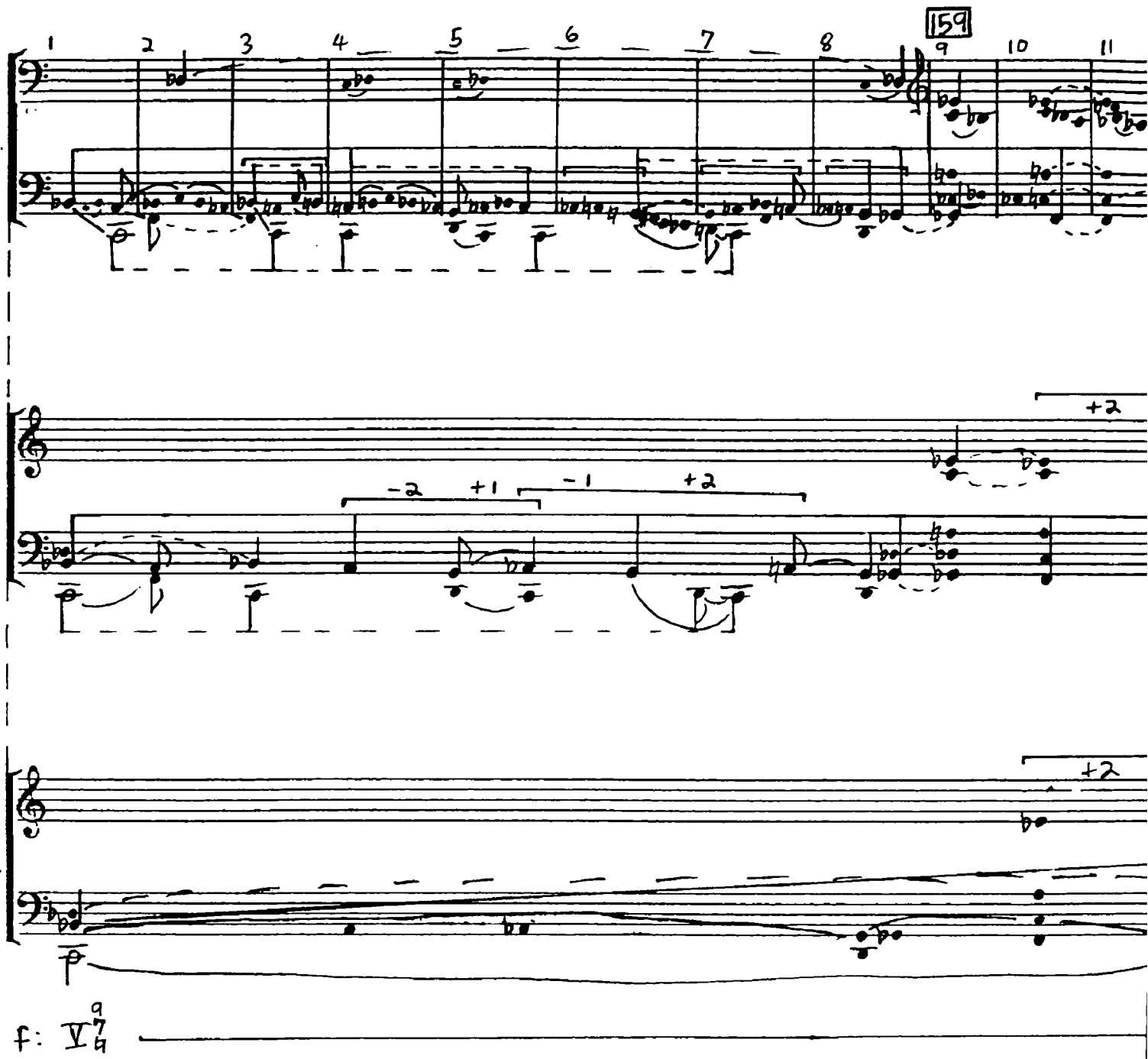
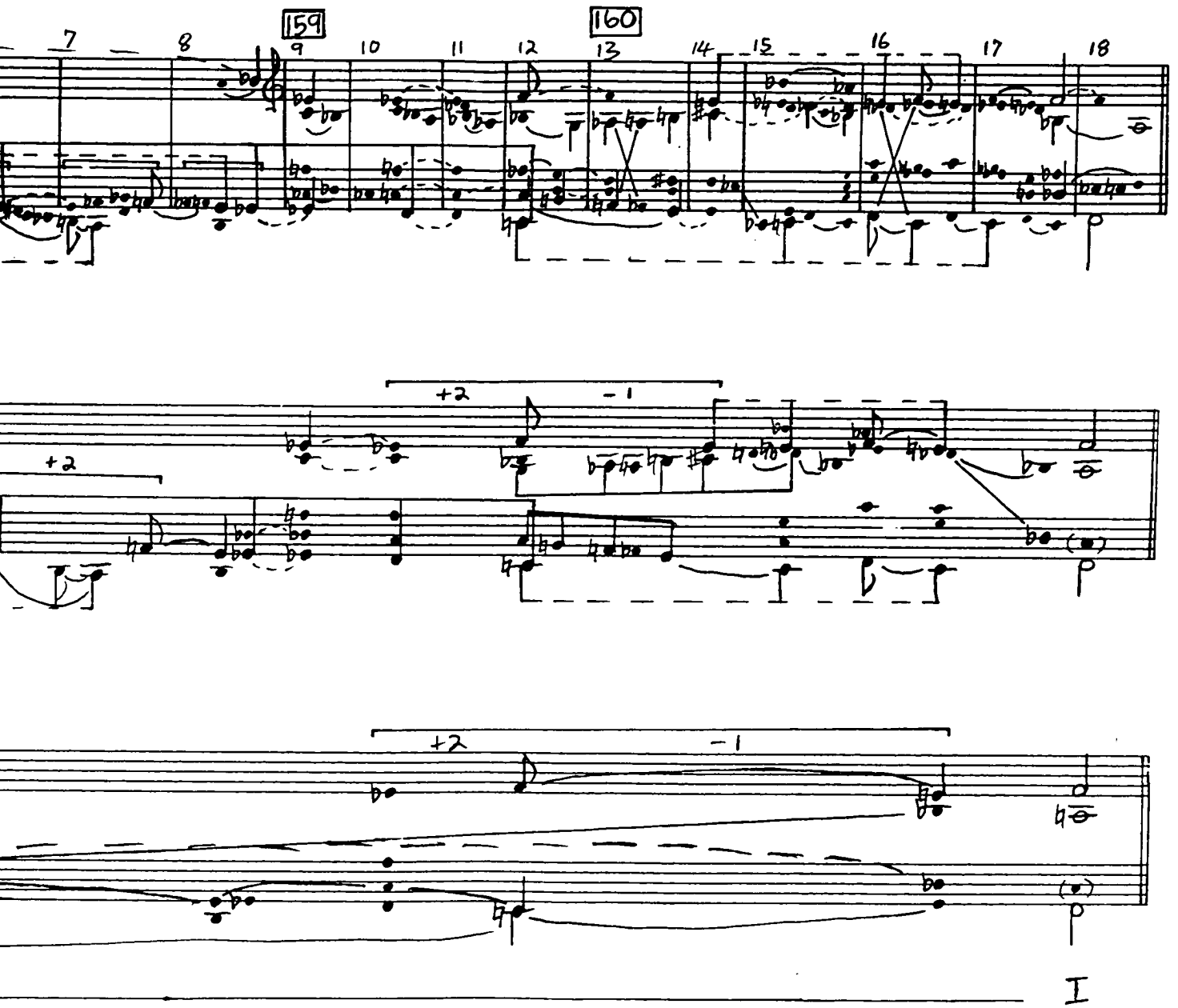
[38] Griffiths, "In the operatic graveyard. . .," p. 77.

[39] I must point out that, while I happen to view the opening B flat and D flat as extended dissonances over the bass C_2, the ascription of a "vague B flat minor" at the outset by Straus and Griffiths is not fundamentally at odds with my interpretation. In fact, because B flat minor and major represent something like a goal in the following graveyard scene, viewing the F major as a motion to a dominant implies a potentially greater long range tonal function to the Prelude. I shall have more to say about this in my discussion of the Graveyard scene in Chapter three.

Example 1-13. Prelude to III/ii



III/ii



never actually appears as such at all.[40] For a musical entity such as V^7 to be prolonged, — i.e. structurally in control without always sounding — there must be certain conditions, the first of which is a consistent hierarchy of consonance and dissonance. But in Stravinsky's Prelude, conventional dissonances and consonances abound without any reliable contextual distinction between them. With the exception of the final chord, Stravinsky never allows a conventional tonal chord to sound for even an instant without some dissonant addition (e.g. the viola's "foreign" notes against the F^7 in mm. 10-11). And yet, no consistent post-tonal set-class recurs with sufficient regularity to replace the tonal triad as a fundamental consonance, though Stravinsky does emphasize compounds of the interval-class 1 (e.g. C/D flat in mm. 1-8 and the E/F's between the violins and cello in mm. 12-17). In fact, without the wholesale adoption of the musical conditions of the tonal system of the kind that Schenker stubbornly practiced in his analysis, assertions of prolongation are essentially meaningless in this passage.

However the twentieth century, especially the first half, has been dominated by the music of the tonal past, from the concert hall to the recording and publishing industries. Based on years of familiarity with tonal music, it is all too easy to adopt the theoretical assumptions of the tonal system. As has been repeatedly observed, many of the musical conditions of tonality — its fundamental building blocks of harmony (triads) and melody (linear spans) and, to a lesser

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[40] See Joseph Straus, "The Problem of Prolongation in Post-tonal Music," Journal of Music Theory 31/1 (1987), pp. 1-22. In this discussion, Straus directly confronts the inherent contradictions of such analytical assertions.

degree, its hierarchy of consonance and dissonance — loom large throughout *RP*, from the opening E-major prelude to the A-major Epilogue. The predominance of tonal references thrusts the Prelude to the Graveyard scene into a new light, especially given the enticing cadence on F major. Likewise, if one avoids the issue of tonality altogether because of inherently contradictory implications within the Prelude, and relies solely on a rather tidy motivic analysis such as I have offered, then the uncertainty so crucial to the drama is largely overlooked.

And even if one wished to isolate this Prelude from its context in the opera, the tonal system still exerts its influence, even when references to it are vague and obscured. Analytical eyes and ears conditioned by Western tonal music tend to connect otherwise vaguely related elements. At the very least, such associations constitute a symbolic allusion to the powerful rhetorical gestures of the tonal system. To borrow Schenker's phrase, such tonal associations may be said to "stand for" tonal gestures.

Therefore, the Prelude poses an analytical paradox: Chromatic motives and dissonant intervals predominate; however, the "vague B-flat minor" of the opening and the unambiguous final cadence on F major signal deeply ingrained tonal conventions. Despite the contradictions posed by its chromatic voice leading and thorough dissonance, one can still reap a richer and more subtle understanding of this stylistically ambiguous Prelude by confronting the music in tonal as well as post-tonal terms.

Numerous features of the Prelude, especially its harmony, merit further attention and explanation. Stravinsky organizes the

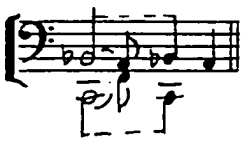
surface of the music so as to emphasize particular dissonant intervals, especially the minor ninth (cf. the $G\#_2/A_1$ in the Act I/ii chorus). The viola's persistent D $flat_1$ in mm. 2-8 is heard against a C in the cello on seven of its nine appearances (see ex. 1-9). Likewise, the minor ninth and its inversion, the major seventh, are highlighted in the bass and soprano voices in mm. 12 and 16-17. The bass and soprano in m. 16-17 appear to "exchange" pitch classes E and F (I actually highlight this feature with the symbol for a voice exchange), thereby extending the dissonance. But these are not "voice exchanges" in the tonal sense, i.e. a means of prolonging a single harmony. In fact, both soprano and bass share the same voice leading — leading-tone E embellished by a neighboring F — in the penultimate measures of the passage. In a manner quite similar to his treatment of the D flat-C in m. 7 of Anne's Lullaby, Stravinsky misaligns the return to E in each voice with the neighboring motion to F in the other so as to disguise the redundant voice leading (cf. ex. 1-3).

The fact that Stravinsky never allows a conventional tonal chord to sound without an added dissonance in this Prelude certainly inhibits, but does not necessarily eliminate the subtle pull of functional tonality. The component pitches of the functional chord (in this case V^7 of F) are constantly displaced and misaligned, and must be theoretically pieced together in a graph so as to reveal the obscured forces at play. Once again, such a technique of displacement may explain the harmonization of A_2 with C_2 and B $flat_2$ with F_2 in mm. 1 and 3. Voice leading consistent with a prolongation of V^7 on C would dictate C/B flat resolving to a

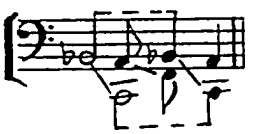
neighboring F/A and back again. By delaying the lower C_2-F_2-C_2, this commonplace progression is obscured (see Example 1-14).

Example 1-14.

a) typical V^7-I-V



b) displaced V^7-I-V

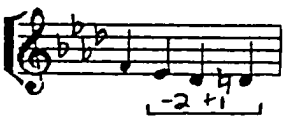


The purpose of this seemingly convoluted interpretation is not to recompose Stravinsky's music so as to impose a tonal reading, nor to avoid the pitches as he wrote them. The concept of displacement, here and in the case of the exchanged E's and F's in mm. 16-17, reveals what Stravinsky might have had in mind by reconciling seemingly incongruent simultaneities with voice leading that otherwise conforms to traditional models.

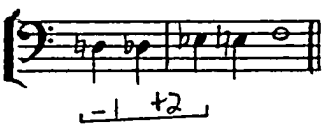
As I suggested earlier, the middleground voice leading of the final cadence is actually quite mundane, with three voices resolving at different points and structural levels from E to F. The soprano and bass voices, I have noted, are deliberately misaligned, but the viola cadence merits some additional attention. The persistent D flat$_1$ from mm. 1-8, which repeatedly flirts with a neighboring C_1, appears ready in m. 17 to finally resolve to that C_1. However, Stravinsky diverts the D flat$_1$ up to E flat$_1$ and E natural$_1$, creating, with the preceding D natural$_1$, the familiar <-1,+2,+1> shape. This striking motivic echo more than justifies the redundant voice leading. The failure of D flat$_1$ to resolve to C_1 after the relationship is so prominently established creates one final slippery diversion from the expected progress of the Prelude.

The "slippery" D-D flat-E flat in mm. 17-18 of the Prelude reappear in a striking and unexpected echo in, of all places, Anne's Lullaby. As discussed earlier, the diversion of d-flat^1 up to d^1 in m. 2 and 3 of the Lullaby also functions to deny an expected resolution to c^1. Upon closer examination, the flute II line in m. 2 (D flat-E flat-D) and m. 3 (E flat-D flat-D) actually replicates that motivic cell (+1,-2) so central to the Prelude. In fact, the last three notes in m. 3 of the Lullaby are the retrograde of the first three notes of the viola cadential figure in the Prelude (see Example 1-15).

Example 1-15. Anne's Lullaby, III/iii - R254, m. 3.



Prelude to Graveyard scene, III/ii, mm. 17-18.



The connection is reinforced by the unusual C/D-flat dissonance in the final measure. Considering the emphasis that Stravinsky gives that particular simultaneity in mm. 1-6 of the prelude, its atypical and prominent inclusion in the Lullaby takes on new significance.

The stubborn resistance of D flat to resolve "properly" to C; the motive by which D flat is diverted: (+1,-2); the general emphasis given to the D flat/C dyad;[41] and the similar treatment of redundant

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[41] Straus devotes an entire article to the C-C# motive in *RP*, which he traces as an "invariant atomic unit" from Stravinsky's earliest sketches of the Graveyard prelude and the opening duet (begun in May 1948 - six months after the prelude to the Graveyard scene was completed), through its inclusion in the middleground voice leading of the Lullaby and surrounding music. Initially identified with Anne in the opening scene in the garden, the motive struggles through the graveyard prelude and the Card game to be

voice leading in their penultimate measures create a surprisingly strong connection between the "dark, sluggish" Prelude and the simple, innocent Lullaby. From a musical and dramatic standpoint, these passages differ as much as any in *RP* — from the chromatic, uncertain and obscure to the diatonic, lucid and unproblematic; from the dark, frightening end of Tom's Progress to the illusory Utopian vision sung for the insane. At first glance, the Prelude and Lullaby seem to demand separate analytical approaches which afford little means of comparison. However, what appear to be anomalous aspects of each passage — the tension between D flat and C and the rhythmic and harmonic ambiguity in the Lullaby; the concluding F major in the Prelude — actually reveal musical connections. Anomalies that seem inexplicable within closed analytical systems actually bear the seed of this interconnection.

And furthermore, when one takes into account the tonal disjunction between C# minor and E major, and the glimpse of the motivic cell <+1,-2> that appears in m. 10 of the Act I/ii whores' chorus, a broadly encompassing *modus operandi* begins to emerge. In the three passages that I have analyzed, Stravinsky, to widely varying degrees, 1) imposes a tonally ambiguous motive (+1,-2) upon tonal prototypes; 2) misaligns or displaces the usually inseparable strata of harmony and voice leading; and 3) juxtaposes harmony and voice leading that usually do not belong together. The first technique may be described as the *generalization* of a motive into a series of

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finally absorbed by the insane Tom after his bitter salvation. See "The Progress of a Motive. . ."

ordered pitch intervals; the second, *displacement* of tonal strata;[42] and the third, *compression* of tonal strata. In each case, the tonal model is transformed.

These post-tonal transformations of tonality also seem to imply a dramatic transformation. In the introduction, I asserted that neither tonal nor post-tonal music inherently conveys sincerity or falsity. But the consistent treatment of musical elements within a given work can lead to certain generalizations regarding their dramatic meaning. In the three passages I have analyzed, tonal conventions generally signal a dramatic illusion which post-tonal dissonance dispels. The (+1,-2) motive and displacement of traditional voice leading subtly betray Anne's innocent Lullaby as a Utopian illusion. The compression of tonal strata betrays the whores' noble empathy as lust. The meandering, slippery, dissonant morass which all but engulfs the cadence on F major foreshadows Tom's frightening encounter with the "real" Nick in the graveyard scene. While this relationship is not absolutely consistent, one may reasonably assert that in *RP*, tonality signals a realm of illusion which is usually undermined by post-tonal dissonance. I will explore several more examples of this relationship in chapters two and three.

While the covert similarities between these three passages reveal the work of a single hand, they do not fully reconcile the opera's striking and at times disorienting variety of styles, of which the Act III Lullaby and Prelude are only extremes. By establishing

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[42] Straus does not include *displacement* in his list of revisionary strategies. These examples would roughly correspond to what he calls *fragmentation*. See Remaking the Past, p. 17.

an analytical approach that encompasses these extremes, I do not wish to lump blandly together these richly varied passages for the sake of analytical unity. I do so to highlight those subtle connections that lead to a deeper understanding of the relationship between the music and drama. For the perception of *RP* as a "unified" work[43] — if indeed, that is even desirable or necessary — is possible only through the interplay of contrasting styles. Now that I have laid out a consistent approach to Stravinsky's intertwining of tonal and post-tonal forces, I can broaden my inquiry to the role such forces play in the larger structure of scenes and acts.

[43] See Powers, "Otello, I. 2-3," pp. 2-3.

Chapter 2
The Structure of Scenes

" . . .the dramatic process depends on the succession of separate pieces. .". [1]

From the very night of its premiere, the conventional wisdom regarding *The Rake's Progress* has been that the reactionary Stravinsky turned his back on the world of contemporary music in favor of the established conventions of opera past.[2] In fact, even the composer himself encouraged this interpretation.[3] However, in light of the wholesale adoption of Wagner's "conventionalized reforms" (i.e. the system of leitmotifs and fluid dramaturgy) by virtually every prominent contemporary composer of opera, it is the very division of action into separate numbers that makes *RP* truly original as a modern opera. But for the moment, I wish to lay that debate aside and honor Stravinsky's request to "try to discover the opera's own qualities." No less a critic than Joseph Kerman has remarked, "To arrange a clear psychological progression in arias and ensembles seems an obvious enough resource, but . . . I do not know that any opera employs it so extensively and centrally, so subtly, or so convincingly as *The Rake's Progress*."[4] Only by widening our

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[1] Stravinsky, Themes and Conclusions, p. 53.

[2] Craft writes, "[*RP*] was received by most critics as the work of a master but also a throwback, the last flowering of a genre." Stravinsky: Glimpses of a Life (New York: St. Martin's Press, 1992), p. 38.

[3] "Having chosen a period-piece subject, I decided to assume the conventions of the period as well, though respectable (progressive) music had pronounced them long since dead." (Themes and Conclusions, p. 54.)

[4] Joseph Kerman, Opera as Drama, p. 243.

analytical perspective to the formal progression of these "numbers" can we begin to appreciate fully Stravinsky's subtle and convincing psychological progression.

While even in Classical operas, tonal relationships between numbers vary widely, one usually finds, at least within a given aria or ensemble, a coherent tonal organization.[5] Yet, for all the striking references that Stravinsky makes to the classical operatic tradition, no entire aria or ensemble succumbs to the ultimate control of a single tonality. Instead, only sections, though often of considerable length, represent either complete or partial *Urlinie* spans with or without the appropriate accompanying bass arpeggiations. If the typical number from a Mozart opera, either as a scene unto itself or part of a longer string of numbers, stands as a self-contained, fully sculpted harmonic entity, then Stravinsky's numbers, each assuming tonal conventions in varying degrees, rather suggest heads or torsos from different statues artificially incorporated into one sculpture. While Stravinsky's harmonic continuity is not always abrupt and startling, he never fully adheres, at least not for very long, to the tonal integration and balance associated with Classical harmonic structure.

Nonetheless, Stravinsky almost never fails to project clearly a major or minor key, usually in the form of an unambiguous key

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[5] To put it in Schenkerian terms, the tonal organization of each number of a Classical opera represents a *composed-out* triad. Periodically, one encounters certain Classical numbers that, for dramatic reasons, deviate from tonal norms. I have already mentioned one such divergence by Mozart in Act I of *Die Entführung aus dem Serail* in which, to further "express" Osmin's rage, he unexpectedly concludes an F-major aria in A minor (see Introduction, ftnt. 20).

signature and bass line, and often with ample references to a tonic triad. Throughout his entire musical output, Stravinsky's use of key signatures, like many modern composers', often seems more like an anachronistic habit than an insight into the music. He is nearly as likely to ignore a key signature altogether as to adhere to its tonal implications. But even in the numerous instances where chromatic pitches undermine such tonal implications, Stravinsky's implied intent still bears significance. The very titles of two of his works, the *Serenade in A* and the *Symphony in C*, imply fundamental pre-compositional assumptions that are of primary importance, even as the music often undermines such assumptions.[6]

In *RP*, numbers typically adhere relatively closely to the traditional implications of their key signatures. In fact, since Stravinsky usually avoids the most obvious key-defining convention, the V-I cadence, he often projects a tonic harmony by sheer force of presence. The persistent and garish E major of the opening brass fanfare is an obvious example, and in several other passages, the bass line dwells *exclusively* on the pitches of the tonic triad: Act I/iii-R192 (G major); Act II/ii-R79-84 (C minor), R117-123 (C minor);

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[6] As I observed in my discussion of the Whore's Chorus in Chapter one, Stravinsky often creates tonal ambiguity by synchronically juxtaposing tonal elements from keys related by a third, a characteristic of both the *Serenade in A* (F major/A minor) and *Symphony in C* (C major/E minor). That he deliberately sets up the expectation of some sort of tonic (what else would "in A" or "in C" mean to the concert listener of the 1920's and 30's?) and then avoids it is certainly not a coincidence, and more likely a fundamental element of his harmonic thinking. In regard to the *Serenade*, Stravinsky himself commented, "I had a definite purpose in calling my composition *Serenade en La.* The title does not refer to its tonality, but to the fact that I had made all the music revolve about an axis of sound which happened to be the La." (Autobiography, p. 124.)

Act II/iii-R 204 (B-flat major). As I demonstrated in the previous chapter, Stravinsky utilizes tonality in widely varying degrees. But whether he obsessively locks onto a tonic triad or only indirectly implies its influence (as in the Prelude to the graveyard scene), he seldom goes for long without referring to a central tonality.

Once it is established that Stravinsky organizes his numbers with reference to key, the next obvious question is, what significance does a given key possess, if any? Critics have intuitively attributed dramatic significance to Stravinsky's choice of keys. In his handbook for the opera, Griffiths includes a generous discussion of key succession. He immediately associates G major — the key to which Tom transposes Anne's opening verse (I/i - R7); the emphasized dominant of Tom's C-major recitative (I/i - R27-29); and the key of the duettino in which he and Anne bid each other farewell (I/i - R81-88) — with Tom himself. When the tonality suddenly shifts from A major to G major at Nick's pronouncement "The PROGRESS OF A RAKE begins" (I/i-R104), Griffiths logically concludes, "Tom's key, seemingly innocent in the opening duet and the duettino, becomes in the last three bars of the scene ominous, opening the gate to his downfall."[7] Without quibbling too much on this issue, I would rather understand G major less as depicting Tom as a character (his aria is, after all, in F major), and more as an abstract association with Tom's progress away from the Garden, clearly identified with the opening A major.[8] In any event, the tonal trajectory implied in the progression

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[7] Griffiths, p. 34.

[8] Straus suggests that "G . . . is the musical emblem of departure from the Garden." ("The Progress of a Motive . . ." p. 179.)

from A major to G major, so innocent at R7 and so portentous at R104, certainly possesses dramatic implications.

Once a key is identified with an extra-musical idea, its subsequent musical development may be attached to a corresponding dramatic development. Such is the case in the Graveyard scene (III/ii). As the Progress that began in I/i reaches its end, an apprehensive Tom expresses his fears in G minor (R161-165; R168-170; R176-181). When Tom triumphs in the card game, Nick rages in the key of B-flat minor before descending alone to Hell (R201-205). The scene concludes with an insane Tom singing naively in B-flat major (R206-212). Up to this point, the key of B flat has been associated with Tom's desires — both noble (his prayer in II/iii - R204-205) and prurient (the Brothel Chorus in I/ii - R19-23)[9] — and with Tom's "faithful" servant, Nick Shadow (especially his aria in II/i-R36-48 and his descent into Hell).[10] But these interpretations need not contradict each other, for Nick, as a Mefistofelean figure, personifies his master's desires, a connection which Auden makes in his essay on the master/servant relationship, "Balaam and his Ass:"

> "[T]he story of Faust is precisely the story of a man who refuses to be anyone and only wishes to become someone else. Once he has summoned Mephisto, the manifestation of possibility without

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[9] Griffiths, pp. 36-7, 40, 43 & 45.

[10] Straus, "The Progress of a Motive . . ," pp. 180-1. I should note, that while these associations with B-flat usually manifest themselves in the major mode, Stravinsky, given the appropriate dramatic circumstance, can employ the minor mode while still preserving the extra-musical association. A similar change in mode from A major (I/i) to A minor (I/iii) reflects Anne's disappointment in being abandoned by Tom.

> actuality, there is nothing left for Faust to represent but the passive consciousness of possibilities.[11]

Therefore, as Nick disappears into Hell, he takes with him the passive desires that have so far driven Tom. The purified B-flat major that remains, a fusion of G minor and B-flat minor, also represents a new Tom, purged of the self-destructive desires that led him on his misguided Progress.[12] Of course, this purification is attained at the cost of his sanity. I shall discuss this transformation of Tom *and* the key of B flat in further detail in Chapter three.

While certain keys clearly retain their extra-musical significance in subsequent passages, one cannot always assume that the key of any given passage functions dramatically. The opening Prelude in E major obviously acts as a supporting V to the initial A-major duet. While the latter tonality clearly points to Trulove's garden and all that it implies — security, domesticity, Anne — the key of the former serves a purely musical function designed to frame the drama.[13] Likewise, keys with unambiguous associations in certain passages may not nessessarily retain that meaning in other passages. Such is the case in the A-major Epilogue (III-R281), the facile moralizing of which hardly evokes the same associations as the Garden scene. Like the opening Prelude, it functions as a frame to

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[11] Auden, in The Dyer's Hand, p. 115.

[12] Straus describes this musical process and its dramatic implications at length in "The Progress of a Motive. . .," pp. 181-2.

[13] Stravinsky even asked his publisher to number the pages of the Prelude with Roman numerals (i, ii) like the Preface to a book. See Stravinsky: Selected Correspondence, vol. III, edited and with commentary by Robert Craft (New York: Alfred Knopf, 1985), p. 345. His request has never been honored.

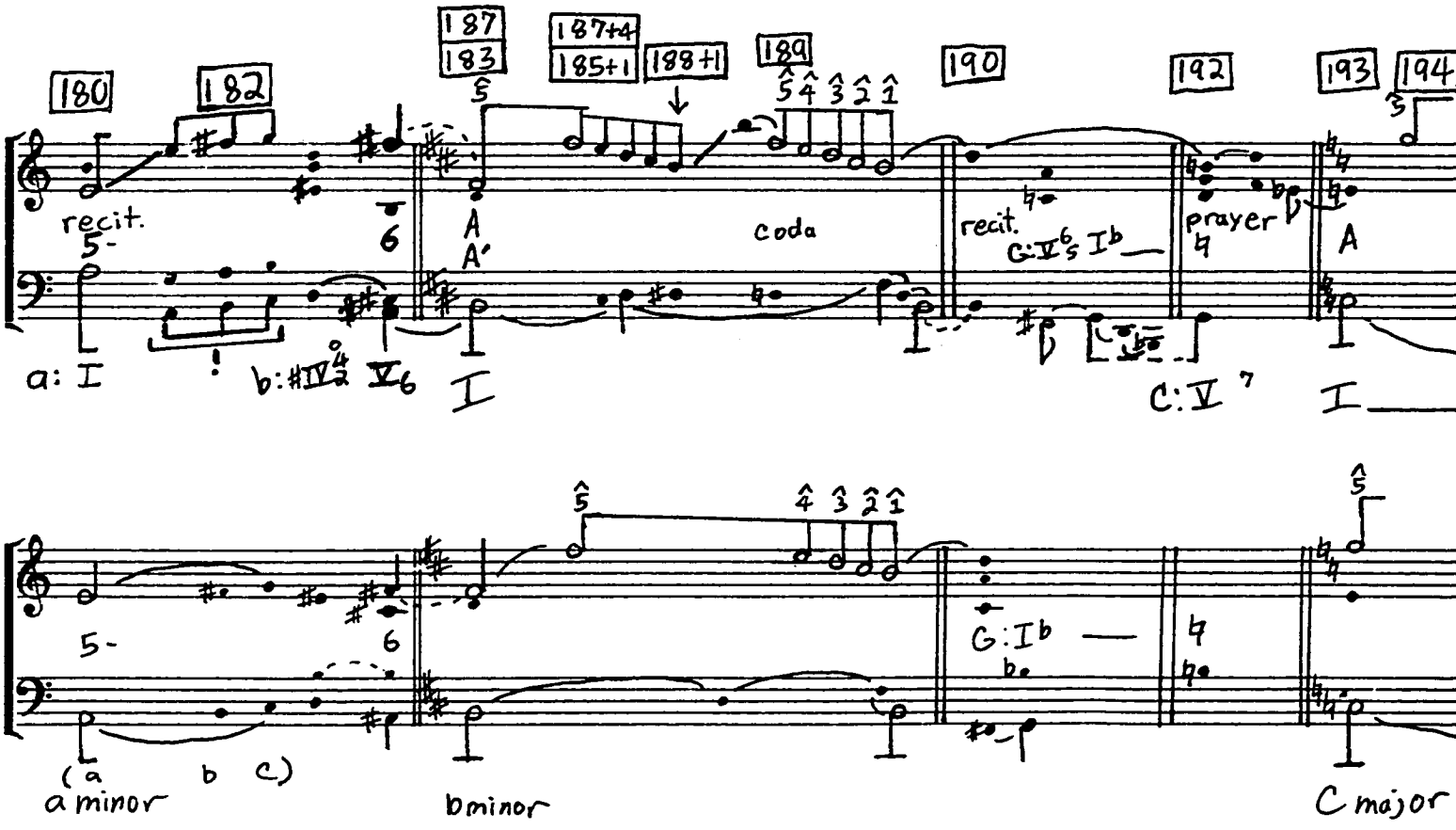
the story and therefore occupies a separate dramatic dimension than the A major of Trulove's garden.

As the music of *RP* progresses from section to section and number to number, the succession of tonal centers — in conjunction with thematic development, tempo, meter and instrumentation — supplies the most illuminating guide to Stravinsky's larger musical organization. How and why he proceeds from one tonal area to the next varies as widely as his foreground manipulation of traditional tonality. And while extra-musical factors sometimes seem to prescribe the choice of a certain key, it is also the case that Stravinsky's particular method of accommodating that key adheres to a strict sense of musical development.

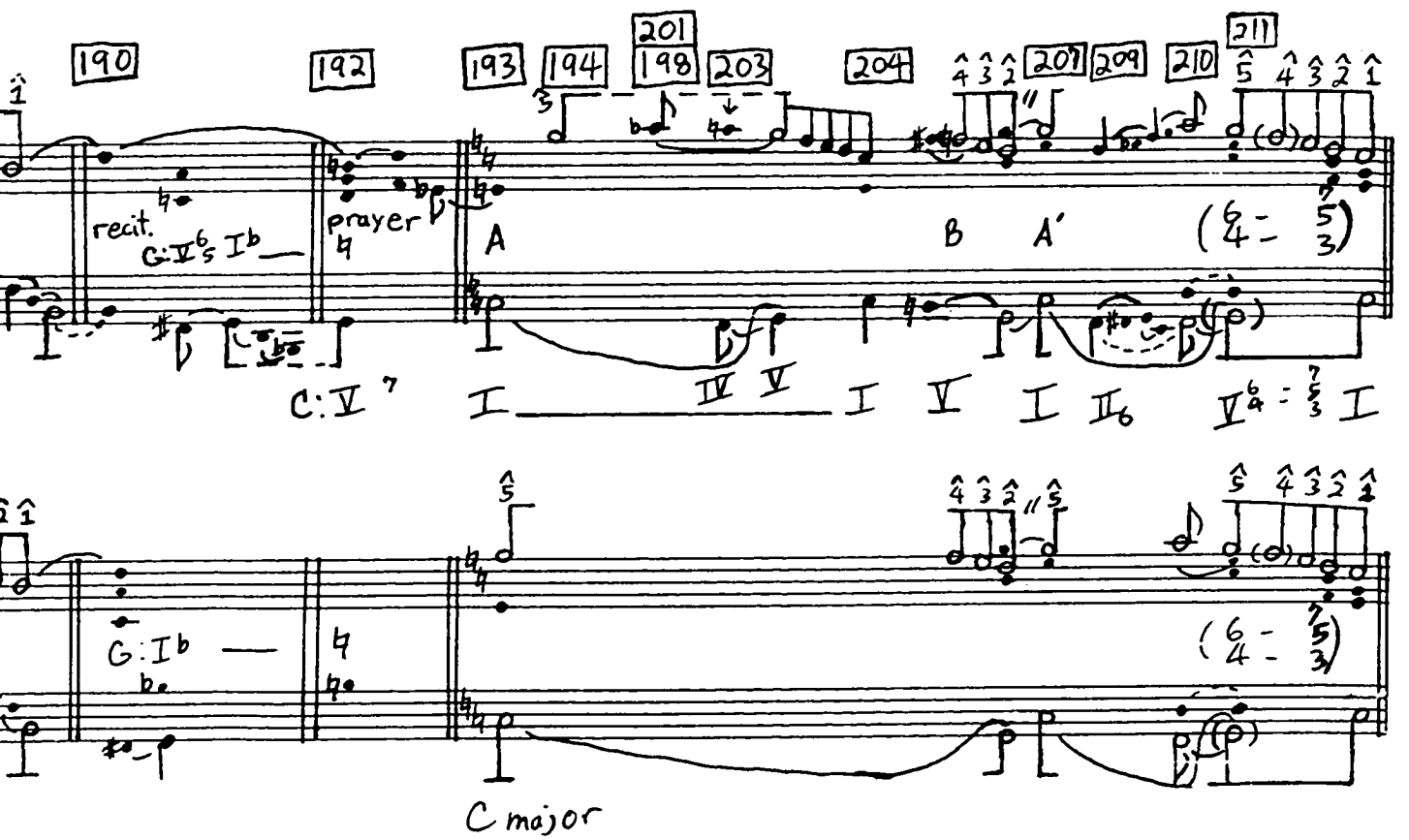
Act I, scene iii. - Anne's Recitative, Aria and Cabaletta

The simplest type of key succession is a linear span, an example of which governs the tonal structure of the shortest and most easily decipherable scene in *RP*, Anne's recitative and aria (I/iii). Progressing from A minor to B minor to C major, the scene presents Anne's decision to venture from the security of the Garden to London, where, by placing her faith in Love, she hopes to win Tom back. Though there are some notable harmonic diversions (R184-5, R200-1 & R205-6), Stravinsky generally adheres to his designated tonal centers and projects fully formed linear descents (F#-B in the aria and G-C in the Cabaletta) and I-V bass arpeggiations in both tonalities (see Example 2-1).

Example 2-1. Anne's Aria and Cabaletta, I/iii.



Cabaletta, I/iii.



The scene opens in the friendly confines of Trulove's garden as a spurned Anne prepares to travel to London to find her delinquent lover. The A-minor introduction (R177-80), scored for oboe, English Horn and bassoon, strongly recalls a similar introduction to the A-major duet of I/i, set in the same garden. Having received "no word from Tom," Anne, in the following recitative (R180-3), bitterly questions the ability of love to survive outside of this pastoral Utopia, symbolized by the tonal center A. As she rejects such negative thoughts and declares her faith in Love ("Love hears, Love knows, Love answers him across the silent miles, and goes."), Anne resolutely climbs from e^2 to $f\#^2$ to g^2 (R182), supported by the succession of chords A minor^7-B minor^7-C major^7 — a strikingly concise dramatic and musical prolepsis of the succession of keys over the course of the scene (see ex. 2-1). The recitative concludes on V^6 of B minor.

In the melancholy two-strophe aria that follows (R183-190), Anne hopes against hope that Tom will still respond to her affection: "It cannot be thou art a colder moon upon a colder heart." Father Trulove's voice prompts a new pang of doubt. In an accompanied recitative (R190-2), Anne weighs the options of remaining with her Father rather than deserting him "for a love who has deserted me." The latter text is symbolically accompanied by bass movement from B_2 to A_2. But as the plaintive winds take over, the bassoon continues down to F_2. Resolute, Anne returns to her original plan, as the cello $F\#_2$ guides the harmony gently to G major, the key of her departing

prayer (R192-3).[14] With her faith in the power of Love fully restored, Anne bursts into an exuberant C-major Cabaletta in which she exclaims: "I go to him. Love cannot falter, Cannot desert; . . . If love be love, It will not alter." From this point on in the opera, the tonal center of C firmly identifies the power of Love (see II/ii- R93-95; III/i-R114-6, R119-21 & R138-149; III/ii-R198-200).

Aside from its succession of tonalities, Anne's scene almost rigidly follows the formal structure of the classic 19th-century Italian two-part aria, which consists of a slow *cantabile* (often called a cavatina), an intervening recitative or *tempo di mezzo*, and a florid allegro, known as the Cabaletta. The progression of tempo from slow to fast and style from lyric to florid usually accompanies a change in dramatic stance from reflective to active, instigated by the intervening passage which often includes the brief interjections of a separate character. The finest examples of this genre, which is virtually ubiquitous in the *bel canto* operas of Rossini, Donizetti, Bellini and early Verdi, illuminate and coincide with a crucial dramatic development in the character singing the aria, as is the case with Stravinsky's heroine.

While there is no overwhelming evidence to suggest that Stravinsky had a specific aria in mind as the model for Anne's, several factors invite comparison with an aria strikingly similar in dramatic and musical content, and itself a model for the 19th century

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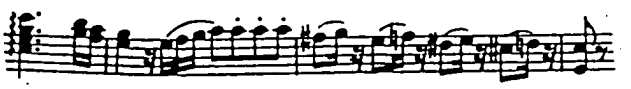
[14] The key of G functions for both Tom and Anne as a sign of their departure from the Garden. And in both cases—Anne's prayer and the conclusion of I/i for Tom—G major leads directly to C major (presumably V-I). But these C majors have diametrically opposed dramatic implications, Anne's Cabaletta being a paean to Love and the Brothel scene (I/ii) being a paean to Lust.

bel canto composers: the Countess's recitative and aria "Dove sono" from Act III of *Le Nozze di Figaro.* Depressed by her husband's lack of interest and his infidelity, the Countess, with the help of her chamber maid Susanna, has decided to take decisive action. In the accompanied recitative that opens the scene, the Countess pities herself for having to resort to trickery to regain her husband. In the *Andantino* aria that follows, she nostalgically asks, "Where are those sweet moments?" when he still loved her. Finally, in a thrilling *Allegro*, she stirs herself from self-pity and determines to win him back through her own constancy.

In addition to the dramatic and formal parallels, Anne's aria concludes in the same key (C major) and shares a common motive which occurs at the beginning of the *Allegro* of both arias (see Example 2-2). Musically speaking, these are relatively superficial similarities. But more detailed analyses of both arias reveals more deeply rooted motivic affinities.

Example 2-2. a) Stravinsky, *The Rake's Progress*, I/iii - R193.

b) Mozart, *Le Nozze di Figaro*, Allegro of Act III aria, "Dove Sono."



As in the excerpts examined in Chapter one, the harmonic language of Anne's aria represents a unique interaction between traditionally tonal procedures and post-tonal manipulations of motives, many of which recur with notable frequency throughout the opera. For instance, before the linear descent from f#^{2} to b^1 in the slow aria (R186), the upper voice follows a path from f#^{1} (R183) to f natural^1 (R184+1*) to c^2 (R185), before returning to f#^{2} (R185+1). From a tonal standpoint, this voice leading seems aimless. However, if one traces the transformations of the set-class 0147 over the course of the passage, a motivically coherent progression emerges to support this otherwise bewildering voice leading (see Example 2-3).[15]

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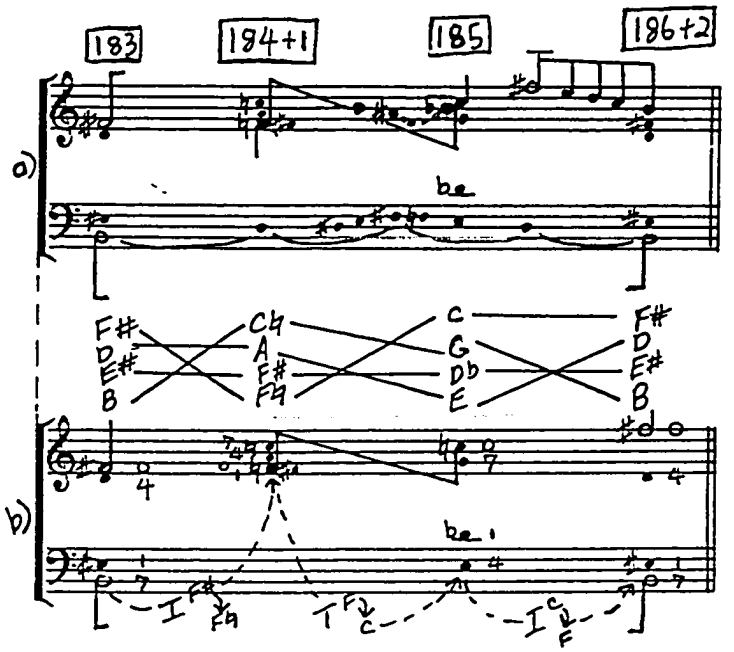
* When I refer to a rehearsal number R*X*, I mean the first measure after the *X*. When I add numbers to a rehearsal reference, such as R*X* +*y*, I mean *y* measures after the first measure of R*X*.

[15] Several features of this graph require some explanation.
1) I identify the specific pitches of the set classes involved in a given transformation, and trace the specific voice leading from one set class to another with horizontal lines. This visual layout is modeled on a technique developed by Henry James Klumpenhouwer in A Generalized Model of Voice Leading for Atonal Music (Ph.D dissertation, Harvard University, 1991).
2) I also label each pitch of a set class involved in a transformation with its corresponding number within the set class. For example, in the above graph, the F#^{1} at R183 occupies the O position in the 0147 tetrachord to which it belongs, and therefore leads to the F^1 at R184+1.
3) I notate the operations of transposition (T) and inversion (I) in terms of the transformation of specific pitches (e.g. I $^{F\#\rightarrow F\natural}$ or T $^{F\rightarrow C}$), instead of transposition by a certain number of semitones or inversion around a certain index number. This technique is derived from a similiar notation adopted by David Lewin in Generalized Musical Intervals and Transformations (New Haven: Yale University Press, 1987). Any two pitches involved in the transformation will suffice to define a specific operation. The pitches that I choose to define an operation relate to the specific voice-leading that I feel is effected. For instance, in ex. 2-3 I define the inversion of 0147 from R183 to R184+1 as a means of leading F# to F natural, and the transposition of 0147 from R184+1 to R185 as a means of leading F natural to C, etc.

Example 2-3. I/iii - R183-187.



This set class appears for the first time in Anne's final four pitches of the opening recitative (b^1-d^2-$e\#^1$-$f\#^2$). The tonic B-minor chords at the beginning and end of both verses of the slow aria (R183, R186+2, R187 & R189+2) all retain the dissonant E#, producing a "tonic" version of 0147.[16] By *compressing* Anne's

[16] 0147 also plays a similarly important role in Nick's descent to Hell (III/ii - R201-5). I should point out that, while conspicious, 0147 is not the only important set-class in the B-minor aria. As I shall subsequently discuss, 0347 plays a significant role in the middleground bass arpeggiation (see ex. 2-6). In fact, 0147 and 0347 are related by the trichord 014, an extremely important set-class in the opera in general. For the sake of manageability, I trace only the most conspicuous 014-related set classes in I/iii, but any occurrence of this trichord, either alone or nested in a larger chord, only reinforces the importance of the connections I do cite.

I should also note that 014, 0147 and 0347 figure prominantly in the octatonic collection, a frequent feature in many of Stravinsky works (Pieter van den Toorn has compiled two comprehensive lists — explicit and implicit — of passages where "octatonic inference can reasonably be drawn" — see The Music of Igor Stravinsky, pp. 44-6). But the conspicuous presence of these characteristic set classes does not nessessarily imply octatonicism any more than major or minor triads implies diatonicism. Collections or

pitches — and, by implication, the underlying progression (#IV°7-V) — into a single chord, Stravinsky forges a harmonic entity with equally strong tonal (tonic B minor) and post-tonal (0147) implications. As the aria proceeds, Stravinsky guides the harmony toward A minor at R184 with a pronounced movement from B_2 to C_1 in the bass. One measure later, the soprano descends to an inner-voice f natural[1] (R184+1), at which point we encounter another 0147 (F-F#-A-C), inverted from the original at R183 so as preserve E# and F# and map B/D onto C/A (for the moment, I will ignore the bass D_1). In this manner, Stravinsky reinforces both the soprano and bass voice-leading *and* propels harmonic movement, all by means of a motivic transformation that does not follow traditional tonal norms. In other words, the path from the B minor+E# to the F-F#-A-C is not some peculiar tonal motion from I to V°#7, but an inversion of 0147 around E#/F#. The E#, which seems like a mere embellishing tone in the tonic B-minor triad ("I+#4"), actually plays a structural role in the set class (0147) that is the basis of this harmonic movement. This is one of the clearest examples in *RP* where middleground harmonic movement and voice leading are driven by a post-tonal process of set-class transformation.

Although the bass line continues on to $F\#_1$ at R184+4, implying motion to V, the soprano's phrase ends ambiguously on c^2 at R185. This C is supported in the second half of the measure by an E°7 (E/G/B-flat/D-flat), a subset of which is yet another 0147 (C/D-

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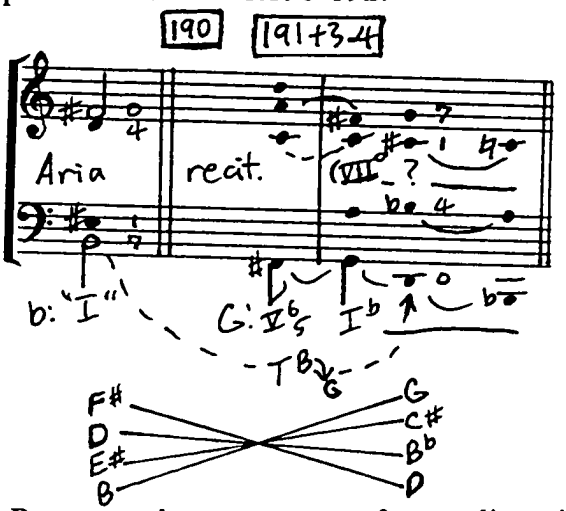
spans of more than four notes ought to be present before one can reasonably ascribe a role to this collection (see ex. 3-12).

flat/E/G), this time transposed so that the soprano's previous F maps onto C. Only then does the singer return to the head tone $f\#^2$ and descend in a traditional fashion to b^1 (R186+2), at which point the "tonic" 0147 returns. The transformation from the 0147 at R185 to the concluding tonic entails an inversion that maps C onto F#, reinforcing the soprano's abrupt resumption of the *Urlinie* descent. In a traditional tonal work, the harmonic diversion at R185 would sound only distantly related to the prevailing B minor. But through the mediation of 0147-related chords, this tonally distant relationship is absorbed comfortably into the succession of harmonies.

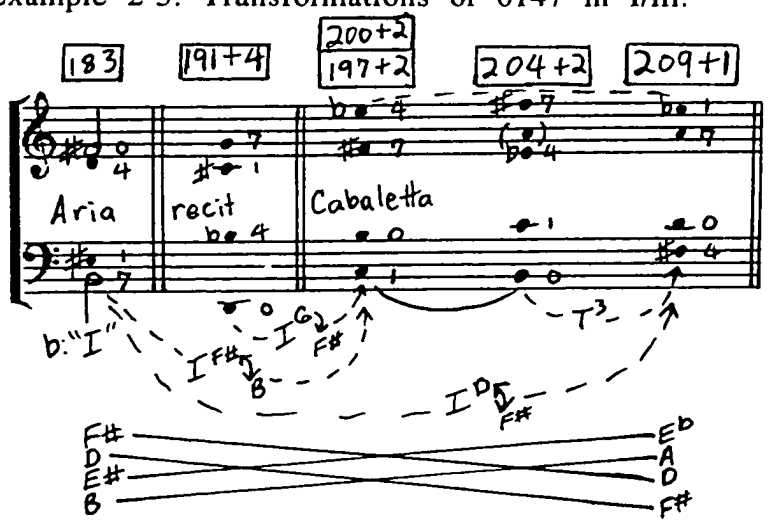
While never again associated with a "tonic" harmony, the tetrachord 0147 recurs several times during the subsequent course of the scene. In fact, various transformations of 0147 generate important harmonic and dramatic digressions over the course of the larger structural span from A minor to C major. In the final measure of the intervening recitative (R191+3-4), this familiar set class highlights the large scale harmonic movement from B minor to G minor fundamental to the transition between the arias (see Example 2-4). This harmonically ambiguous progression features a G minor arpeggiation in the bass and VII° of G in the upper voices. By interpolating a T_8 transposition of the original "B-minor" 0147 (D-C#-B flat-G) on the second beat, Stravinsky creates an even less conventional succession of chords, but in so doing draws a crucial motivic link to the previous aria.

Example 2-4. I/iii - R190-192.



Because the presence of non-diatonic leading tones and minor thirds make 0147 uniquely suited to the minor mode, this set class plays a less fundamental role in the C-major Cabaletta. In fact, the absence of such non-diatonic harmonies contributes as much to the striking contrast between Anne's two arias as the change in tempo and key. Nonetheless, 0147 does make a fleeting impression in the harmonic digressions from C major at R197-8, R200-1, R204-5 and R209, digressions that contain subtle, but dramatically significant links to the B-minor aria (see Example 2-5).

Example 2-5. Transformations of 0147 in I/iii.



At R197+2 and R200+2, B-C-E flat-F# represents an inverted form of 0147 that preserves the boundary pitches of the earlier "tonic" B-minor 0147, while simultaneously including the C/E-flat third characteristic of the Cabaletta's diversions to C minor. The same chord (with B instead of C in the bass and an added a^1) functions as a pivot harmony in the abrupt transition to the contrasting B section at R204+2. A final 0147 (D-E flat-F#-A) appears as one last harmonic digression in the midst of the A' section (R209+1). A T_3 transposition of the previous 0147, this particular transformation preserves E flat (D#) and F#, both embellishing pitches to the E and G of tonic C major.[17] In addition, this 0147 represents another inverted form of the "tonic" 0147 in B minor, this time preserving D and F#. Given the particular pitches retained from the "tonic" B minor of the earlier aria and the inevitable associations 0147 has with the minor mode, these transformations of this set class must be heard as nagging reminders of Anne's earlier doubt, and the subsequent returns to the tonic C major as exciting reaffirmations of her new-found faith.

Though the prevalence of 0147 is strictly a surface phenomenon, such non-diatonic set classes can infiltrate deeper structural levels. Consider again the final half measure of R184+1 discussed above (ex. 2-3). The F/F# also combines with the bass D_1 to form a subset of the original "tonic" 0147 minus the B. In fact, this 014 subset occurs twice in this sonority — as F#/F/D and F/F#/A —

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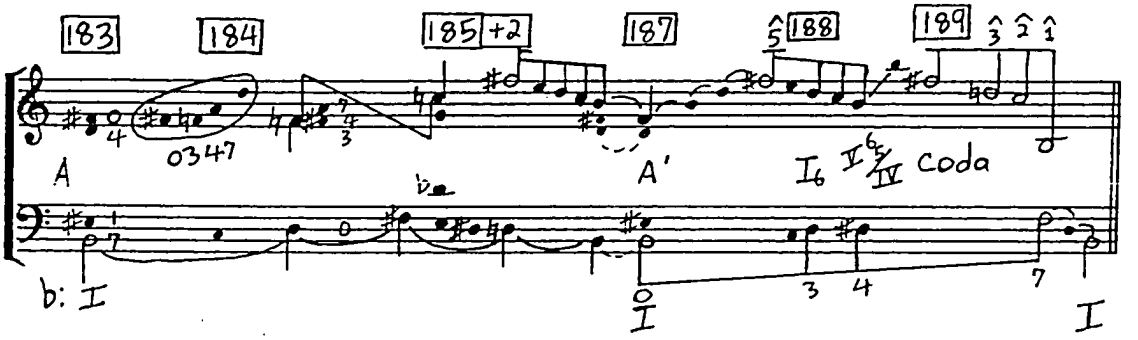
[17] $D\#^2$ and $F\#^2$ also function as embellishments of C major in the raucous instrumental music of the chorus of roaring boys and whores in I/ii, R106-8; R112-3; & R129-30. See Van Den Toorn, The Music of Igor Stravinsky, p. 379.

producing the symmetrical tetrachord 0347 (these same notes also appear in the vocal line at R184). The set-class 0347, inextricably associated with the conflict between major and minor triads, is also a fundamental harmony in the opening A-major duet in I/i-R1-2 (A-C-C#-E). In the B-minor aria, the extended oscillation between D_1 and $D\#_1$ (R188-189) raises the conflict between major and minor to the level of a middleground bass arpeggiation, implying a more structural function than a foreground 0347 (see Example 2-6).

Example 2-6. I/iii - R-183-189.



Modal mixture plays an even more important role in the Cabaletta. Already foreshadowed in the G-minor cadence preceding the G-major prayer (R192), the progression from minor to major literally replaces the traditional V to I cadence in the all-important transition from the prayer to the Cabaletta (R193). This passage is a perfect example of Stravinsky's symbolically alluding to a tonal procedure — a structural V to I in C major — but actually basing the transition on something quite different. Instead of resolving the leading tone B to C (and F to E), he anticipates the tonic minor and treats the subsequent resolution from E flat to E as the central focus

of the voice leading. There are several further diversions to C minor during the course of the Cabelletta (at R195+1, R198+1, R201+1, R204+2, R208+2 & R209+1), each of which, like the transformations of 0147 discussed above, imply lingering pangs of doubt in Anne's mind. Even in the harmonically contrasting B section, Stravinsky toys with G minor before settling on the dominant G major (R206+1&4), recalling the similar ambiguity before Anne's prayer (R192).

Finally, the chromatic ambiguity inherent in modal mixture inevitably yields, in some form, the <+1,-2> motive discussed in the previous chapter. This motive is clearly implied in the upper voice leading of the transition from the prayer to the Cabaletta (from the soprano's f^1 to e $flat^1$ to the trumpet's e^1 at R193), as well as in virtually every other instance of modal mixture. The motive even spans the ten measures from R201 to 203+1 in the soprano's highest register (a $flat^2$-a^2-g^2), even though no modal mixture is implied.

Viewed together, the prevalence of 0147 and 0347 tetrachords (among several other 014-related set classes) points to a fundamental impact of the 014 trichord on the middle and foreground harmonic structure of the entire scene. The transformation of 0147, while not part of a tonal unfolding, still propels harmonic movement — especially in the B-minor aria — in a manner analogous to, and in this case actually replacing, a tonal operation such as motion to the dominant. And through the course of the entire scene, the transformational path of 0147 provides conspicuous and dramatically important harmonic connections between the two arias. Likewise, the modal ambiguity inherent in

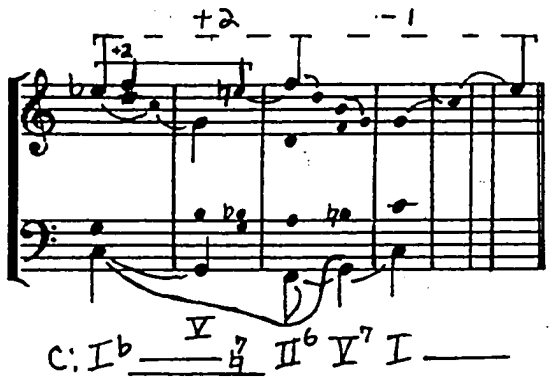
the 0347 tetrachord and its associated voice-leading motive serves a crucial structural and expressive function in both arias. Only by considering these post-tonal processes and the associated linear embellishments (examples 2-3, 4, 5 & 6) along with the background tonal motion from A minor to C major (ex. 2-1) can one fully appreciate the musical forces at play over the course of the entire scene.

A closer examination of "Dove sono" serves to highlight the extent to which Stravinsky's handling of tonal structure resembles and differs from a traditional tonal model. The most obvious difference is the unity of key that governs Mozart's scene, from the beginning of the recitative to the final *Allegro.* Mozart's *Andantino* follows an ABA' format, more similar to Stravinsky's Cabaletta than his two part (AA') aria in B minor. In general, the formal structure of "Dove sono" is far more supple than the conventional two-aria format that Stravinsky borrowed, strictly speaking, from the Italian *bel canto* composers. Instead of an intervening recitative, Mozart, in the midst of the repeated A' of the *Andantino,* leaps directly into the *Allegro* while still poised on a V^7. In effect, he concludes the second half of the A' of the *Andantino* with the second half of the *Allegro.*

Aside from these differences in thematic structure, "Dove sono" shares several striking instances of mode mixture with Anne's aria. The first instance occurs in the transition to the B section at m. 19-23 of the *Andantino,* when a two-measure embellishment of G major is repeated in G minor. The interpenetration of minor into major is even more pronounced in the *Allegro.* In fact, the mixture is projected onto the musical surface in m. 5 when the singer's e flat-d-

e natural produces another <-1,+2> motive. The same passage is extended in mm. 24-5, this time with the upper neighbor F creating a <+2,-1>. In fact, this foreground e flat-f-e natural is replicated at the middleground over mm. 24-32 (see Example 2-7).

Example 2-7. *Le Nozze di Figaro* - "Dove sono," *Allegro*, mm. 24-32.



Modal mixture accounts for the remarkable harmonic connections between the arias of Anne in *RP* and the Countess in *Le Nozze di Figaro.* Whether Stravinsky consciously modeled his scene after Mozart's is probably unprovable and not even important, for it is the emotional affinities between the two characters that account for the musical affinities between the two arias. Mozart introduced G minor and C minor into the Countess's aria to highlight the pain of her abandonment and her doubts about saving her marriage, even while she decisively takes control of her destiny. Stravinsky's appropriation of the minor mode and its particular motivic features serves the very same expressive function as that of Mozart. What distiguishes Stravinsky is his relatively free treatment of voice leading, the profusion of non-tonal set classes, and the relative lack of traditional tonal coherence.

Act II, scene ii - Arioso, Duet, Trio and Finale

As varied and rich as the musical language of Anne's aria is, one can easily come to terms with its conventional formal structure. Such is not the case in the scenes of RP involving a longer and more varied succession of characters and situations, rather like the extended finales of Classical *opera buffa*. Stravinsky himself wrote:

> In the earlier scenes the mould is to some extent pre-Gluck in that it tends to crowd the story into secco recitatives, reserving the arias for the reflective poetry, but then, as the opera warms up, the story is told, enacted, contained almost entirely in song.[18]

The first such extended scene (i.e. with no secco recitative) comes in Act II/ii, when Anne arrives in London and confronts Tom, only to discover that he has taken the bearded Baba the Turk as his wife. Indeed, Stravinsky presents the events of this important scene "entirely in song," progressing as it does from a chilling and melancholy instrumental prelude (R79), Anne's apprehensive arioso (R84), a festive interlude (R97), Anne and Tom's turbulent duet (R106), Baba's comical entrance (R127), a deeply moving trio (R131), and concluding with a majestic chaconne with chorus (R142). Stravinsky organizes this progression of events into three basic harmonic regions: the introduction and Anne's arioso (C minor/E-flat major); the servants' procession and Anne and Tom's Duet (F major/minor); Baba's entrance, the Trio and Finale (D major — see Example 2-8).

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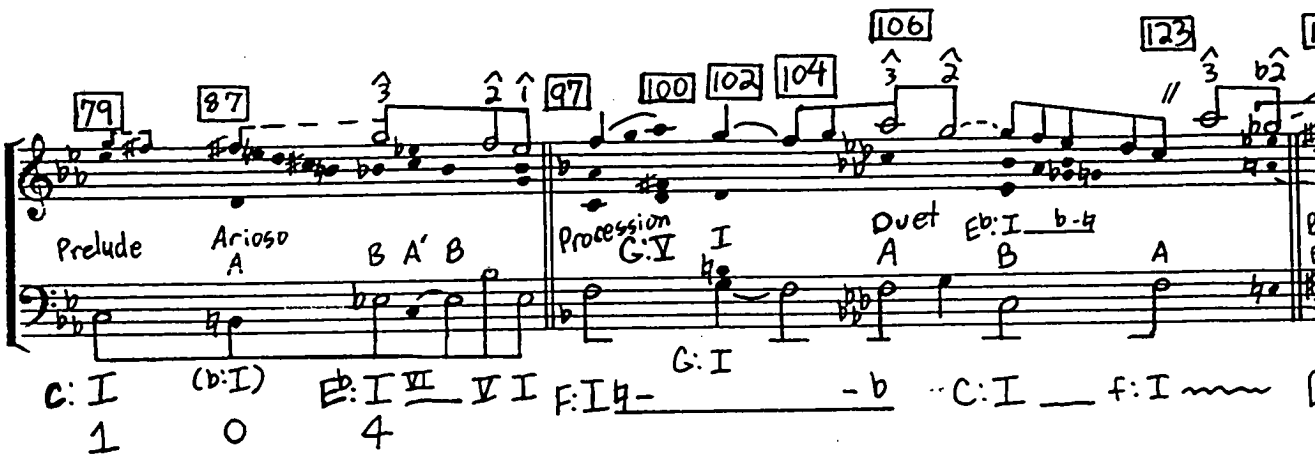
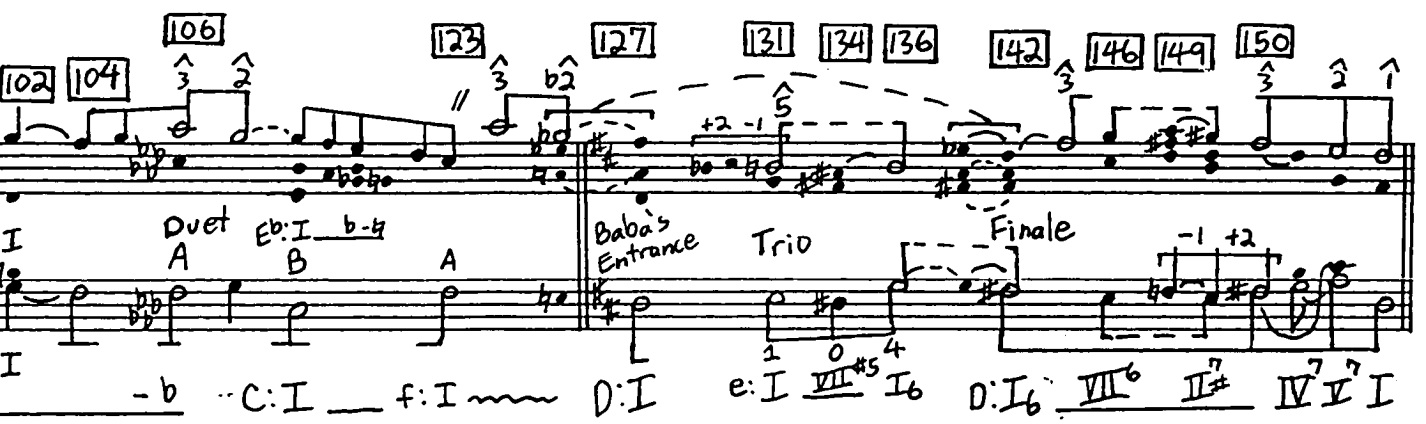
[18] "The composer's view," in Griffiths, p. 2.

Example 2-8. *The Rake's Progress*, II/ii.





However, unlike I/iii, foreign keys intrude into each region (B minor in the arioso; D major and G major in the servants' procession; E-flat minor in the trio; a bass F natural in the chaconne), reproducing at the background level important middle- and foreground cells and motives (i.e. 014 and <+1,-2>). These cross references and the infiltration of one area into another not only create distinctive chords, startling juxtapositions and unusual voice-leading — in short, an added dimension of post-tonal activity — they also provide important clues to the larger musical/dramatic process that unfolds on stage. From the time of Anne's arrival in London to her bitter exit in the midst of the gawking crowd, she and her fellow characters progress through a series of doubts, decisions, charades, deceptions, revelations and confrontations, all of which Stravinsky tells, enacts and contains "almost entirely in song." The result is not only satisfying music but a compelling drama in itself.

The degree to which the scene may be said to form a single, coherent musical whole is subject to debate. Typically, in the Classical extended finale, combinations of characters and situations continually change so as to afford the greatest possible musical variety, usually culminating in an accelerating swirl of dramatic developments and tempi. Some well-known examples of this are the finales of Act II of *Le Nozze di Figaro* and Acts I of *Don Giovanni*, *Così fan tutti*, and Rossini's *Il Barbiere di Siviglia*. Stravinsky's varied Act II/ii simply follows this pattern, though it concludes more like the stately Act III finale of *Figaro*, with its grand choral finale.

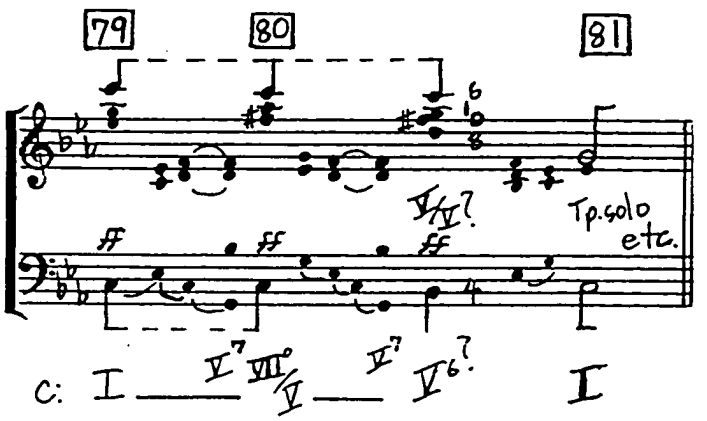
As in Anne's earlier scene, the most obvious difference between II/ii and the Mozartian finale is its lack of *tonal* integration

in the traditonal sense. Stated simply, the scene begins in C minor and ends in distant D major. But, as is always the case in this opera, Stravinsky's method of harmonic succession does not preclude the influence of tonal forces. In fact, the opening C minor is tonally related to Anne's Arioso, which concludes in E-flat major, and the F-minor duet with Tom, the B section of which returns to C minor. It is at Baba's entrance at R127 in the tonally unrelated key of D major that the scene loses its sense of tonal unity. The dramatic appropriateness of this disjunction is obvious. Up until that point, Anne had hoped, through the power of her love, to convince Tom to let her stay with him in London. Her hopes are dashed, and so is the waning power of the key of C, when Tom's new wife appears. The rest of the scene is framed in Baba's D major.

Introduction and Arioso (R79-97)

At the very outset Stravinsky thrusts us into the bleak world of London with a startling succession of three fortissimo chords (see Example 2-9).

Example 2-9. II/ii - R79-81.



Following the opening C-minor attack, meandering string thirds, probably derived from the Act I trio "Soave sia il vento" from *Così*, create a somber stillness that is interrupted by another fortissimo outburst at R80, this time a dissonant $VII^{6/4}$ of G (C/F#/A). A third, even more dissonant disruption comes three measures later (B flat in the bass, D/F#/G/C in the upper voices). The meandering strings resume as accompaniment to the melancholy trumpet solo, a feature Stravinsky openly admitted was derived from Act II of Donizetti's *Don Pasquale*.[19]

The three fortissimo chords that punctuate the opening measures stand out not only in terms of dynamics and orchestral texture, but harmonically as well, for they introduce the only non-diatonic pitches in the first 26 measures of the scene. The progression is conspicuous enough to merit close attention. While c^3 remains fixed in the top voice, the C_1 in the bass descends to B $flat_2$ on the third chord. While the second chord clearly implies a tonal function (VII of V), the third chord is far more ambiguous, implying no obvious tertian harmony. The retention of c^3 and $f\#^2$ from the second chord creates a sense of continuity, while the stepwise descent in the bass implies a progression of some sort. Beyond these vague observations of voice leading, the most concrete analytical label that can be attached to this harmony is the set-class 01468. For the moment, this succession of chords must remain an enigma.

Unlike Anne's earlier scene (I/iii), the key within any given section of II/ii is apt to change abruptly to a distant tonality, only to

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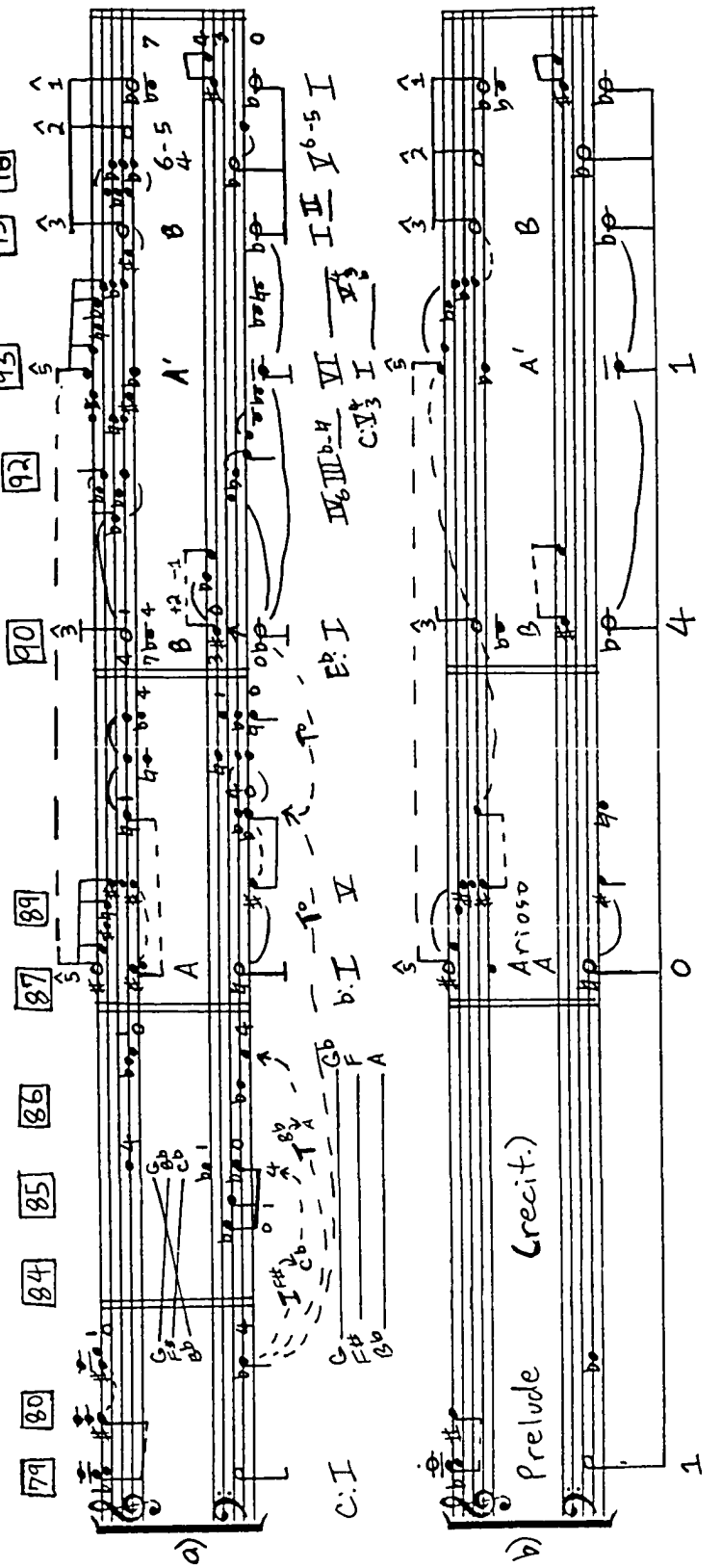
[19] Stravinsky and Craft, Expositions and Developments, p. 61.

return just as abruptly. Anne's arioso is a case in point. She meekly interrupts the C-minor prelude at R84 in a recitative which "modulates" to the B minor of her arioso, no doubt an allusion to her earlier slow aria. The arioso progresses to nearby F# minor (R89+1), after which Anne decisively turns on the pivot tone g^1 to the distant key of E-flat major (R90). This tonally unstable passage eventually gravitates back to the C minor of the introduction (R93), at which point Stravinsky recapitulates the material previously stated in B minor. The dramatic implications are clear. While in B minor, the key of her doubt, Anne chastises herself, "O heart, be stronger. . ." In E-flat major, she sings a lively song ("No step in fear shall wander") to muster up courage, which successfully motivates her forceful statement in C minor, "A love that is sworn before Thee can plunder Hell of its prey." The impact of this latter passage cannot be overemphasized, because its return during Nick and Tom's card game (III/ii), in C minor, represents the turning point of the opera. But Anne's forceful statement does not yet have the power to sway events, for her arioso ends timidly with the brief return of the E-flat major ditty in its original key (R95-6).

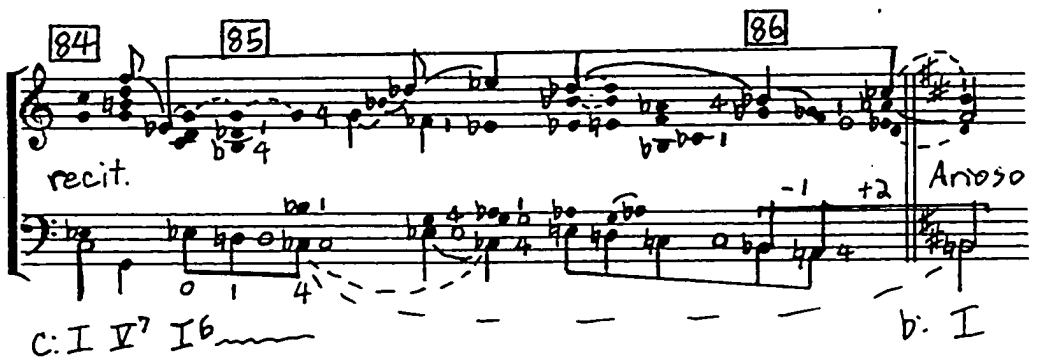
By the conclusion of the arioso, it is clear that the B minor with which it begins is not the controlling tonality. Within the context of the C-minor introduction and the concluding E-flat major, B minor, even with its obvious extra-musical association, acts as a "foreign" key. According to Craft, this succession of keys came as something of

Example 2-13. II/ii - R79-96, Prelude and Arioso.



an afterthought, for "Stravinsky composed a few measures [of 'O heart be stronger'] in C minor before lowering it to B minor."[20] The change creates a strikingly different background structure. Instead of a tonally related modulation from C minor to E-flat major, or a projection of a simple linear span, as in I/iii, the introduction of B minor produces a backgound 014 trichord (B-C-E flat), an important foreground feature in I/iii and distinctly non-diatonic (see Example 2-10). This background projection of a post-tonal set class is all the more striking when one considers the partial linear spans and bass arpeggiations of the relatively tonal middleground. It also raises the obvious question of how Stravinsky gets from one key to another. Unlike I/iii, Stravinsky does not even bother to allude to the key-defining progression V-I in "modulating" between these keys, whether they are tonally related or not. Instead, he manipulates the very set class, 014, that governs the large scale succession of keys! Anne's transitory recitative at R84-7 is the first case in point (see Example 2-11).

Example 2-11. II/ii - R84-87.



20 Craft, "Appendix C," Stravinsky: Selected Correspondence, vol. III, p. 511.

After the purely diatonic trumpet solo, Stravinsky introduces in the recitative chromatic harmonies that undermine the sense of C minor. In the first such succession of three chords around R85 one can detect a hint of the distant tonality to come and the process by which Stravinsky brings it about (Not coincidentally, these chords appear in the same detached string articulation as the "aftershocks" of the three fortissimo chords of the introduction). The bass line itself — E flat$_1$-D$_1$-C flat$_1$ — highlights the eventual goal of the passage (B minor) and also projects the 014 trichord. In fact, 014-related harmonies support both the D$_1$ (0147 - D/D flat/B flat/G) and C flat$_1$ (014 - C flat/B flat/G). The next two chords at R85+3, again 014 trichords (E flat/F flat/G & G/A flat/C flat), reiterate the span from E-flat to C-flat. Even as the bass line in the remaining measures traverses the tonally unrelated fifth span from E to A, Stravinsky still employs the 014 trichord over C$_1$ (C/C flat/A flat) and the final A$_2$ (F/G flat/A). Also notice that the bass voice-leading from the recitative to the arioso — B flat$_2$-A$_2$-B$_2$ — follows the path <-1,+2>.

The 014 trichord also dominates the three-chord transition between B minor and E-flat major before R90 (see ex. 2-13). As the soprano dwells on the pivot tone g^1 and the bass line descends G flat$_2$-F$_2$-E flat$_1$, each chord contains a 014, either alone or nested within a larger set class (G flat/G/B flat supporting G flat, F/E/D flat supporting F and F#/G/E flat supporting E flat). Even in the E-flat major tune that follows, the clarinet repeatedly arpeggiates the 0347 tetrachord built around the lingering F#-G (E flat/F#/G/B flat). In this manner, the "distant" tonality of B minor, represented by the persistent F#, makes its presence felt to the very last measure of the

E-flat major passage (R96+4). Even more striking, however, is the connection between the 014 trichord F#/G/B flat and the third fortissimo chord of the introduction (R80+3), which contains three of the same pitches. Viewed in this larger context, the progression from $f\#^1$ to g^1, around which the transition from B minor to E-flat major is effected, is implied in reverse in the inner voice progression from g^2 to $f\#^2$ in the introduction (R80). Also, by isolating the F#/G/B flat from the chord at R80+3, the first such trichord of the scene, one can trace the trajectory of 014 as it is transformed in Anne's recitative. Viewed in this manner, the trichord over C $flat_1$ at R85+1 has been inverted so that F# maps onto C flat and G/B flat remain invariant, a significant transformation considering the opening key of the arioso (B minor). The 014 trichord over A_2 which immediately precedes the arioso (F/G flat/A) represents a transposition down a semitone from that initial 014.

That Stravinsky uses post-tonal procedures to "modulate" between tonally distant keys comes as no surprise, considering the usual fluidity with which he moves from one "system" to another. But rarely does one encounter so clear an example of a structural interconnection between foreground and background on the basis of a *post-tonal set class* such as 014.

Servant's Procession and Duet (R97-127)

The mood changes quickly with the festive F-major procession of Baba's servants (R97). Here, as in most of his passages in a major key, Stravinsky generally avoids the 014 trichord, with its minor

mode implications, in favor of the diatonic 027 trichord.[21] Consequently, the harmonically pregnant 0347 tetrachord (D/F/F#/A) at R100 derails the passage from its unambiguous course (see Example 2-12). Here, 0347 alludes less to a conflict between D major and minor than a conflict between the D major (as V of G major) in the upper voices and the persistent F major in the bass. Prompted by Anne's perception of an evil presence underlying the seemingly festive procession, Stravinsky simultaneously changes key (at least in the upper voices) and enriches his harmonic palette. At R102, subdued divided strings continue the elegant procession as both the upper voices and bass resolve to G major. Yet Anne becomes so spooked that she ceases even to sing, observing in spoken voice that she trembles "with no reason." The bass descent from C_1 at R103+1 — via B $flat_2$ and a resultant 0347 tetrachord (G/B-flat/B/D) — steers the passage back to F major (R104). This tonally contrasting passage from R100-104 is therefore highlighted by two fifth-related 0347 tetrachords (built on D and G, respectively),

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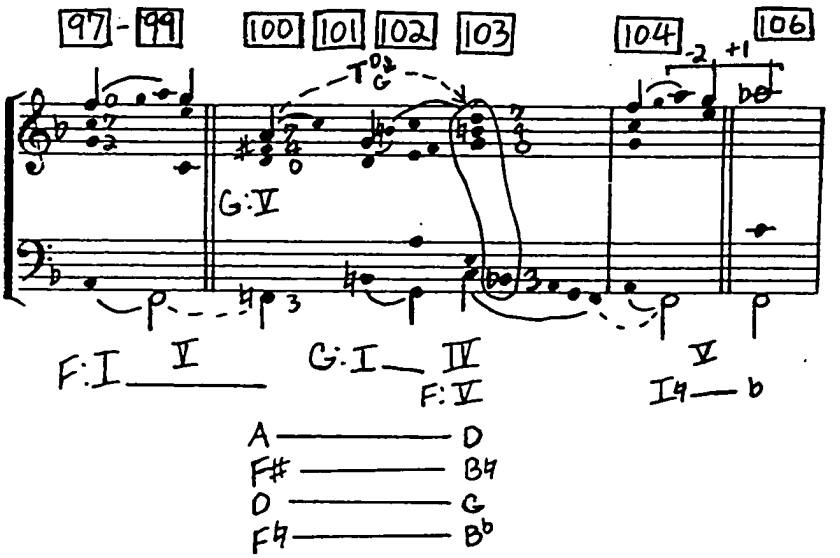
[21] In general, 027 is Stravinsky's favorite substitute for the tonal triad (037), and at times it dominates entire passages (e.g. the introduction to I/i). That this trichord, built in consecutive fifths, is projected onto the middle- and background of certain passages probably goes without saying, for it represents the root movement of the most common tonal progressions: I-IV-V-I & I-II^6-V-I. Because it is so common, I have not bothered to call attention to this connection. However, the fact that 027 is ubiquitous in tonal music as a root movement, while its use as a chord is fleeting, reflects a truism that is not the case in post-tonal music: There is a clear distinction in tonal music between vertical and horizontal dimensions (Straus discusses this at length in his article "The Problem of Prolongation. . .," pp. 5-6). Therefore, while in tonal music 027 typically implies a suspension of some sort, when it occurs in Stravinsky (or, for that matter, in most music after Debussy), it represents a typically post-tonal verticalization of a typically tonal root movement. That is why 027 has been so attractive to pseudo-tonal composers. It simultaneously resides in tonal and post-tonal worlds.

reflecting the tonal conflict between F major and G major not only in their inner structure but also in their relation to each other (V-I in G; 1 and 4 in F).[22]

Example 2-12. II/ii - R97-106.



As abruptly as the F-major procession began, Stravinsky shifts to F minor at the moment Tom arrives (R106). As in Anne's Cabaletta, the juxtaposition between major and minor entails the middleground voice-leading <-2,+1> (a^2-g^2-a $flat^2$ - see ex. 2-13). While the shift to minor implies the expressive qualities conventionally associated with that mode — tension, sadness, anger — Stravinsky does not choose just any minor key.

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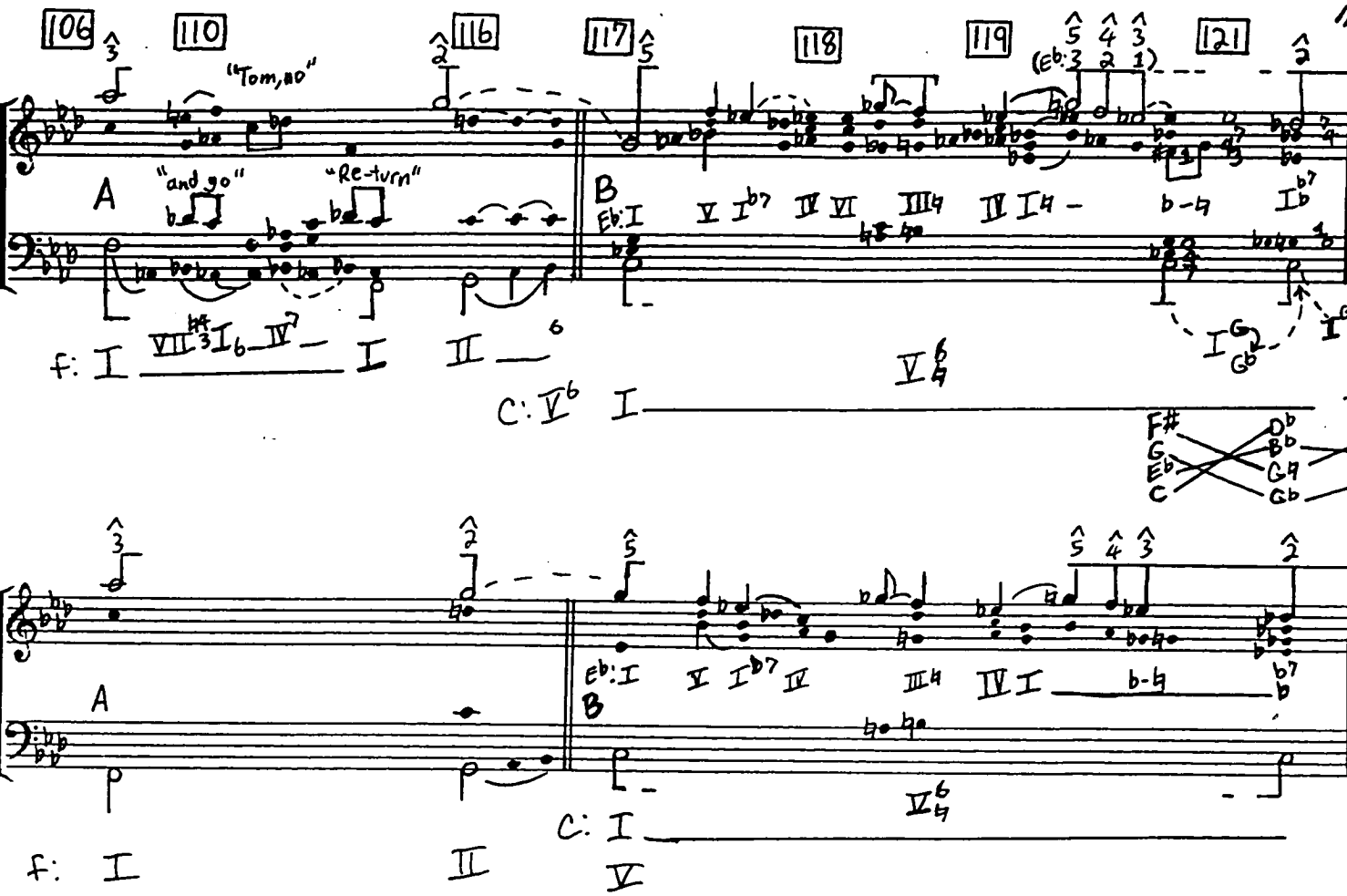
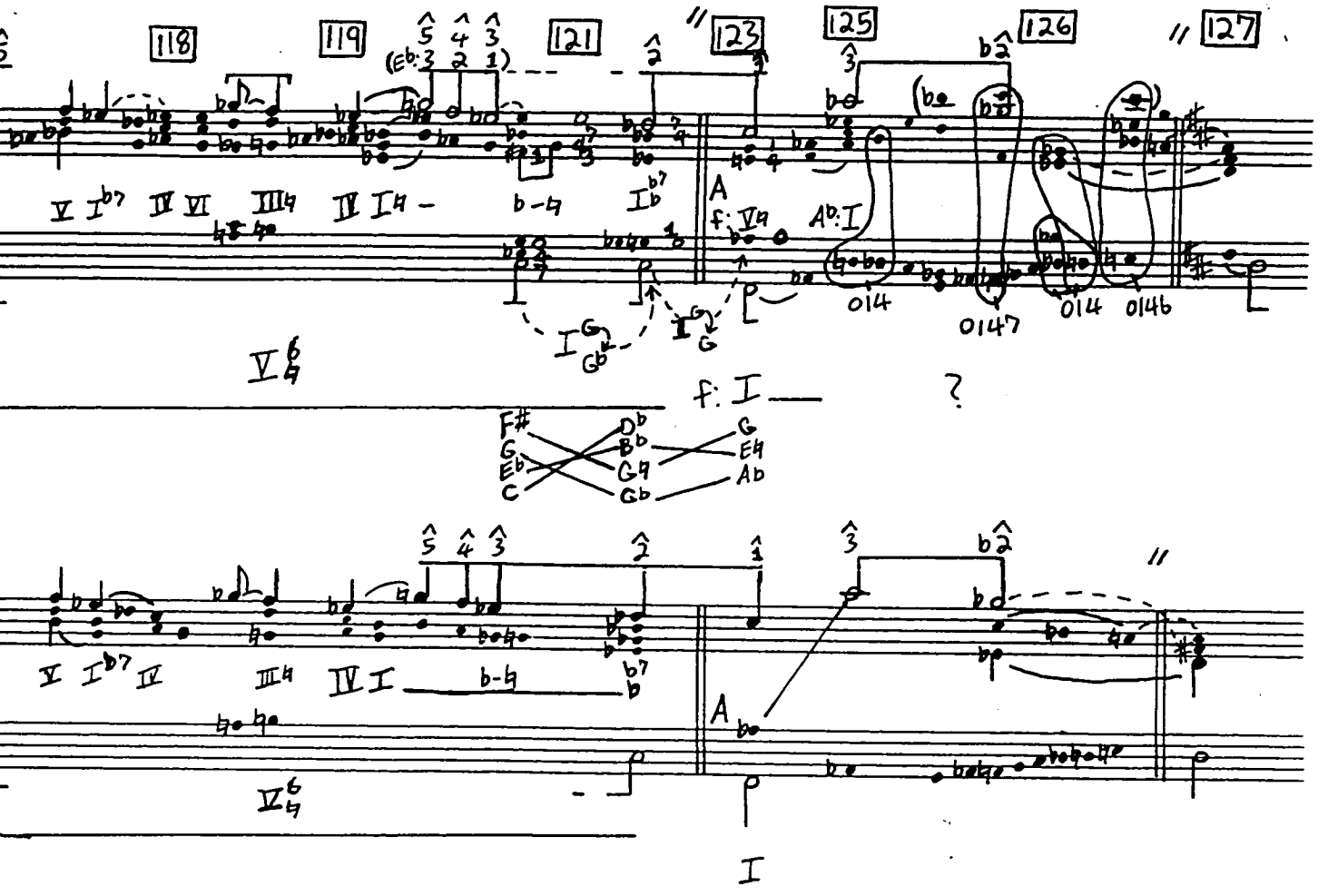
[22] There are striking similarities between this diversion to G major and the bi-tonal Duettino between Anne and Father Trulove in III/iii (R261-266). Both passages are characterized by a structural conflict between F major (in the bass) and G major (in the upper voices), resulting in the 014 trichords F/F#/A and B-flat/B/D (cf. ex. 2-12 and ex. 3-14c). In both cases, these set classes indicate a *tonal* conflict, in distinction to the function of set-class 0147 in Anne's B-minor aria, which generates a *non-tonal* motion from the upper-voice $f\#^1$-f^1-c^2-$f\#^2$ (see ex. 2-3).

Example 2-13. II/ii - R106-127, Anne and Tom's Duet.



nne and Tom's Duet.



Certain features of F minor reveal more fundamental forces at play. The anxious duet poses the conflict between Anne's desire to be with Tom and his insistence that she return home without him. Each time he demands that she go back ("and go" and "return" at R110 and "Go back" at R124+2), he sings the pitches d flat^1-c^1, a dyad that plays an central role in the opera (see Example 2-13).[23] To his first statement at R110, Anne responds, "Tom, no—" in the ascending version, c^2-d flat^2 — the very same pitches she sings in the context of A major at the idyllic opening of the opera ("The woods"). Stravinsky uses this "invariant atomic motive" to draw a connection between otherwise unrelated tonalities — A major (I/i) and F minor. This detail may seem trivial, but both the dramatic idea and the musical motive are central to the opera. The ascending motive is here identified with Anne's love for Tom, the descending version with its dissolution. The contrasting functions between C-C# in A major and C-D flat in F minor reflects musically the dramatic progress of Anne and Tom's love. Therefore, Stravinsky's choice of F minor for their first confrontation after Tom has abandoned Anne produces a palpable and measurable impact.

Saturated with chromatic inflections and non-diatonic set classes, including numerous 014 trichords, this turbulent duet eventually winds its way to a G ^{6} chord at R116+1, ostensibly V^6 of the following B section in C minor (R117). Here, in a much slower tempo, Tom tries to reason with Anne, telling her that London is no place for her. He also sings essentially in E-flat major, ignoring the

[23] See Straus, "Progress of a Motive . . ."

steady C-minor bass arpeggiations and even briefly tonicizing A flat (R118). But Tom cannot maintain the pretense of a major mode, as G flats creep in at R118+2 and R120+1, the latter producing a 0347 (E flat/G flat/G/B flat), the same chord the clarinet arpeggiates in Anne's earlier attempt to console herself in E-flat major (R90). The connection implies a common connotation to both the key of E-flat major and the extraneous note G flat (F#). Anne, in the arioso, and Tom, in the duet, are both trying to put a positive light (E-flat major) on a bleak reality (symbolized by G flat/F#). Measured against the ever-present C-minor arpeggio in the bass, the conflicting G flat/G also produces the familiar 0147 tetrachord. At the abrupt retransition back to F minor, Tom reintroduces D flat (R122+2). Also sounding against the G flat/G (& B flat), this yields yet another 0147, inverted from the "C-minor" 0147 so as to preserve the conflicting dyad. As Tom's d-flat^1 resolves to c^1 at R123, in accordance with traditional voice leading, Stravinsky creates added harmonic bite by inverting the 014 trichord nested in the previous 0147 (G flat/G/B flat) around G (producing A flat/G/E), in effect combining I and V in F minor (see ex. 2-13). Here, tonal and post-tonal procedures subtly interact to produce a smooth and lucid transition from C minor/E-flat major to F minor without sacrificing the conflict so essential to the drama.

At R125, Anne futilely responds to Tom's F-minor outburst in the relative major, A-flat ("Let worthiness. . ."), while the bass line chromatically ascends from the realm of F minor to a brief and tonally bewildering E_1. The entire succession of harmonies from R125-127, apparently driven by the stepwise motion in the bass and

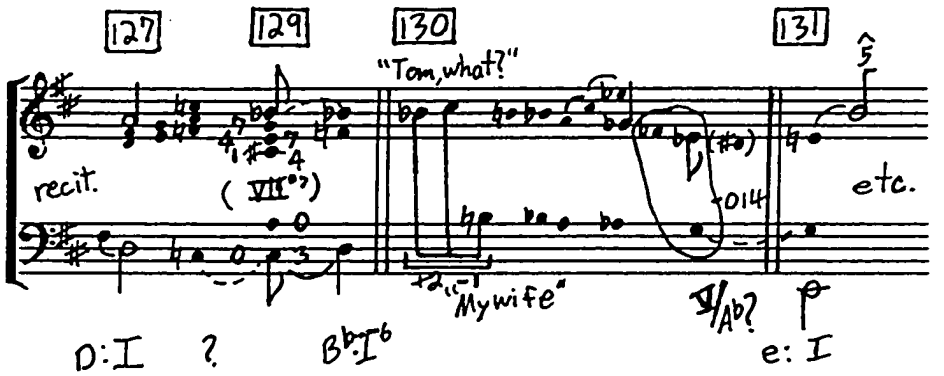
full of 014 trichords, effectively obliterates any strong tonal sense. The troubled lovers gravitate to e flat^1/g flat^1 before stopping abruptly, leaving a single horn e flat^1 hanging in the tense air. With no transition to speak of, Stravinsky jumps from the opera's most impassioned and anxious moment, both musically and dramatically, to its most banal. Two bassoons piping along in a static D major accompany the arrival of the exotically clad Baba the Turk in a sedan-chair at R127. Even without this comic image, one could envision such a scene from the absurd musical juxtaposition alone. But the disjunction functions as more than mere comic relief. Baba and her materialistic caravan have supplanted poor Anne, at least for the time being. Musically speaking, Stravinsky has already planted the seed of D major in the servants' procession (R100), and more specifically, F# (G flat) has been the focal point of several harmonic digressions and has infiltrated both earlier passages in E-flat major (Anne's song — R90-97 — and the B section of the duet — R117-123). The troubled lovers' final sonority at R126 (e flat^1/g flat^1) clearly recalls the earlier hint of E-flat minor. The only change required for Baba's arrival is the resolution of e flat^1 to d^1.

Trio - R127-142

Waiting to be aided from her sedan by Tom, Baba quickly lapses from her sedate D major into impatient chromaticism at R129, featuring a very dissonant B flat and 0347 and 0147 tetrachords (A/C/C#/E & C/C#/E/G). As Baba notices Tom's distraction, Anne, her motion from a^1 to b flat^1 (and f#^{1} to f^1) effects a shift to a B flat major^6 chord. In a rising whole step (b flat^1-c^2), Anne asks, "Tom, what?" Punctuated by the returning solo horn, he intones the awful

response, "My wife, Anne" on B_1, completing the <+2,-1> motive (see Example 2-14).

Example 2-14. II/ii - R127-131.



In one of the most painful moments in the opera, Anne learns the awful truth. This intense moment also provides us with the clearest example of the dramatic function of the <+2,-1> motive. The chromaticism that the motive introduces here and in several other instances in the opera (see the three passages analyzed in chapter one), obliterates not only the prevailing tonal sense, but the prevailing sheen of pretense and deception among the characters. Such is likewise the case when Tom interrupts the servants' procession (R106 - see ex. 2-12). In both cases, the post-tonal motive (+1,-2) belies the artificial world that Stravinsky evokes through tonal convention. When dissonant motives are more fully incorporated into the musical fabric, as in Anne and Tom's duet (see ex. 2-13), the music uncovers a reality hidden by the surrounding pretense, which is couched in tonal convention (the servants's procession and Baba's entrance).

Heartbroken, Anne takes up Tom's B and descends chromatically with the horn. With an ironic tone otherwise unlike

her, Anne bitterly responds, "I see, then, it is I who was unworthy." Anne's melody here recalls her inexplicable hesitation at R85+2 when she first arrived in London ("The hand draws back"), and her g flat^{1}-f flat^{1}-e flat^{1} sets up the E minor to come (R131). But the horn's G^{1}, producing a 014 with the voice (E flat/F flat/G), implies V of A flat. Just as the earlier harmonic succession into D major (R127), this arrival on E minor depends only on the resolution of a single E flat (in this case, to E), rather than a fully directed harmonic progression (see ex. 2-14). Consequently, both successions, to D major and E minor, seem bewildering, even arbitrary, exactly as Tom's marriage must seem — and indeed is — to Anne.

The remarkable trio that follows is essentially a duet between Tom and Anne, in which they mourn the apparent death of their love, consistently interrupted by an unknowing and insensitive Baba.[24] A legacy of the classical operatic tradition, the trio recalls numerous similar combinations of characters and groups of characters occupying different emotional states, projected by contrasting means of text declamation similiar to Baba's recitative-like patter and the more lyric passages of the two lovers.[25] One of

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[24] Prior to composing the ensemble, Stravinsky insisted to Auden that it would "be a genuine trio and not a duo with a third person's intervention." See Stravinsky: Selected Correspondence, vol. I, edited and with commentary by Robert Craft (New York: Alfred Knopf, 1982), p. 309.

[25] Two striking examples that come immediately to mind: 1) the trio "Signore! Cos' è quel stupore?" in the finale of Act II of *Le Nozze di Figaro* immediately after Susanna emerges, to the astonishment of both the Count and the Countess, from the closet singing a moderately paced Gavotte to their disoriented and immobile exclamations; and 2) the so-called trio "Ah, chi mi dice mai" from Act I of *Don Giovanni*, which is essentially an aria for Donna Elvira with sarcastic commentary from Don Giovanni and Leporello.

the most successful handlings of text setting in the opera, the trio actually required an extensive revision of its text before Stravinsky could strike a successful balance among the participants. Auden originally composed a much longer prosaic passage for Baba, prompting Stravinsky's only major complaint with the libretto: ". . . my composition is stalled because any music I might compose for Anne and Rake will be drowned under Baba's comic interference and the audience's laughs (I am positive about this). . . I cannot figure any other way out but for you *to compose verses for Baba's grumbling.*"[26] Considering Stravinsky's insistence that the ensemble be a true trio, it is obvious that he envisioned a poetic and musical texture for Baba more in concert with that of Anne and Tom ("the verses that I want you to compose should match those of Anne and Rake"). Realizing such a textural reconciliation would muddle the emotional differences between the characters, Auden responded:

> In order to distinguish Baba in character and emotion from the two lovers, it seems to me that her rhythm should be more irregular and her tempo of utterance faster. In writing her part, therefore, I have given any line of Baba's twice the number of accents as compared with the equivalent line of Anne or Tom's. If you find I have given her too many lines, cuts are easy to make. . .[27]

In fact, Stravinsky did take Auden's suggestions for cuts (except in the third verse) and, in setting Baba's lines at a faster "tempo of utterance," greatly reduced her singing in the ensemble. Thus, Stravinsky avoided the comic interference that he had anticipated while still preserving the essential differences in character and

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[26] Selected Correspondence, vol I, p. 309.

[27] ibid., p. 310.

emotion. The result is a virtually perfect musical and dramatic balance worthy of comparison with the great ensembles of Mozart and Da Ponte.

The ensemble is organized in four clearly defined sections: A) R131-134 in E minor; B) R134-136 in E-flat minor; A') R136-139 in E minor; and A") R139-142 in E minor.[28] As one might expect, the bass line gravitates to D# before each return to E minor (R135+4[29] & R138+4), projecting $V^{6/5}$ (or VII^{7}) of E. But Stravinsky even precedes the passage in E-flat minor (R134) with the same $V^{6/5}$. In the latter instance, D#/F# are held constant and A/B "resolve" to B flat, in a manner similar to the earlier non-tonal "cadences" onto D major (R127) and E minor (R131).

The return to E minor at R136 presents another noteworthy departure from traditional tonal practice. Instead of leading to E, the bass D# moves to G. As we have seen before, when Stravinsky conspicuously places the third of the tonic chord in the bass, he uses it to create the sense of an alternate tonal center. This ambiguity is exploited fully at R138, when Anne and Tom sing a cadenza over a cadential 6/4 in G major (with an added E and C). Deryck Cooke

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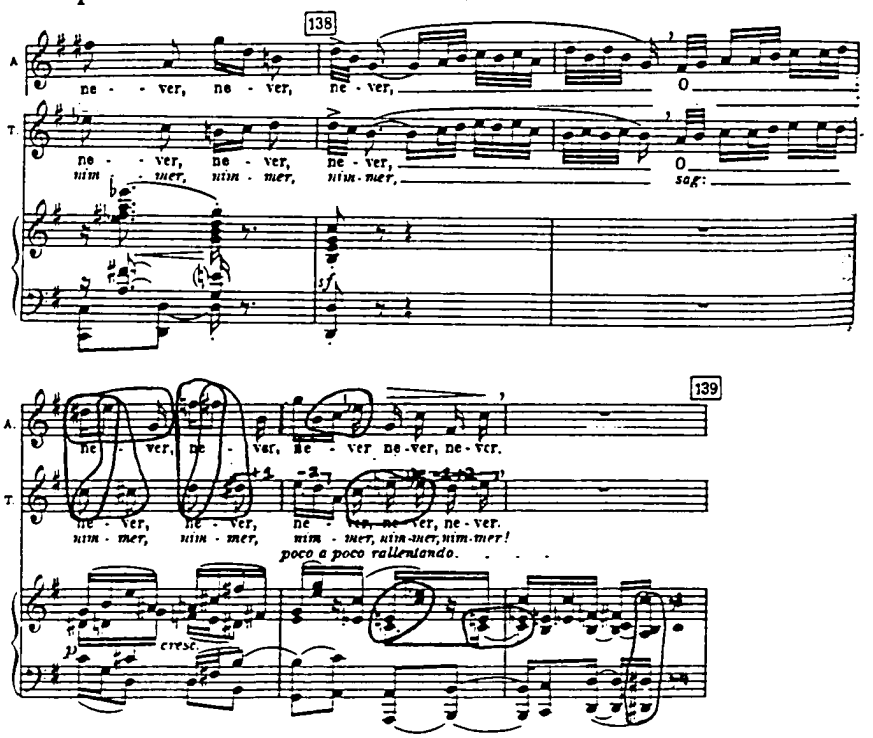
[28] Auden's libretto presents Anne and Tom's text in two separate verses with corresponding patterns and rhymes. Stravinsky explained to Auden, "My first move has been to reunite Anne and Tom's verses by staggering their lines until the very end when I let them sing twice together." (Selected Correspondence, vol I, p. 309.) Judging from Auden's three verse solution for Baba's part (which Stravinsky asked to correspond to Anne and Tom's verses), Stravinsky considered the scene to be three verses. Sections B and A' of the completed trio comprise the second verse (R134-139).

[29] The Boosey and Hawkes piano/vocal score mistakenly omits the # before the bass D_1 and D_2 at R 135+4/fourth eighth note (p. 109). It is printed correctly in the Boosey and Hawkes orchestral score (p. 199).

spots Stravinsky's borrowing of "a cadential cliché of the [Classical] period, which always ends with the three notes [B-A-G], . . . [B]ut Stravinsky omits the obligatory ending, and reaches no cadence at all."[30] Stravinsky, of course, never had any intention of cadencing in G major. To do so would entail an allegiance to tonal procedure that the modern composer reserves only for the most illusionary sentiments, such as Anne's Lullaby or the whore's sympathetic chorus. Such an effect here would trivialize Anne and Tom's painful parting. Instead, Stravinsky deflates the Classical cadential formula just as the lovers' hope for a life together has been deflated. And yet again, the chromaticism which ruptures this veil of pretense includes numerous (+1,-2) motives and 014 trichords (see Example 2-15).

Example 2-15. II/ii - R138-139.

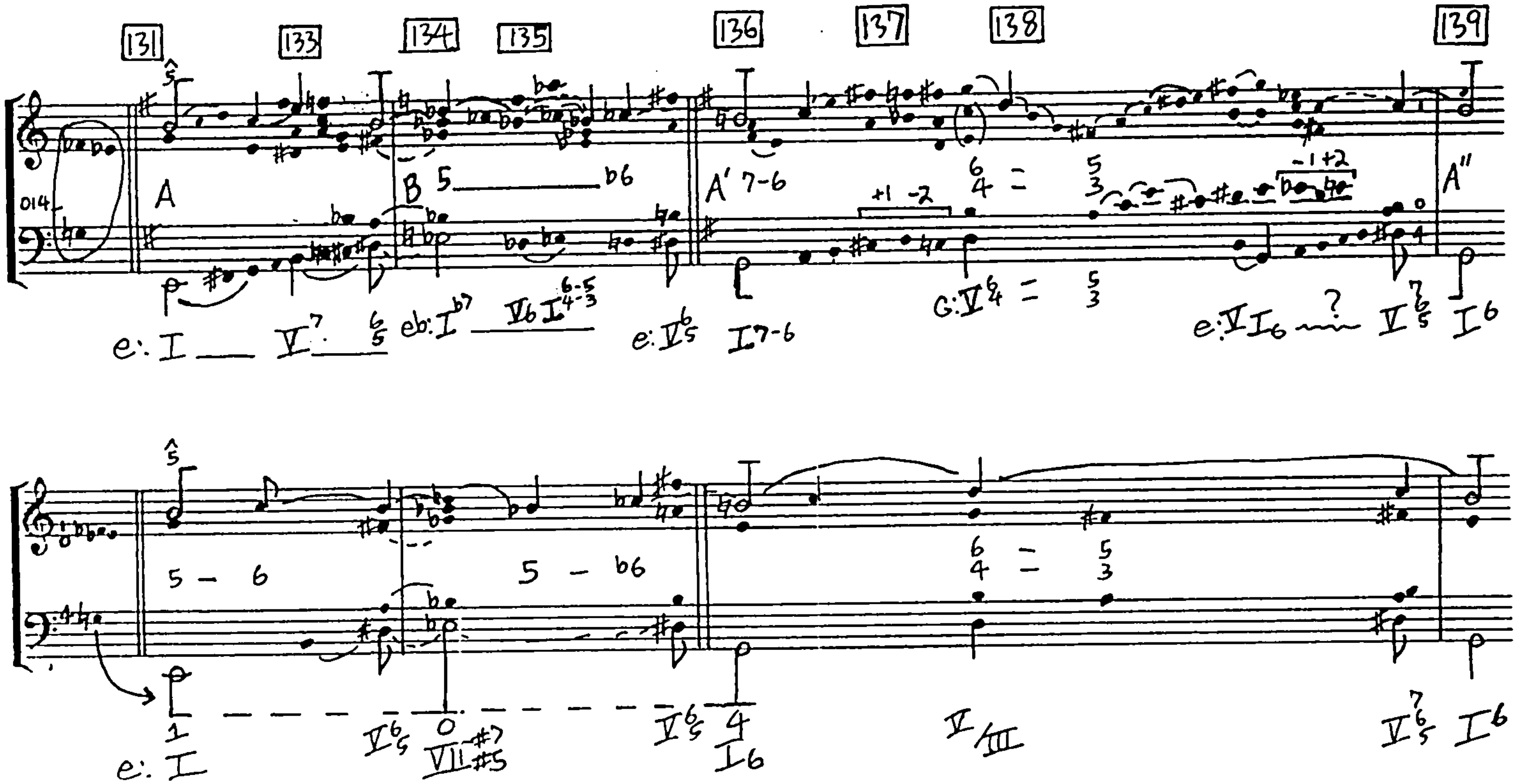


30 Cooke, "'The Rake' and the 18th Century," p. 22.

And, as I pointed out earlier, the passage concludes with a leading-tone D# in the bass. The A_1/B_1 in the inner voices imply $V^{6/5}$ of the coming E minor, while the upper voice c^1 (also Anne's final note) implies VII^7 of E. Taken together, however, B/C/D# also produce the very same 014 that governs the succession of keys in Anne's arioso: B minor - C minor - E-flat major (the extra A yields a 0236). Once again, Stravinsky manages to straddle the tonal and post-tonal worlds, and in so doing, connects the recurring D# of the Trio with the earlier key of E flat.

Stravinsky's flirtation with G major, which inevitably recalls the elegant passage in the servants' procession during which Anne could only speak (R102-3), reveals the importance of G as the bass note in E minor, which is again reiterated in the final section of the Trio (R139). Taken as a whole, the large-scale bass line of the trio progresses E-E flat-G, the same pitches that immediately precede the trio at R130+3. In fact, this background bass follows the same "voice leading," <-1+4>, as the earlier succession of keys in the introduction and arioso, C minor-B minor-E flat major (R79-97) (see Example 2-16). By projecting the 014 trichord at a structural level comparable to the earlier ensemble, Stravinsky draws a broad connection between the beginning and the end of scene. The background projection of a non-diatonic set class necessarily entails the juxtaposition of tonally unrelated keys. Given that the arioso and the trio are also tonally and dramatically distant with respect to each other — the first nurturing Anne's hope, the second burying it — there is a strong potential for a harmonic connection between the two ensembles based on their common post-tonal backgrounds.

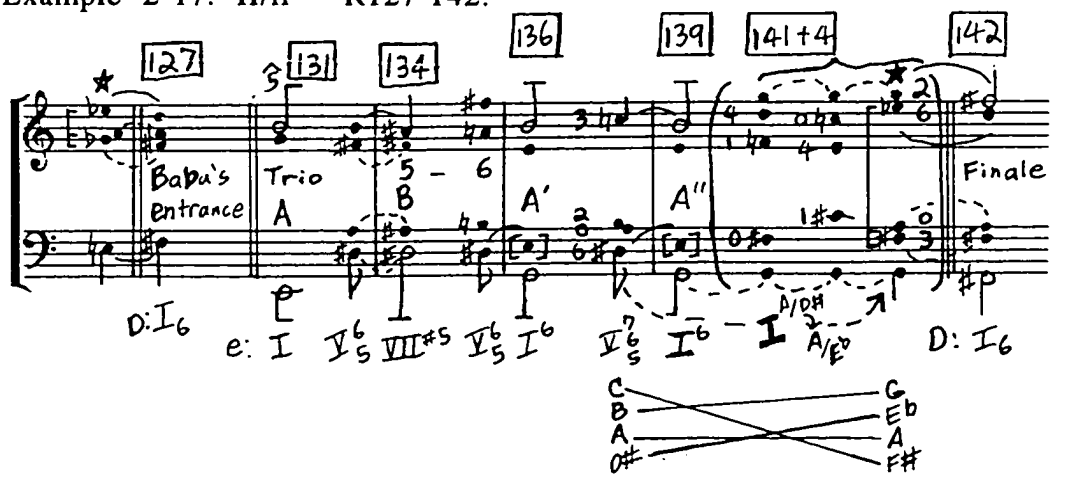
Example 2-19. II/ii - R131-139, Trio.



In other words, the E-flat minor section of the trio relates directly to the E-flat major of the arioso. Likewise, the B-minor section of Anne's arioso (and, by implication, her earlier B-minor aria in I/iii) relates tonally to the tonic E minor of the trio. Anne's nagging doubt, expressed in B minor, has unfortunately come to fruition in the despairing trio.

The trio comes to an end at R142 with G having entirely supplanted E as a primary tone, if not as a key. In fact, the final chord of the Trio contains the same pitches as the final chord of Anne and Tom's duet (R126+2), the only difference being the G instead of E in the bass (see Example 2-17). Poised in both the soprano and bass from R141, g^2 and G_2 serve as boundaries of a tonal space in which the succession of chromatic chords defies any sense of a traditional tonal center. In the final measure of the trio (R141+3), every chord includes a 014 trichord (F#/F/D; C/C#/E; and G/F#/E flat). The final chord also contains an A, producing a 0236 tetrachord which contains the same E flat/A as the 0236 at R138+4, only inverted so that B/C maps onto G/F#.

Example 2-17. II/ii - R127-142.



Consequently, Stravinsky preserves the tritone associated with V of E minor, D#/A, but in a form completely stripped of its earlier tonal implication. Of the four chords featuring D# and A that articulate the conclusion of each section of the trio, only two fulfill the traditional tonal implications of that dyad (before R136 and R139), and even these progress unusually from D# to G in the bass. These chords, while clearly implying the cadential formula V-I, function more as symbols of that relationship than as true dominants.

Finale - R142-152

The transition to the D-major Finale is accomplished in a manner similar to the earlier transition to D major at Baba's entrance (R127), except that G instead of E resolves to F# in the bass (see ex. 2-21). As Baba takes center stage, Stravinsky accompanies her with a pompous chaconne perfectly suited to the artificiality of the occasion.[31] The baroque form is organized into ten four-measure segments. The first four (R142-5) and last two segments (R150-1) represent self-contained progressions in D major; the two segments which accompany the entering chorus (R146-7) are in C major; the segment at R148 "modulates" back to D major; and the entire four measures after R149 are dominated by a climactic D major with F natural in the bass, the very same chord (0347) that appeared during the servants' procession at R100 (see Example 2-18).

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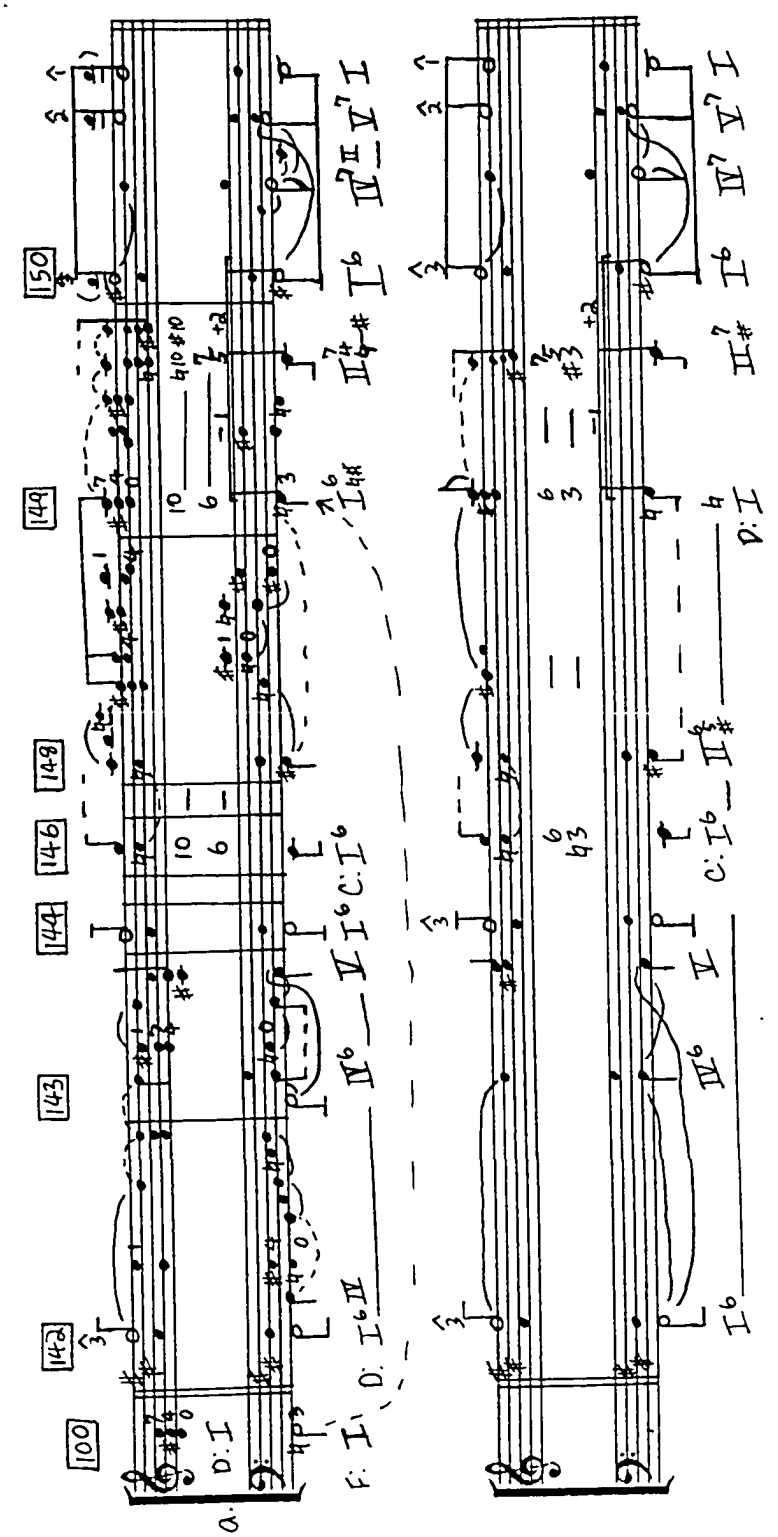
[31] Stravinsky wrote to Auden, "I am composing now the end of [Act II, scene ii], which is a chaconne; even when the crowd greets Baba, the chaconne continues, thus ending the whole scene." (Selected Correspondence, vol I, p. 311.)

Example 2-21. II/ii - R100 & R142-150 (Finale).



However, even in the D-major passages, F and C-natural repeatedly infiltrate the bass line of the otherwise consonant D major, resulting in chromatic harmonies laden with the familiar 014 trichord (F/E/C# at R142+2; C/C#/E/G at R143+2; and A#/B/D at R148+3). These persitent rumblings of 014 set the stage for the climactic moment when Baba reveals her beard to the gawking crowd (R149) to the pregnant dissonance of the aforementioned 0347 tetrachord (D/F/F#/A). The chord firmly connects the recessional chaconne with the earlier procession of servants. The superposition of D major onto F major at R100 dramatizes the intrusion of Baba's materialistic caravan upon poor Anne, while the F naturals that repeatedly spoil the otherwise consonant chaconne belies Baba's "dignified" recession. The loud, garish dissonance at R149 is perhaps the clearest example of how Stravinsky purposefully combines conflicting tonalities so as to produce telling post-tonal harmonies. And just as in other passages when Stravinsky wants to expose the falsity of the stage action, this tonal conflict also results in one final, conspicuous <-1,+2> voice leading in the bass (F_2-E_2-$F\#_2$) at R150.

While I have not analyzed every note and chord of Act II/ii with the thoroughness that I devoted to the three passages in chapter one, it should be clear that Stravinsky uses many of the same harmonies, motives and general techniques. By broadening the perspective, however, one perceives not only the structural logic of the scene, but also the dramatic implications of the musical relationships. While the opening C minor and concluding D major do not belong to a self-contained *tonal* process, these conflicting tonalities create musical connections at every structural level that

are integrally tied to the dramatic process (see ex. 2-8): the ultimate resolution of G to F# for the D-major chaconne (R142) is anticipated in the enigmatic succession of chords in the C-minor Prelude (R79-80); the post-tonal 014 trichord which populates so much of the musical surface connects the backgrounds of the symmetrically-placed Arioso (R87-96) and Trio (R131-141); the superposition of D major over F natural connects the servants' procession (R100) and Baba's recession (R149). These musical conflicts and connections, plus numerous other significant details, all reinforce the sad demise of Anne and Tom's hopes.

Of course, Baba and Tom do not live happily ever after, and Anne does not give up pursuing her beloved. Tom's Progress, both musical and dramatic, continues to a surprising and touching conclusion. But before I discuss the culmination of this musical/dramatic process in the final two scenes in the Graveyard and Bedlam (III/ii & iii), a more complete understanding of the drama as a whole is needed. To that end, I will examine in some detail the evolution of the libretto and the unique interplay of visual, literary and musical sources that comprise it.

Chapter 3
The Story and its Moral

"There's a moral to draw From what you saw. . ."

The story of *The Rake's Progress*, like the music, is an amalgam of different sources which, taken together, create a rich fabric of literary associations. In general, of the stories, legends and traditions which constitute the plot, two obvious sources stand out: 1) *A Rake's Progress* [1](1732-33), a series of eight paintings by the English artist William Hogarth (1697-1764) and 2) the Faust legend (Goethe's version in particular). In addition, several other dramatic threads weave in and out during the course of the opera — Mozart's *Don Giovanni* (in terms of action and setting as well as the music); the myth of Venus and Adonis; the cycle of the seasons (spring to spring); and the three wishes — each of which serves its own particular dramatic purpose. And because the chronology of the libretto is so well-documented, determining who contributed what literary thread — Stravinsky, Auden or Chester Kallman — is a rather simple task, although one with potentially profound implications. Auden's ideas and opinions are as well-chronicled and strongly-held as those of Stravinsky, and as in any creative process, these aesthetic beliefs condition artistic choices and provide potential clues to a more complete understanding of the opera.

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[1] A New Description of Sir John Soane's Museum, 7th rev. ed., John Summerson, ed. (London: The Trustees of Sir John Soane's Museum, 1986), p. 23. The title of Hogarth's series is often mistakenly printed as *The Rake's Progress*.

Obviously, the title and setting of *RP* are taken from Hogarth's allegorical series, the paintings of which Stravinsky happened to view on a chance visit to the Chicago Art Institute in May of 1947. But neither the English setting nor the inclination to spend three years of his life working on a full-length opera came upon the composer by chance. Stravinsky recalls, "Hogarth's 'Rake's Progress' paintings . . . immediately suggested a series of operatic scenes to me. I was, however, readily susceptible to such a suggestion for I had wanted to compose an opera in English ever since my arrival in the United States."[2] Given Stravinsky's inclination to sectionalized modes of theatrical presentation, especially in his recent neo-classical ballets and the opera-oratorio *Oedipus Rex*, his attraction to a *series* of prints (as opposed to a work of literature) as the basis of an opera seems logical. But even beyond the nature of presentation, the distinctive setting, subject matter and didactic intent behind Hogarth's paintings sets an all-important tone for the drama.

The most distinctive quality of Hogarth's work is that it tells a moralizing story. Richly evocative of the ugly underside of society during the "Age of Reason," Hogarth's biting images inspired equally biting parodies of eighteenth-century "enlightened" thought in Auden's libretto. These include Tom's catechism, administered by Nick, during the brothel scene, in which he is required to recite, among other things, the definitions of Beauty, Pleasure and Love. Equally ridiculous is Sellem's moral rationale for profiting from the loss of others: "Truly there is a divine balance in Nature; a thousand

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[2] Stravinsky and Craft, Memories and Commentaries, p. 154.

lose that a thousand may gain; and you who are the fortunate are . . . Nature's missionaries. You are her instruments for the restoration of that order we all so worship. . ." (III/i). Nick Shadow is the most polished practitioner of such "rational" thought, so much so that he can steer Tom into any activity, no matter how gratuitous (his marriage to Baba) or naively idealistic (manufacturing the bread machine). While this satirical subcurrent adds a delightfully ironic and cynical dimension to Auden's libretto, Hogarth's discrete tableaux nevertheless required considerable adaptation and fleshing out before an evening-long drama could take shape. Years later, Auden commented, "Certainly the Hogarths are an interesting series about eighteenth-century life, but there's no plot. . . In each picture, there's the Rake with a completely new set of people. And our problem was: Could we make a story out of this?"[3]

Stravinsky and Auden did, of course, make a story out of Hogarth's series during their week-long meeting in Hollywood, November 12-18, 1947. Stravinsky had sought advice from Aldous Huxley concerning a librettist for his *Rake's Progress* opera, and Huxley suggested Auden, a wise choice, for their aesthetic temperaments were perfectly suited to one another. As an indication of his artistic tastes, Auden later devised a little test to determine his compatibility with literary critics:

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[3] Glenn Loney, "Elegy for a Bacchic Rake," Opera Monthly 4/11 (March 1992), p. 11. Loney conducted this interview with Auden and Kallman in 1970, condensing a "long day's discussion about opera in general and the Auden-Kallman contribution to it in particular." Presumably Loney recorded the interview on tape, but the accuracy of Auden and Kallman's words cannot be independently verified, as it was published after Auden's death. There is, however, no reason to doubt their statements and opinions.

> "Do you like, and by like I mean really like, not approve of on principle:
> 1) Long lists of proper names such as the Old Testament genealogies or the Catalogue of ships in the *Iliad* ?
> 2) Riddles and all other ways of not calling a spade a spade?
> 3) Complicated verse forms of great technical difficulty, such as Englyns, Drott-Kvaetts, Sestinas, even if their content is trivial?
> 4) Conscious theatrical exaggeration, pieces of Baroque flattery like Dryden's welcome to the Duchess of Ormond?"[4]

Not only would Stravinsky have passed Auden's test, Auden probably had someone like Stravinsky in mind when he devised his questions. He had, in fact, entertained Stravinsky during that November visit by writing examples of verse forms, such as the sestina, without regard to content.[5] In reality, Auden's charming and simple test only confirms what can be easily gleaned from the libretto and music of *RP* : both librettist and composer revel in exaggerated forms of style and play not merely by personal preference, but artistic principle. In short, both artists belonged to the species *Homo ludens*.[6]

"Primed by whisky and coffee,"[7] Stravinsky and Auden set out on the morning of November 12 to make a story out of Hogarth's prints. Their first and most fundamental decision was to center the story around a hero, a heroine and a villain to be sung by a tenor, soprano and a bass, respectively. By more fully involving the Rake's lover (ostensibly Sarah Young, the mother of his bastard child) and

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[4] Auden, The Dyer's Hand, pp. 47-8.

[5] Craft, ed. Selected Correspondence, vol. I, p. 301, ftnt. 3.

[6] See my discussion of artistic "play" in the Introduction, pp. 15-16.

[7] Memories and Commentaries, p. 156.

introducing a villain, Stravinsky and Auden fundamentally alter the trajectory of the Rake's progress, transcending Hogarth's singularly depraved hero, and instead revolving around a struggle for (and within) his soul. The yet-to-be-named villain, the "shadow" of the Rake's idle desires, guides the latter's "Progress" to the brink of hell. The also yet-to-be-named heroine, the chaste epitome of "Trulove," as opposed to everchanging and fleeting desires, never falters in her quest to have the Rake "return" to the path of "Duty". The hero, whose name, 'T. Rakewell, Esq.' is found on a document in Hogarth's second print, *The Levée*, is a blank slate between these two moral forces, with neither the character nor the good sense to decide between the two. Simply put, this represents the core of Stravinsky and Auden's allegory, which, in Stravinsky's own words, had begun "to assume a different significance" than the original source.[8]

By the time Auden returned to New York City, the two collaborators had completed an outline of their opera that was surprisingly similar to the final product, with sometimes ample projections of text and specific instructions for the succession of musical numbers.[9] However, the few differences are significant and revealing. The Faustian underpinnings of the story, while implicit in the initial scenario, were not fully articulated until Auden began to flesh out a libretto. His most significant contribution in this regard was to cast the hero and villain in a master-servant relationship.

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[8] ibid.

[9] A nearly complete version of this outline has been printed in Memories and Commentaries, pp. 167-76.

The implications of such a relationship for Auden are as clear as any such dramatic choice could be for a creative artist, for he devotes his entire essay "Balaam and his Ass" to the subject. Because a master gives the orders and his servant obeys them, Auden asserts that the relationship between the two is "peculiarly suitable as an expression of the inner life, so much of which is carried on in imperatives."[10] To demonstrate his point, Auden devises an amusing inner dialogue over a minor ethical dilemma:

> If a large lady carelessly, but not intentionally, treads on my corn during a subway rush hour, what goes on in my mind can be expressed dramatically as follows:
>
> SELF: "Care for my anger! Do something about it!
>
> COGNITIVE EGO: "You are angry because of the pain caused by this large lady who, carelessly but not intentionally, has trodden on your corn. If you decide to relieve your feelings, you can give her a sharp kick on the ankle without being noticed."
>
> SELF: "Kick her."
>
> SUPER-EGO: (*to simplify matters, let us pretend that super-ego and conscience are identical, which they are not*): "Unintentional wrongs must not be avenged. Ladies must not be kicked. Control your anger!
>
> LADY: "I beg your pardon! I hope I didn't hurt you."
>
> SELF: "Kick her!"
>
> SUPER-EGO: "Smile! Say 'Not at all, Madam.'"
>
> VOLITIONAL EGO: (*to the appropriate voluntary muscles*):
>
> *either* "Kick her!"
>
> *or* "Smile! Say 'Not at all, Madam!'"[11]

Despite its unserious presentation, Auden's inner drama actually says a good deal about the relationship between Tom, Nick and Anne. Though not as mean-spirited, Tom is certainly as self-centered as Auden's SELF, particularly when he casts his three wishes: 1) "I wish

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[10] W. H. Auden, "Balaam and His Ass," in The Dyer's Hand, p. 111.

[11] "Balaam and his Ass," pp. 111-2.

I had money" (I/i - R47), 2) "I wish I were happy" (II/i - R27), and 3) "O I wish it were true" (II/iii - R193).[12] In fact, these wishes are the literal expressions of Tom's SELF. Anne, who in the Epilogue sings, "Not every man is given an Anne to take the place of Duty" (R291-2), corresponds to Auden's SUPER-EGO, the voice of duty and conscience. Nick ostensibly functions as the COGNITIVE EGO, ever apprising the master of his options, and as his VOLITIONAL EGO, which is "a servant in relation to either my self or my super-ego. . ."[13] But Tom, as he declares in his aria "Here I stand" (I/i - R27-46), refuses to exercise his volition out of sheer principle, preferring to throw himself to the winds of Fate ("Why should I labour for what in the end [Fortune] will give me for nothing if she be my friend?"). Coached by Nick, he tries to shed his SUPER-EGO, declaring, "One aim in all things to pursue: My duty to myself to do" (I/ii - R133). By shutting "his ears to prude and preacher," Tom allows his SELF to go unchecked. And Nick, who only masquerades as an obedient servant, deliberately abuses his role as COGNITIVE EGO and ever misinforms his gullible master.

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[12] According to the original outline, the hero's yawns would summon the villain, presumably indicative of his idleness. Kallman later commented, "'I don't think that's very operatic. So we talked about it, and the idea of the three wishes came up. . ." ("Elegy for a Bacchic Rake," p. 11).

Tom actually declares "I wish" *four* times, each of which Stravinsky dutifully identifies with a distinctive harpsichord flourish. In fact, the fourth wish—"I wish for nothing else" (III/ii - R198)—is not a wish at all. The libretto originally read "Wishful chance, farewell," before the more clever pun was inserted ("Appendix C," Selected Correspondence, vol. III, p. 510). The distinction is significant, for Nick always shows up to grant Tom's wishes, but when Tom declares an end to his idle desires, Nick dutifully disappears into the fire and ice of Hell.

[13] "Balaam and his Ass," p. 112.

To this end, Nick proposes that Tom ignore both "twin tyrants of appetite [SELF] and conscience [SUPER-EGO]" (II/i - R33-4). By circumventing his inner voices, so Nick's "logic" goes, Tom can rely solely on his cognitive and volitional egos to determine action, and is thereby free to exercise his own will. In other words, the "servant" (the VOLITIONAL EGO) becomes the "master" (of the SELF and SUPER-EGO). Auden, who Stravinsky noted professed to a "curious, if not superstitious" belief in preordination,[14] took a special pleasure in lampooning this exaggerated exercise of Free Will. To ignore both the tugs of "Pleasure" and "Duty" is an impossible proposition, and the result is Tom's irrational assent to marry the object of his disgust, Baba the Turk.[15]

The terminology that Auden adopts for his little story, and that I assume in my interpretation, is derived from the theories of Sigmund Freud. But the name "Shadow" seems to refer to a term applied by Carl Jung to the dark side of our ego-personality.[16] According to Jung, our shadow, which often appears in dreams in a personified form, reminds us of the qualities and impulses which we

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[14] Memories and Commentaries, p. 158.

[15] To clarify his intentions, Auden deliberately removed any logical motives for Tom to marry Baba. In the Hogarth series and in the 1947 outline, Tom marries an Ugly Duchess for her money. By having Tom marry a circus freak, Auden invents a truly gratuitous act worthy of so misguided a proposition as Nick's.

[16] Leo Treitler asserts that Nick Shadow's "identity as the trickster in the Jungian picture of the unconscious is hardly disguised" ("The Lulu Character and the Character of *Lulu*," p. 302). Though there are significant differences between Freud and Jung's theories of the psyche — not only in regard to terminology but in conception as well — its seems clear from the images and actions of the text that Auden and Kallman drew ideas from both in crafting the libretto.

deny in ourselves, such as "egotism, mental laziness, and sloppiness; unreal fantasies, schemes, and plots; carelessness and cowardice; inordinate love of money and possessions. . . [The shadow] shows up . . . in an impulsive or inadvertent act. Before one has time to think, . . the plot is hatched, the wrong decision is made, and one is confronted with results that were never intended or consciously wanted."[17] Tom's desire for money and pleasure and Nick's schemes to marry Baba and invest in a machine that turn stones into bread are all manifestations of the Jungian shadow. Jung's associate M.L. von Franz also observes that "the uncontrollable instinctive drives that can erupt from the unconscious" are often symbolized by wild horses[18] ("Come, wishes, be horses; This beggar shall ride." - I/i - R42-46); and that the initial process of self-discovery (individuation) is often marked by a sense of emptiness and boredom, which may be symbolized by "the run-down interior of a decayed aristocrat's castle"[19] ("I walk an endless hall of chandeliers in light that blinds, in light that sears, reflected from a million smiles all empty as the country miles of silly wood and senseless park; And only in my heart the dark." - II/i - R24-26). Continuing this Jungian interpretation, Anne and Baba (and even Mother Goose) can be

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[17] M.L. Franz, "The Process of Individuation" in Man and his Symbols by Carl. G. Jung (Garden City, NY: Doubleday Books, 1964), pp. 168-9.

[18] ibid., p. 173.

[19] ibid., p. 167.

viewed as projections of Tom's *anima*, his multi-faceted feminine inner self.[20] Franz writes, "The anima appears in crude, childish form in men's erotic fantasies. . . A still more subtle manifestation of a negative anima appears. . . in the form of a princess who asks her suitors to answer a series of riddles. . . If they cannot give the answers, . . they must die."[21] Consider the brothel madame "Mother Goose" who, with Shadow, administers a perverse catechism. When Tom fails his test and Mother Goose leads him off to the bed chamber, Nick remarks cryptically, "Sweet dreams, my master. Dreams may lie, but dream. For when you wake, you die" (I/ii - R174-76). The "anima will often express itself in irritable, depressed moods, uncertainly, insecurity, and touchiness"[22] (*Baba:* "Come, sweet, come. Why so glum? . . . Do not frown, Husband dear. . ." *Tom, pushing her violently away:* "Sit down." - II/iii - R168-9). The anima also possesses many positive aspects, such as a man's ability to find the right marriage partner. And "whenever a man's logical mind is incapable of discerning facts that are hidden in his unconscious, the anima helps him to dig them out."[23] Anne's mysterious and climactic appearance in the card game images this role of the anima as

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[20] Treitler finds "the attributes of the bipolar, androgynous Pierrot figure . . . [invested] separately in the characters of Anne Trulove and Baba the Turk" ("The Lulu Character . . ., p. 302.

[21] "The Process of Individuation," pp. 181 & 179.

[22] ibid., p. 178.

[23] ibid., p. 180.

dramatically as any in opera history.[24] But even the positive aspect of the anima can receive too much attention. If the anima is projected onto a specific individual or being, as Tom projects Anne into the role of Venus, the process of self discovery stagnates. I will discuss Tom's stagnation in further detail in my analysis of III/iii.

The character of Nick Shadow deserves further comment. The opera's most contrived archetype, Nick is paradoxically the only character who directly addresses the audience during the course of the story and who retains his character in the Epilogue (see pp. 13-14). He is at once a personified dark side of Tom's EGO — that is, without an identity of his own — and, from a purely theatrical standpoint, the most real character on stage. A comment by Auden sheds some light on this shadowy figure. The librettist asserts that, in our modern age, the objects of our desires — our idols — dissipate so quickly in favor of other objects that "our real idolatry . . . is an idolatry of possibility. And in such an age the Devil appears in the form of Mephisto, in the form, that is, of an actor. The point about an actor is that he has no name of his own, for his name is Legion."[25] Nick is an actual *actor*, and as such, he occupies a theatrical space between the story of the opera and the audience. When the actors of the story step in front of the curtain during the Epilogue, they simply join Nick in the theatrical realm he naturally occupies.

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[24] Pamina's role as guide for Tamino in his trial by fire and water is another wonderful image of this relationship.

[25] "Balaam and his Ass," p. 118.

On the other hand, Anne as a character within the story functions as more than Tom's sense of duty or his positive anima. She possesses her own sense of self and conscience, and indeed embarks upon a progress of her own. As I discussed in chapter two, she makes a monumental personal choice in her Aria and Cabaletta (I/iii). Her classic response to a classic operatic dilemma poses a telling counterpoint to Tom's passive embrace of "Destiny" and Nick's radical exercise of "Free Will." The level-headed Anne appreciates, but does not wait passively for her Destiny (which is to marry Tom). She bravely, if reluctantly, rouses herself to action.

The struggle between the forces of "Progress" and "Return" for Tom's soul is finally played out in the climactic card game (III/ii). Nick, having well taught his master "that there is no return" (R194), plants the Queen of Hearts for a second time in the third play. But the forbidden words "Return" and "Love," which belong to the purview of Anne, fix in Tom's mind. The words and music of her C-minor arioso, "A love that is sworn before Thee can plunder Hell of prey" (II/ii - R93-5), resound from her disembodied voice. Through Anne, his positive anima, Tom connects with his unconscious. He finally embraces this Love, and in so doing, renounces his idle wishing ("I wish for nothing else"). The rising C/G-major arpeggios in the strings (R198), lifted from Anne's Cabaletta, announce the outcome even before Tom exclaims his answer, "Love, first and last, assume eternal reign; Renew my life, O Queen of Hearts, again" (R199-200). By renouncing idle desires and faithless Progress for immutable Love, Tom saves his soul.

Up until this point (the end of III/ii), *RP* differs little in its dramatic trajectory from Goethe's *Faust*.. But if *Faust* is a primary prototype for *RP*, Mozart's *Don Giovanni* (*Così* not withstanding) at least profoundly colors the drama, not to mention the music.[26] I will not bother to recount every detail of this oft-cited connection,[27] but the licentious behavior of both Mozart's and Stravinsky's heros, the conspicuous graveyard scenes, the theatrical descents into Hell and the moralizing epilogues provide ample fuel for comparison. The most obvious and fundamental connection is that both Tom and the Don desire without restraint. Taking a cue from Kirkegaard's influential interpretation of Mozart's hero, Bernard Williams comments, "[Don Giovanni's] is no particular or individual voice. It is

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[26] The legendary Faust and Don Giovanni have, at least since the early 19th century, been paired as strong-willed individuals who reject the rules of society for their own individual goals. Edward Dent observes, "Spohr's *Faust* is probably the first attempt made . . . to amalgamate the personality of Don Juan with that of Faust; and ever since Goethe the Germans have perpetually tended to translate Don Juan into terms of Faust" (Mozart's Operas, p. 179).

[27] To name but a few who have discussed the kinship between *RP* and *Don Giovanni* : Joseph Kerman, Opera as Drama, p. 235; Joseph Straus, Remaking the Past, pp. 155-161; Peter Conrad, "The Libertine's Progress," in Don Giovanni: Myths of Seduction and Betrayal, ed. by Jonathan Miller (New York: Schocken Books, 1990), p. 89; and Colin Mason, "Stravinsky's Opera," pp. 8-9. For his part, Stravinsky, who attended three performances of *Don Giovanni* during the three years that he labored on *RP*, commented cryptically on the connection. In an joint interview with Auden for the *Los Angeles Times* in November, 1947, Stravinsky is quoted as saying that *RP* "will be tragic only in the sense that *Don Giovanni* is tragic." (quoted in Selected Correspondence, vol. I, p. 303, ftnt. 6.) Ironically, in a letter to the editor of the *Los Angeles Times*, Stravinsky responded to a review of a 1962 production of *RP*, "The final ensemble, he says, 'borrows a page from *Don Giovanni*'.' It does no such thing." (Themes and Conclusions, p. 202.) According to Craft, Auden also remarked that the Epilogue was modeled on *Don Giovanni*'s, to which Stravinsky objected: "The Epilogue is a vaudeville or pasquinade, of which opera's greatest examples are in the *Seraglio* and *L'Heure espanole*" — see Robert Craft, Chronicle of a Friendship, p. 29.

the voice of all desire. . ."[28] What Tom does not share with that legendary Rake is the primal will to pursue his desires,[29] and conversely, Don Giovanni does not possess a conscience, or as in Tom's case, an "Anne."[30] Were it possible for Tom to follow Nick Shadow's advice and ignore "the inflexible Ought" of duty, he would be a Don Giovanni, in which case he, like the Don, would resist the attempt by his pursuing lover to save his soul. But Tom cannot follow such advice. He is not the single-minded personification of an archetypal force, but a simple "Everyman," inevitably subject to the pull of both desire and conscience.

Lest we forget, *RP* does not end with Tom's redemption. For their dispensing with most of Hogarth's details, Stravinsky and Auden derive the concluding scene of the opera (III/iii) from the print that compelled the composer from the very beginning: the Rake's demise in an asylum.[31] But while the images are the same, the dramatic implications of the print and the opera scene differ profoundly. Having provided their Rake with a conscience, Stravinsky and Auden imbue their final tableau with a sense of

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[28] "Don Giovanni as an idea," in W.A. Mozart: *Don Giovanni*, ed. by Julian Rushton (New York: Cambridge University Press, 1981), p. 83.

[29] Straus makes the same point in Remaking the the Past, p. 155.

[30] In fact, Don Giovanni does have an "Anne" chasing after him: Donna Elvira. And she too tries to save his soul in spite of all he that has done to her. The difference is this: Don Giovanni is completely unmoved by her love, while Tom never completely rids himself of his need to reunite with Anne.

[31] In his first letter to Auden on October 6, 1947, Stravinsky's only specific reference to the story addressed this image: ". . . I think that the hero's end in an asylum scratching a fiddle would make a meritorious conclusion to his stormy life." (Selected Correspondence, vol. I, p. 299).

tragedy that is absent from Hogarth's pathetic image.[32] If the saving grace granted to Goethe's hero characterizes the romantic age that followed him, then the deserved demise of Hogarth's Rake is just as characteristic of legendary libertines before Goethe, of which Mozart's Don Giovanni is but one of a long line. For their part, Stravinsky and Auden's twentieth-century Rake belongs wholly to neither tradition. While the composer and librettist would never allow their Rake to get away with his sins, they likewise could not self-righteously rejoice at his deserved punishment. The judgement to which Stravinsky and Auden subject their hero is more subtle and ambivalent.

Tom is consigned to neither heaven nor hell, but earthly insanity, which is arguably both.[33] Ever conscious of a dramatic model upon which to base their characters, Stravinsky and Auden, as early as the November outline, recast their insane hero as Adonis — the beautiful youth forced to divide his year between heaven and hell — and his lover as Venus, the goddess of Love. In fact, the outline of this scene includes more detailed dialogue, albeit almost exclusively in French, than any other scene.[34] All Auden had to do

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[32] Joseph Kerman observes, "Auden made a decisive departure from the eighteenth-century view when he pitied the Rake and set about analyzing him." (Opera as Drama, p. 246.)

[33] It is no doubt significant that in another notable twentieth-century retelling of the Faust legend, Thomas Mann's, the hero suffers insanity before death.

[34] Memories and Commentaries, pp. 174-6. More comfortable writing (and communicating in general) in French than English, Stravinsky himself probably wrote much of this dialogue, though Auden could as easily have contributed lines in French for the sake of consistency. His note to

was translate and expand upon the dialogue, and compose lines for the chorus/minuet (R225-236), Anne's lullaby (R254-260) and the duet between Anne and her father (R262-265).

The interpolation of the Adonis/Venus myth is striking, especially at this early stage of the creative process, and judging from the outline, Stravinsky and Auden entertained the idea of introducing the legend in the very first scene. Their synopsis of the opening duet of I/i reads: "Pastoral, comme Theocritus, of love, youth, country, etc. (Perhaps mention Adonis here?)"[35] Unlike either Hogarth's morality tale or even the Faust and Don Juan legends, the story of Adonis is a tragedy unmitigated by the lasciviousness or hubris of its protagonist. Adonis's only mistake is to chase the wild boar, hardly the empty desire of a lazy idler. Presumably one attraction to Adonis's story for Stravinsky is its seasonal theme. The handsome mortal spends autumn and winter in the underworld with Persephone, whose story Stravinsky had already recreated in his melodrama of 1934, and the spring and summer on earth with Venus. This theme of seasonal return represents a counterbalance to the ever progressing desires of a Faust or Don Juan. As fervently as he ran away from his past, Tom now tries to embrace it. In fact, he tries to make time stand still.

In the completed opera, Nick literally makes time stand still twice (I/ii - R143bis and III/ii - R185). Interestingly enough, in the

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Stravinsky of November 20, 1947, is entirely in French (Selected Correspondence, vol I, p. 303).

[35] Memories and Commentaries, p. 167.

original outline it is not the villain, but the *hero* who makes time stop in the graveyard (II/ii):

> . . . A clock begins to strike twelve.
> Villain: 'C'est trop tard.'
> Hero: 'J'arrête le temps. Ecoute.'
> The clock stops in the middle of its striking.[36]

The theme of time is further developed at the end of the graveyard scene when the clock resumes and the hero declares, "Let it strike. Le temps ne m'effraye plus. Pour l'amour il n'ya pas de passé ou de futur, il n'y a que le présent. Amant et aimé, je suis l'Adonis, le *toujours jeune*.'"[37] In this outline, the hero is not condemned to insanity because of his sins. He willingly embraces a state of mind in which he is no longer driven by temporal desires. While Auden's invention of Nick's vengeful curse is more convincing from a theatrical standpoint, it is helpful to view Tom's insanity as a blissful state where he finally, willingly embraces that timeless, Golden Age from which he ran in the opening scene. Given this tidal shift, it will be fruitful to examine the music that Stravinsky composed to accompany his hero's new state of mind.

Music Without Time

The flute, oboe and clarinet brightly hail the arrival of dawn the morning after the card game, as Tom sits atop his intended grave proclaiming, in the key of B flat, that he is Adonis (III/ii - R206-212). While his state of mind is new, the simple melody that he

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[36] ibid, p. 173.

[37] ibid., p. 174. The italics are mine.

sings is not. It is the Ballad tune that he and Nick are heard singing (also in B-flat major) during the auction scene (III/i - R134-37 & R149-51), and which Nick sinisterly adopts (in G major) when he demands his wages earlier in the graveyard scene (R165-68 & 170-74).[38] Even the woodwind flourishes are derived from the G-minor wind figures that accompany the uneasy Tom when he arrives at the graveyard (R161-2 & 163-4 - see ex. 3-5 below).

Yet, just as remarkable as the transformations to which Stravinsky subjects the Ballad tune is the very fact that he reuses the melody at all. Other than Tom's echoing of Anne's prayer (II/iii) and the return of Anne's proclamation from II/ii to save Tom in III/ii, both of which recur essentially unaltered, Stravinsky, true to his Mozartean model, tends not to reuse his melodies.[39] Why does he begin to do so in the final act, and why with such a seemingly trivial melody? To answer these questions, one must more closely examine the dramatic contexts of each setting and the contribution the music brings to them.

The first appearance of the tune is the most conventional. Having lost all of his money, Tom (no doubt prodded by Nick) throws to the wind the few cares and responsibilities that he has left. Apparently all that remains is to pass the time singing nonsensical

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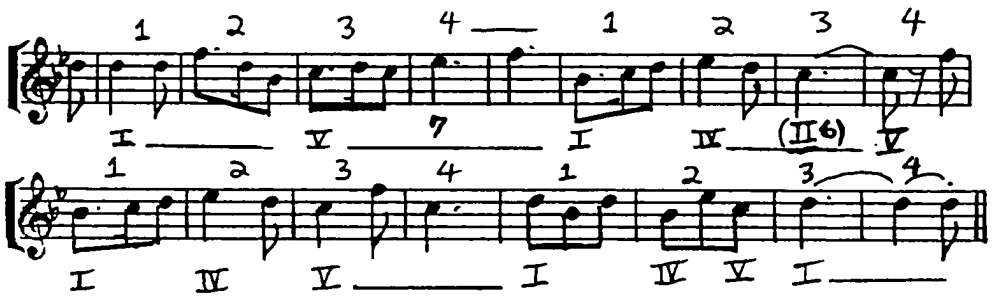
[38] The relationship between the keys G major and B-flat major is no doubt significant. In fact they are the exact keys of Anne and Tom's prayers (I/iii, R192 and II/iii, R204, respectively). However, I will postpone my discussion of this relationship until after I address the more general transformations of the Ballad tune.

[39] I do not consider the harpsichord flourishes which accompany Tom's wishes to be a melody as such, though the material is, strictly speaking, reused.

drinking ditties. His story-long escape from duty has reached its nadir. Consequently, both Stravinsky's music and Auden's verse can be viewed as extremes in their own right. Auden's silly verses, set in strict iambic septameter ("If boys had wings and girls had stings and gold fell from the sky, If new-laid eggs wore wooden legs I should not laugh or cry"), inevitably recall the "complicated verse forms" he composed for Stravinsky "without regard to content."[40] The comparison may be informative. Auden's delight in such mental exercises bespeaks an absorption with form and process for their own sake. Stravinsky's little tune serves a similar function. The most metrically regular and harmonically lucid melody in the opera (see Example 3-1), the Ballad tune (along with Anne's Lullaby and a few of the choruses) is also one of the most easily definable *types* of music.[41]

Example 3-1. Metrical scansion and implied harmonic progression of the Ballad melody, III/i - R134-7, Tom's vocal line.



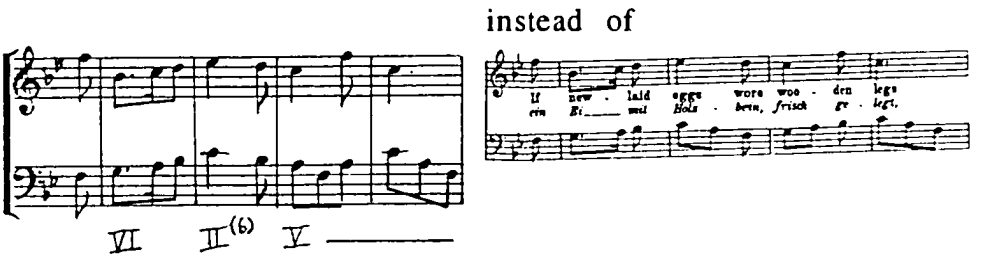
[40] See Auden, The Dyer's Hand, p. 47 and Stravinsky, Selected Correspondence, vol. I, p. 301, ftnt. 3.

[41] I use the word *type* in the sense of Ratner and Allainbrook's *topoi*. See Introduction, ftnt. 16.

Whatever expressive qualities the words or music may possess in their own right are irrelevant to the opera. Any carefree rhyme and light, memorable tune will suffice to evoke Tom and Nick's devil-may-care attitude. To all intents and purposes, the words and music of their off-stage carousing express nothing.

If one were tempted to ascribe any expressive qualities to the Ballad tune (as one inevitably does with Anne's Lullaby, for instance), these attributes are effectively stifled by Stravinsky's deliberately incompetent harmonization. Typical of his approach, Stravinsky avoids the implied "normal" harmonization (see ex. 3-1). Instead, he provides a deliberately dull pedal B flat$_2$ with awkwardly arpeggiating horns (replaced by clarinet at R149) oscillating dumbly from I to V, with a VI^7 (substituting for I) periodically thrown in for good measure. The effect is rather like a harmony assignment for a beginner. There are few dissonances as such, but Stravinsky often chooses the wrong chord function, as in mm. 12-13, when Nick progresses from V (F-A-C) to VI (G-A-B flat) instead of a syntactically correct II^6 to V. Even when carousing, Nick never misses an opportunity to undermine his poor master (see Example 3-2).

Example 3-2. Ballad tune, III/i - R134-7, mm. 11-13



Such parodies of simple tunes have been part and parcel of Stravinsky's compositional technique since the organ-grinder's music and the Ballerina's Waltz in *Petrushka*. What is striking about the Ballad tune is how Stravinsky reuses and transforms the material for dramatic effect in its subsequent appearances. It is precisely its strictly formal poetic and musical attributes that allow the Ballad to be transferred so easily from one context to another. Drained of expressive content, the tune can be reused like an empty vessel. Unlike Wagnerian leitmotifs or even Verdian thematic reminiscences, which achieve their affect by preserving a degree of their original expressive attributes in repetition and even transformation, the Ballad tune registers no substantive emotional impact and can therefore be created anew according to its new dramatic context. Except for the sheer memorability of the melody, we are hardly aware that Nick is singing the same tune in the graveyard scene. In fact, much of its chilling effect results from the ironic tension between the triviality of the tune and the deadly seriousness of Nick's words.

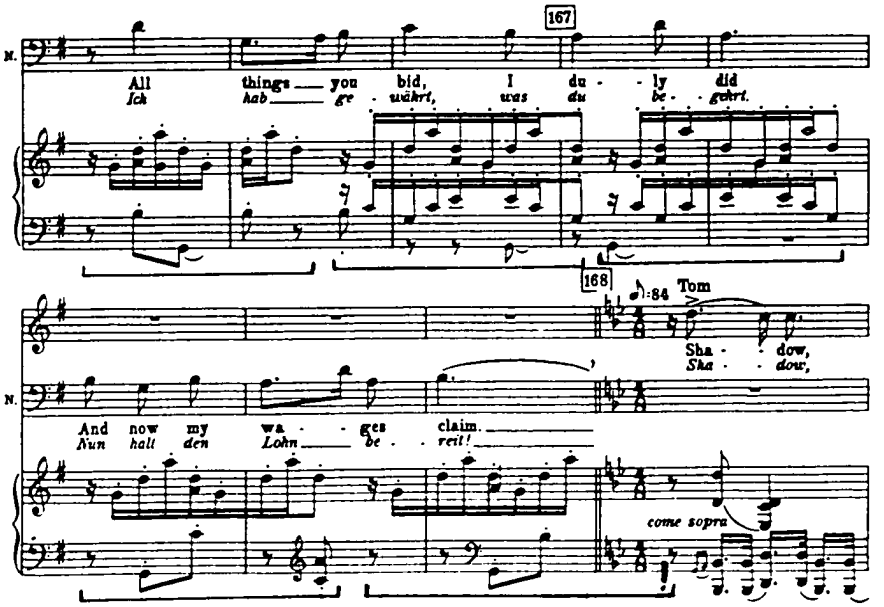
The crisp regularity of the Ballad tune also stands in stark contrast with the music around it. Upon his entrance into the cemetery, Tom warily asks Nick why he has led him to this spooky place (R161-5). A dotted-figure in the low strings meanders in and around the key of G minor (apparently the key of Tom's departure from this world), while the flutes and clarinet flutter irregularly (see ex. 3-5). Tom, for his part, also starts and stops, generally avoiding strong metrical accents. And while his melody generally follows a linear descent from d^1, the irregularity of his rhythm, along with the

chromatically altered bass, obscures the sense of harmonic progression. Nick, on the other hand, eagerly answers in the parallel major (R165-8). The crystal-clear metrical pattern of the Ballad tune differ in every way from Tom's metrically unsure question.

However, Stravinsky does make several important changes in the accompaniment of the tune. He discards the earlier amateurish attempt at a tonal progression in favor of static string configurations, the pitches of which are determined more by what may be conveniently played on harmonics (the violas oscillate an octave above the open G, D and A strings, while the cellos arpeggiate the overtones of the open C and G) than by what goes with the melody. Stravinsky also subtly undermines the metrical scansion of the passage. What were measure-length arpeggiations in III/i have now been expanded and repeated without regard to the phrase structure of the tune. This is especially evident from R166+3, when a repeated five-beat pattern forms a cross-rhythm against the triple meter melody. Stravinsky elides the point when the pattern would conclude on a downbeat with Tom's reentrance. By avoiding the completion of the pattern, he heightens the tension inherent in Tom's metrically tentative music (see Example 3-3).

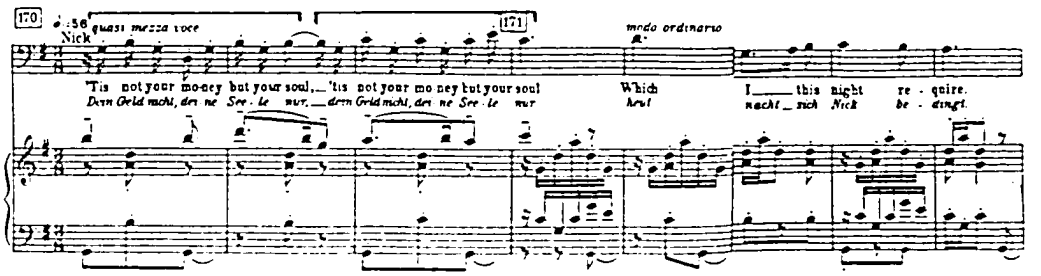
Stravinsky further transforms the arpeggiation pattern when Nick reveals his true intentions to Tom (R170-74). While the flute and clarinet pipe the Ballad tune, it is *Nick* who sings the cello's G-major and C-major arpeggiations to the words "'Tis not your money but your soul. . .," only to switch back to the melody for "Which I this night require." As in Nick's previous verse, Stravinsky manipulates

Example 3-3. III/ii, R166+3 - R168.



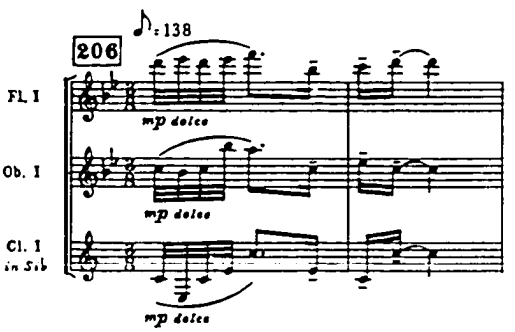
the placement of the sixteenth-note pattern, causing the repeated words to fall on different points in the measure and thereby subtly altering the declamation. By aligning the final word "soul" with the downbeat at R171, he facilitates the shift to the metrically regular melody (see Example 3-4). Nick's next lines, "Look in my eyes and recognize" and "Whom, Fool! you chose to hire" are treated similarly. This alternation from sixteenth-note patter to jig-like tune has a particularly devilish effect, making Nick seem not only gleeful, but eager as well. Rarely are the demands of musical development, characterization and text declamation so brilliantly balanced.

Example 3-4. III/ii, R170-172.

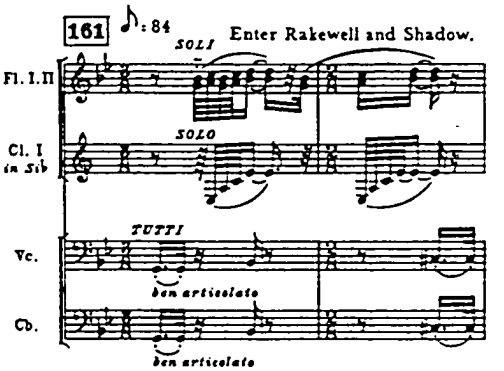


Nick's sinister rendering of the Ballad tune makes all the more striking the reuse of the melody by the insane Tom (R206-9). Instead of the ironic vehicle for a devil's impatient demand, it becomes the serene, childlike tune of an innocent fool. To this end, Stravinsky replaces the rolling arpeggiations of the two earlier settings with the fluttering wind figures that haunted Tom's entrance into the graveyard (see Example 3-5).

Example 3-5. III/ii - R206



III/ii - R161



By stopping and starting at irregular time intervals, as at the beginning of the scene (R161), Stravinsky undermines the clear metrical sense so characteristic of the tune itself. Likewise, the sense of harmonic progression is entirely suppressed by the static flutterings in and about diatonic B-flat major. The effect is rather like the meandering of a butterfly. No longer mindful of the passage of time, Tom waits patiently for the accompaniment to pause before finishing his phrases. Auden may have ignored the text of the original outline ("Le temps ne m'effraye plus. Pour l'amour il n'y a pas de passé ou de futur, il n'y a que le présent") when writing the libretto, but Stravinsky certainly did not when he composed the music. By recasting the most metrically regular and harmonically clear music of the opera in such a static, ametrical setting, he brings

time to a halt. While the curtain slowly falls, the winds continuously and irregularly repeat their fluttering figure, as seemingly oblivious to the passage of time as the blissful Adonis who anoints himself with grass on stage. Our hero no longer has the worrisome clock of progress to prod him along.

To answer my original inquiry, Stravinsky reuses the Ballad tune to highlight Tom's transformation. While the triviality of the tune equally suits the babbling of a drunken rake or that of a madman, the absolute metrical regularity and subsequent stripping thereof effects a striking musical transformation that corresponds to the dramatic change that overcomes its singer. Nick's eager singing of the tune even heightens the imperative of time that is so conspicuously absent later in that same scene. Stravinsky makes the reuse and transformation of musical material — a common device in opera from the late 18th century on — uniquely his own by deliberately downplaying any common emotional associations and focusing instead on formal attributes.

Timeless Music

As common a procedure as parody is for Stravinsky, he does not apply the technique indiscriminately or without purpose. In his influential Opera as Drama, Joseph Kerman observes a direct relationship in *RP* between parody and character development. For Kerman, Tom's progress is not a degeneration, but a process of growing awareness, the evidence of which is his increasing depth of feeling as the opera progresses. Consequently, Tom's foolish opening aria, "Here I stand" (I/i), is consistently accompanied by sardonic

bassoons. But as distance and circumstances separate Tom from his true love, he gradually feels and expresses a more "direct sentiment,"[42] as in the *cavatina* in the brothel scene (I/ii) and in the heart-rending trio with Anne and Baba (II/ii). Whether Tom attains progressively higher degrees of awareness or simply vacillates between ignorance and self-knowledge (the parodied Ballad tune is, after all, introduced in III/i), Kerman's point is well taken: Our modes of sympathy, whether they be amusement or empathy, are determined by the music.[43]

Kerman cites Tom's duet with Anne in the final scene in Bedlam as the culmination of Tom's learning process (III/iii, R249-252). In this, "the most transcendental moment in the score," Tom "seems to regain his senses, and indeed to gain full awareness for the first time."[44] For a brief moment, Tom and Anne are joined as destiny intended them to be. As text, Auden uses, for the first time, the image of timelessness as found in the outline version of Tom's transformation into Adonis at the conclusion of III/ii:

> Rejoice, beloved: in these fields of Elysium
> Space cannot alter, nor Time our love abate;
> Here has no words for absence or estrangement
> Nor Now a notion of Almost or Too Late.

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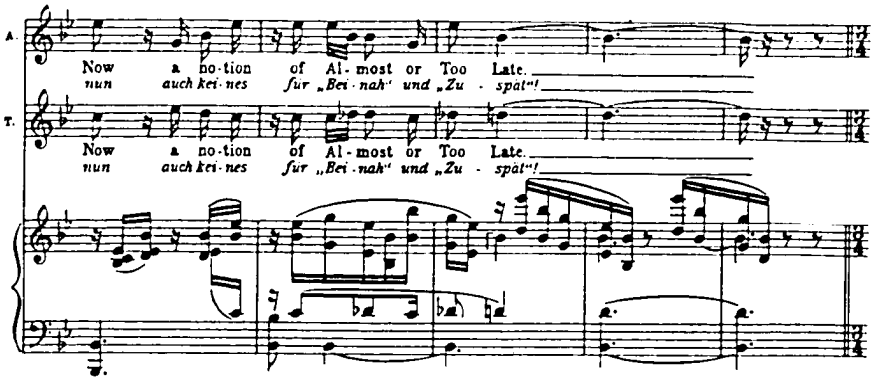
[42] Opera as Drama, p. 241.

[43] ibid., p. 240. Kerman's makes this point in comparing our reaction to Tom with our reaction to Mozart's Don Giovanni. While we are constantly amused *by* Tom, we only laugh *with* the Don. What Kerman does not state is equally true, that while we may admire Don Giovanni, we empathize only with Tom. The reason for this, as I stated earlier, is that Tom is a real human being, while Giovanni is an archetypal force. In this regard, Nick functions in a similar fashion to Don Giovanni.

[44] ibid., p. 241.

Musically, Stravinsky draws a striking connection between Tom's insanity and this timeless, spaceless utopian vision by again recalling the ametrical fluttering figures from the end of III/ii (R206-12), this time with the lovers themselves joining the winds. Once again, these irregularly placed figures and tonic pedal bring time to a halt. The effect is most poignant in the final measures, when E-flat major string arpeggiations hover over the tonic B flat/D (see Example 3-6).

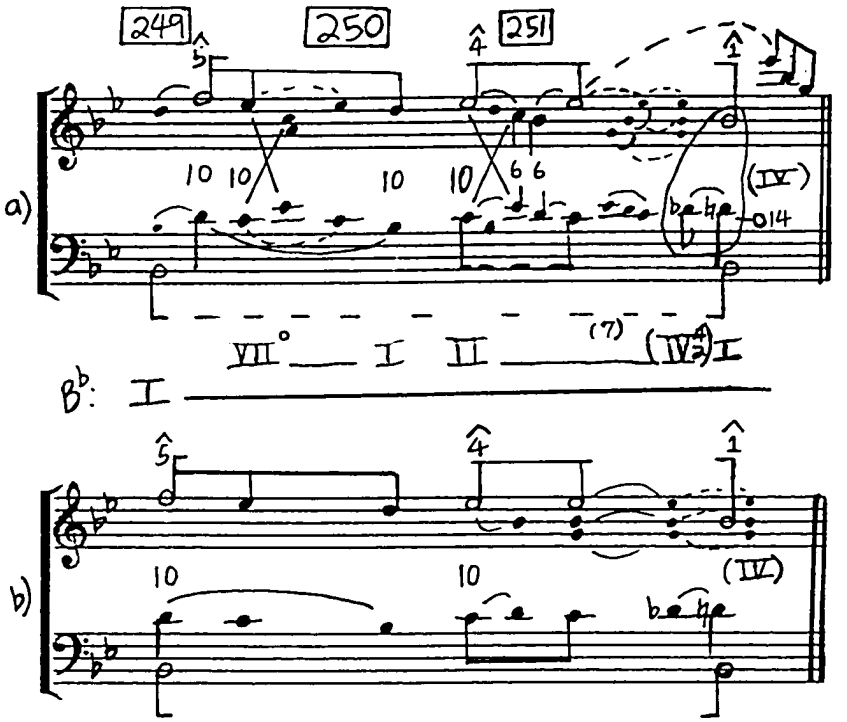
Example 3-6. III/iii, R251+1-4.



But the frozen quality of these final measures is more than a local effect. It is a culmination of the entire passage. Ironically, the voice leading, in addition to the irregular rhythmic groupings, recalls Tom's tentative vocal line at the beginning of the Graveyard scene (III/ii, R161-65), when the fluttering winds originally appear. Always harmonized in thirds by Tom, Anne's top line follows a rather clear, if leisurely path from f^2 to e flat^2. But Anne never really descends from e flat^2. She simply skips to tonic b flat^1. It is this suspended E flat that is taken up by the arpeggiating strings. Though they repeat the figure only twice, the effect is as if they continue forever, just as the winds almost literally do at the end of III/ii (see Example 3-7).

But as deeply as this duet moves us, the sentiments it evokes are founded upon an illusionary vision. Tom has not gained full awareness. Such state of awareness, to speculate in Jungian terms, might appear in a "new symbolic form, representing the Self, the innermost nucleus of the psyche. . . It manifests itself as a masculine initiator and guardian, . . . a wise old man, a spirit of nature."[45] One

Example 3-7. III/iii, R249-252.



could imagine a figure comparable to Sarastro or Hans Sachs serving as a model for the enlightened Tom. But no such figure appears. Instead, Tom fixates on Anne as "Venus," his projected anima raised to the heights of spiritual devotion. This causes Tom's process of self-discovery to stagnate. From the moment Anne sweetly addresses Tom as "Adonis," most of the scene is acted out so as to

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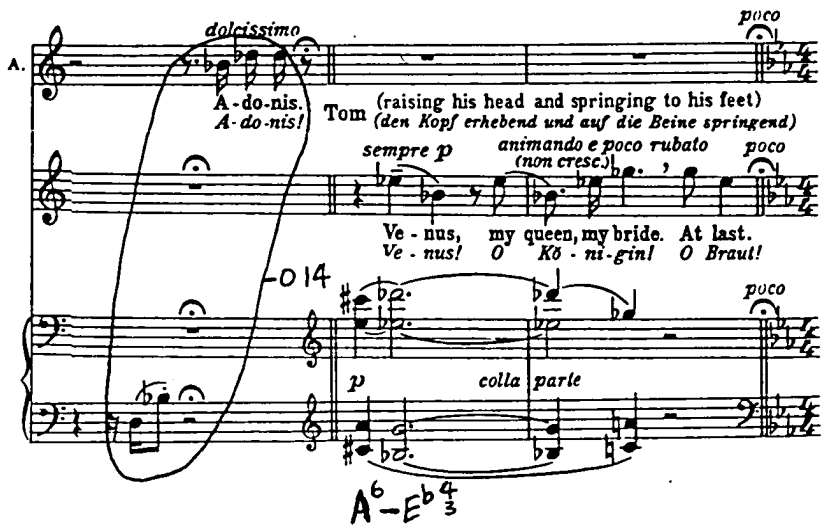
[45] "The Process of Individuation," p. 196.

preserve an illusion: that "Adonis" and "Venus" are indeed reunited. And except for the G-centered section in which Tom confesses his sinful progress (R241-46), Stravinsky frames this *masque* within the opera[46] in flat tonalitites — E-flat major for the Arioso (R239-40); B-flat major for the duet (R243-52); and A-flat major for the Lullaby (R254-58). This association originates with Anne's d flat^2 at R238+2, which is taken up by the flute I. As the sustained winds subtly shift from A major (the framing tonality of both the scene and the entire opera) to E-flat$^{4/3}$, Tom is aroused from his stupor, and the illusory reunion begins (see Example 3-8).

Example 3-8. III/iii, R238+2.



Whether one views the association of flats with Tom's illusion as another abstract identification of a tonal center with a dramatic idea, such as Departure with G or the Garden with A, or as Stravinsky's

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[46] Roger Savage writes: "[T]he last scene becomes, on one level, an exquisitely touching play-within-a-play . . . : a Masque of Venus and Adonis." See "Making a Libretto: Three Collaborations over *The Rake's Progress*," Stravinsky: The Rake's Progress - Oedipus Rex (New York, NY: Riverrun Press, 1991) p. 52.

concrete way of achieving maximal tonal contrast (black keys verses white keys) for the purpose of musical/dramatic contrast (illusion verses reality), the association remains the single most important factor in the large-scale tonal organization of the scene.[47]

In fact, there is ample evidence prior to the final scene to suggest that this opposition between "natural" and "flat" tonalities does possess dramatic significance. As I noted earlier, Stravinsky sets both the prayers of Anne and Tom and the Ballad tune in G major (I/iii, R192; III/ii, R165 & 170) *and* B-flat major (II/iii, R204; III/i, R134 & 149 and III/ii, R207). The association of G major with departure has been firmly established — Anne prays for strength as she leaves for London; Nick demands Tom's departure from this earth as the wage for his service. Departure is itself a signal of Progress, and is therefore a central motivating force in the drama. The key of B flat, at least for most of the opera, parallels Tom's desires and the personification of those desires, Nick.[48] Viewed in this light, the significance of B-flat major after Tom loses his mind seems to demand some qualification. Joseph Straus closely examines the point at which this key is purged of its association with Nick, the transformation from B-flat minor to major at the end of the Graveyard scene (III/ii, R201-207). This transformation is brought about through the mediation of G minor at R203, the point where

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[47] The spelling of the choral response at R257 in D# may reflect the momentary self-consciousness of the madmen ("Where are our rages and our fears?"), or it may be viewed simply as a notational convenience (see ex. 3-11).

[48] See Chapter two, footnotes 9 & 10.

Nick condemns Tom to madness ("Your sins, my foe, before I go Give me some power to pain: . . ."). The new key of B flat comes "to symbolize [Tom's] apotheosis, his transformation into the mythic Adonis. Of course the transformation is profoundly ambiguous — Tom simultaneously achieves a new wisdom and is plunged into madness. . . Shadow has left a permanent mark."[49] If, from the end of III/ii, the key of B flat is associated with Tom's madness, is not that madness in some way a new manifestation of his self-destructive desires? Tom declares an end to his idle desires so that he may obsessively pursue his one true desire: to be reunited with Anne. Unfortunately, a reunion with Anne is as illusory as his naive hope in the bread machine (II/iii) and the nonsensical world of his and Nick's Ballad (III/i), all of which is expressed in B-flat major.

Prior to the final scene, the distinct dramatic forces associated with the keys of B flat and G (Desire and Progress) do not pose a dramatic conflict. In fact, they go hand in hand. Thus, in I/i Nick explains the tale of Tom's "rich uncle" in G major (R51-56), but slips immediately into B-flat major in the brief recitative in which he declares "You are a rich man" (R57). His desire fulfilled, Tom expresses his gratitude in B-flat (R58-65) and bids farewell to Anne in G (R81-87). However, once the object of Tom's desire becomes the reunion with Anne, as is the case in Bedlam, then the impulse to Progress is stymied. This dramatic conflict plays itself out in the subtle conflict between the two tonal centers in Anne and Tom's Duet (III/iii, R243-252). Tom confesses in G minor his foolish hunt for

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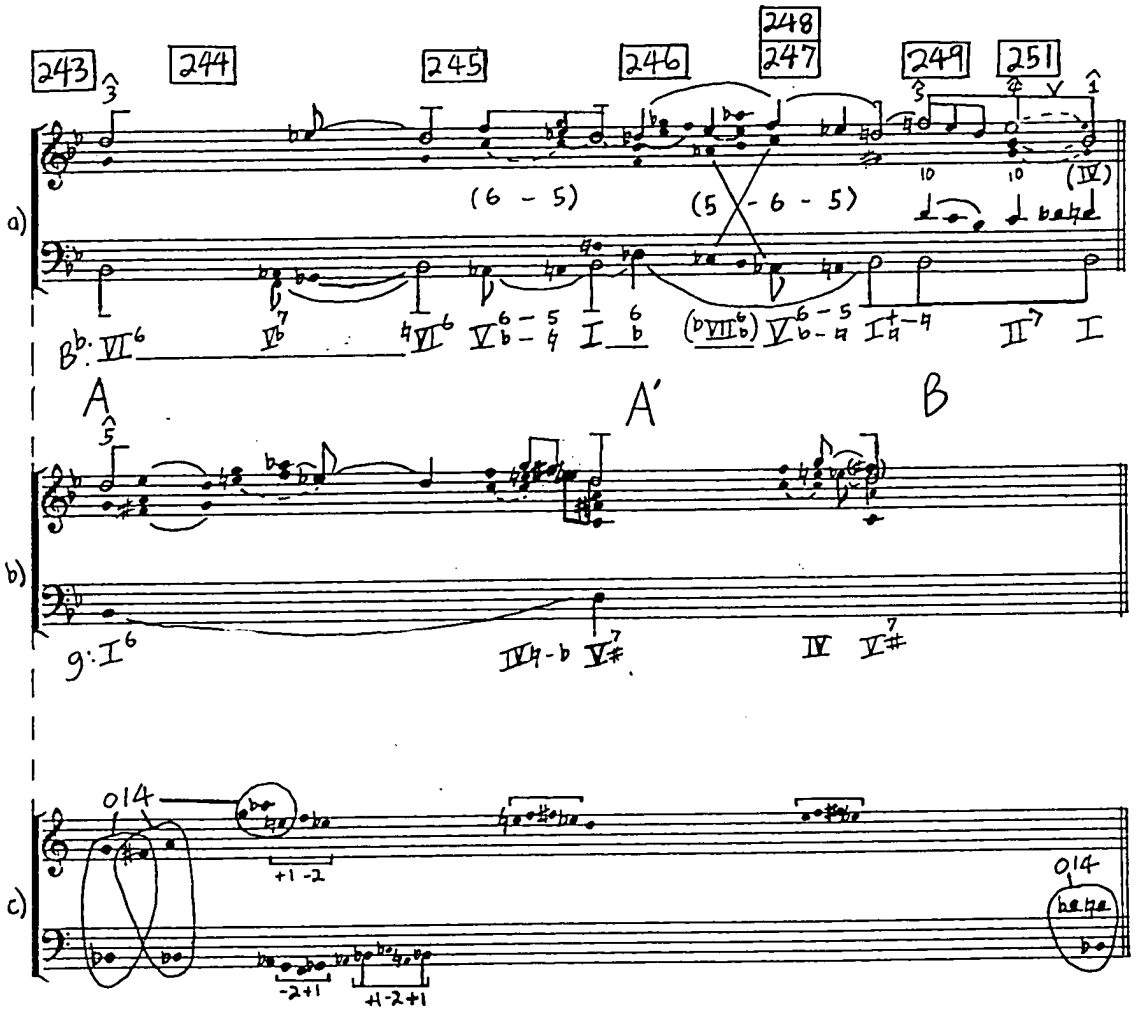
[49] Straus, "The Progress of a Motive. . .," pp. 182-3.

"shadows" over a steady B-flat pedal. This structural tonal tension reveals itself in numerous instances of the now familiar 014 trichord and (+1,-2) motive, and an unusual chromatic turning figure [E-F-F#-E flat] reminiscent of the slippery chromatic voice leading found in the Graveyard prelude. Playing along with the mythic illusion ("Kiss me, Adonis: the wild boar is vanquished"), Anne momentarily grants Tom his last desire. To highlight this structural conflict, I isolate the elements of G minor and B-flat major into two separate strata (see Example 3-9a & b). For the purpose of notational clarity, I further isolate the post-tonal elements which result from this tonal conflict in a third stratum (see Example 3-9c). As this three-tiered graph reveals, the conflicting G minor and its post-tonal by-products are ultimately subsumed into B-flat major. For a brief moment, Tom's final desire is fulfilled.

However, when Kerman asserts that Tom seems "to regain his senses and full awareness for the first time," the key word is "seems." Tom has not attained a heightened awareness, but a heightened state of denial. While he has learned to refute a life of irresponsibility and to fully appreciate whom he truly loves and who truly loves him, the lesson has come at a great cost — his sanity. Tom has replaced his compulsive desire to progress with an obsession with the past. In transforming himself and his lover into fixed, mythic characters, he now refutes the progress of time. Stravinsky identifies this mythic obsession with the tonality of Tom's desire, B flat and its related keys.

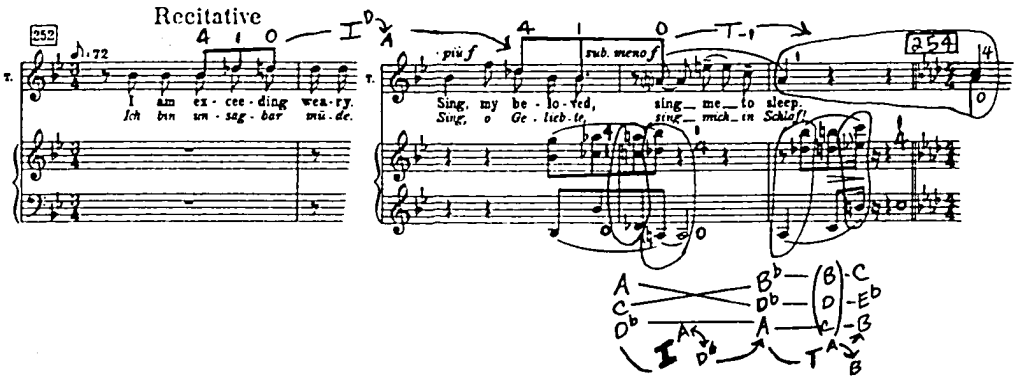
Example 3-9. R243-251.



Tom's single chromatic inflection from d flat[1] to d[1] at R251+3 belies his ecstatic reunion with "Venus." The mode mixture — indicated by the 014 [B flat-D flat-D], the very same chord that supported Anne's initial "Adonis" (see ex. 3-8) — recalls the opening duet of the opera (I/i) when both Anne (in A major) and Tom (in G major) similarly mix major and minor. The recollection clearly connects the moment with that innocent pastoral scene in Father Trulove's garden. Tom

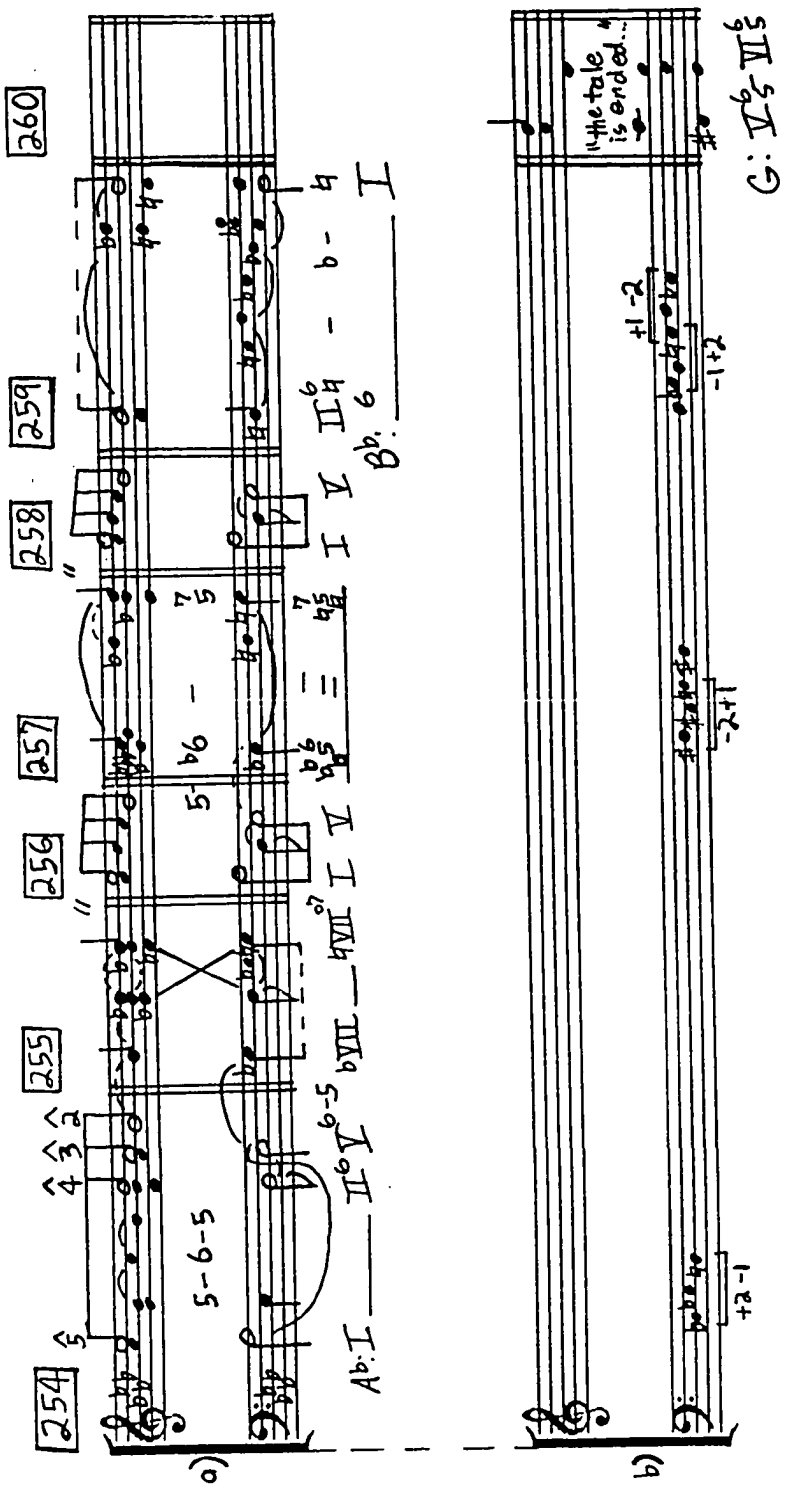
says as much when he declares, "Embrace me Venus: I've come home at last" (R248). However, much has changed since that spring day, not the least of which is the key — B flat. The transcendental moment is broken when he suddenly staggers. As Tom drowsily asks his beloved to sing him to sleep, the D flat/D becomes a signal of his impending death (R252-54). In a manner similar to the disjunct succession of tonalities in II/ii (see Chapter two), the inversion of 014 around B flat/D flat mediates an abrupt shift from B-flat minor to A minor. But the "return" is only momentary, as yet another transformation of 014 (T_{-1}) introduces the A-flat major of Anne's Lullaby (see Example 3-10).

Example 3-10. III/iii, R252-54.



Out of sincere pity, Anne briefly indulges Tom and his fellow madmen with her Lullaby. As I discussed at length in Chapter one, Anne's Lullaby closely adheres to its idyllic model. The weighty responses by the inhabitants of Bedlam are significantly more dissonant, with the bass motion at times obscured by the (+1,-2) motive. Yet, despite their apparent contrast to Anne's simple, sweet music, these choral responses relate tonally, if distantly to her A-flat

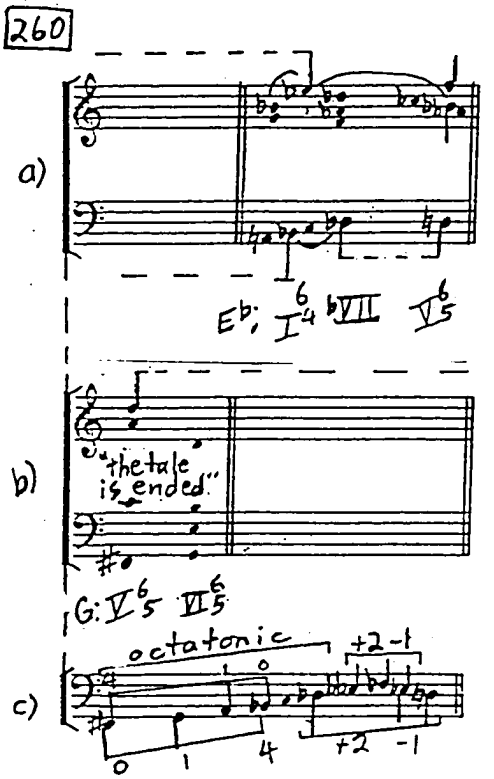
Example 3-11. III/iii, R254-260.



major — the first two interruptions (R255 & 257) being chromatically altered prolongations of V and the third (R259) being a progression to B-flat major. However, when Father Trulove declares an end to the tale over $V^{6/5}$ of G (R260), the tonal sphere of A flat/B flat and the illusion that is associated with it are disrupted (see Example 3-11).

Anne unquestioningly echoes her father's descending fifth (B to E). But in turning to Tom, she slips back into E-flat major. The continuous bass line between these tonally unrelated areas follows an octatonic span from $F\#_2$ to $D\ flat_1$. This rare appearance in *RP* of what is otherwise a common resource for Stravinsky highlights a fundamental connection with the recurrent 014 trichord, which occurs twice within each four-note segment of that scale (see Example 3-12).

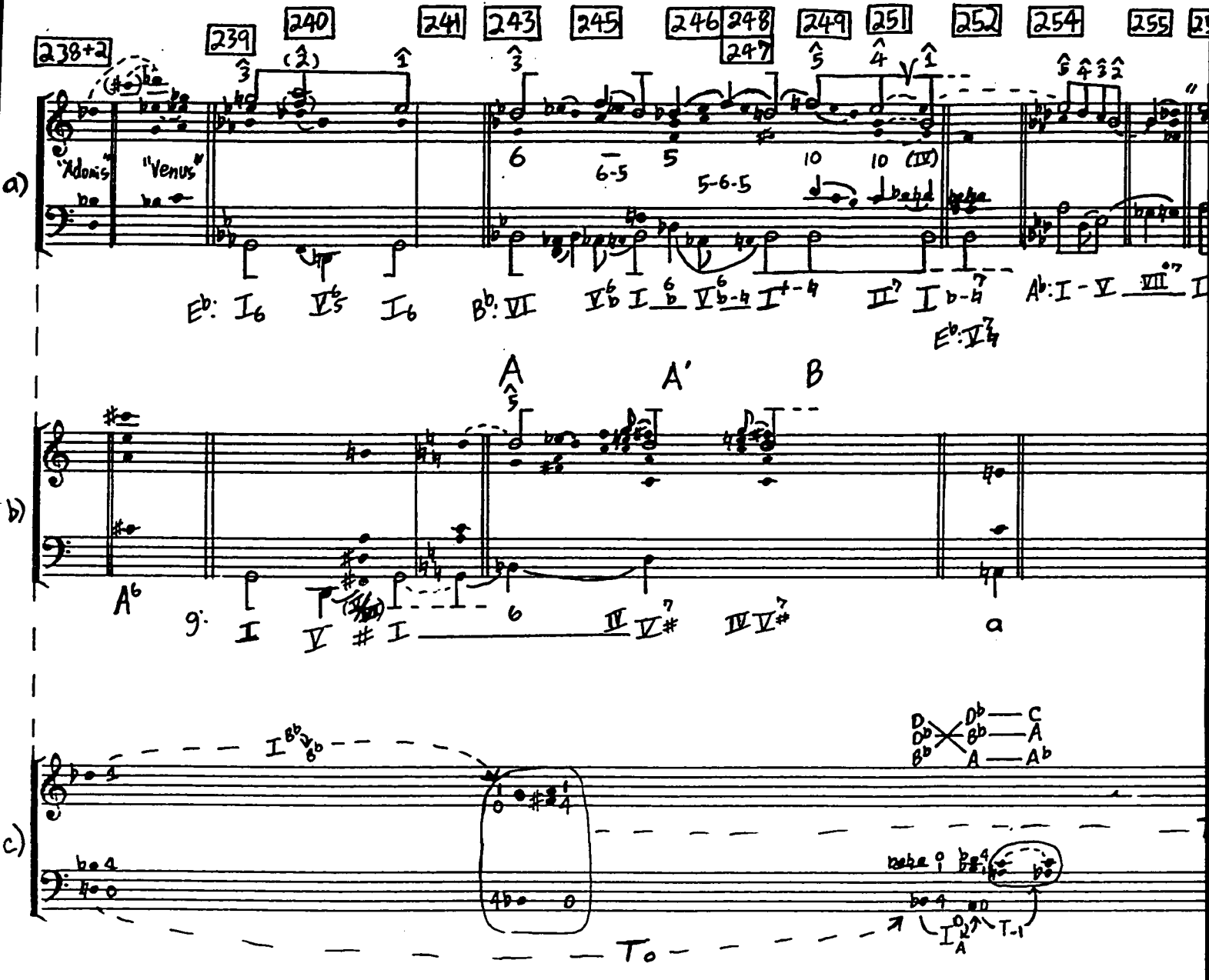
Example 3-12. III/iii, R260.



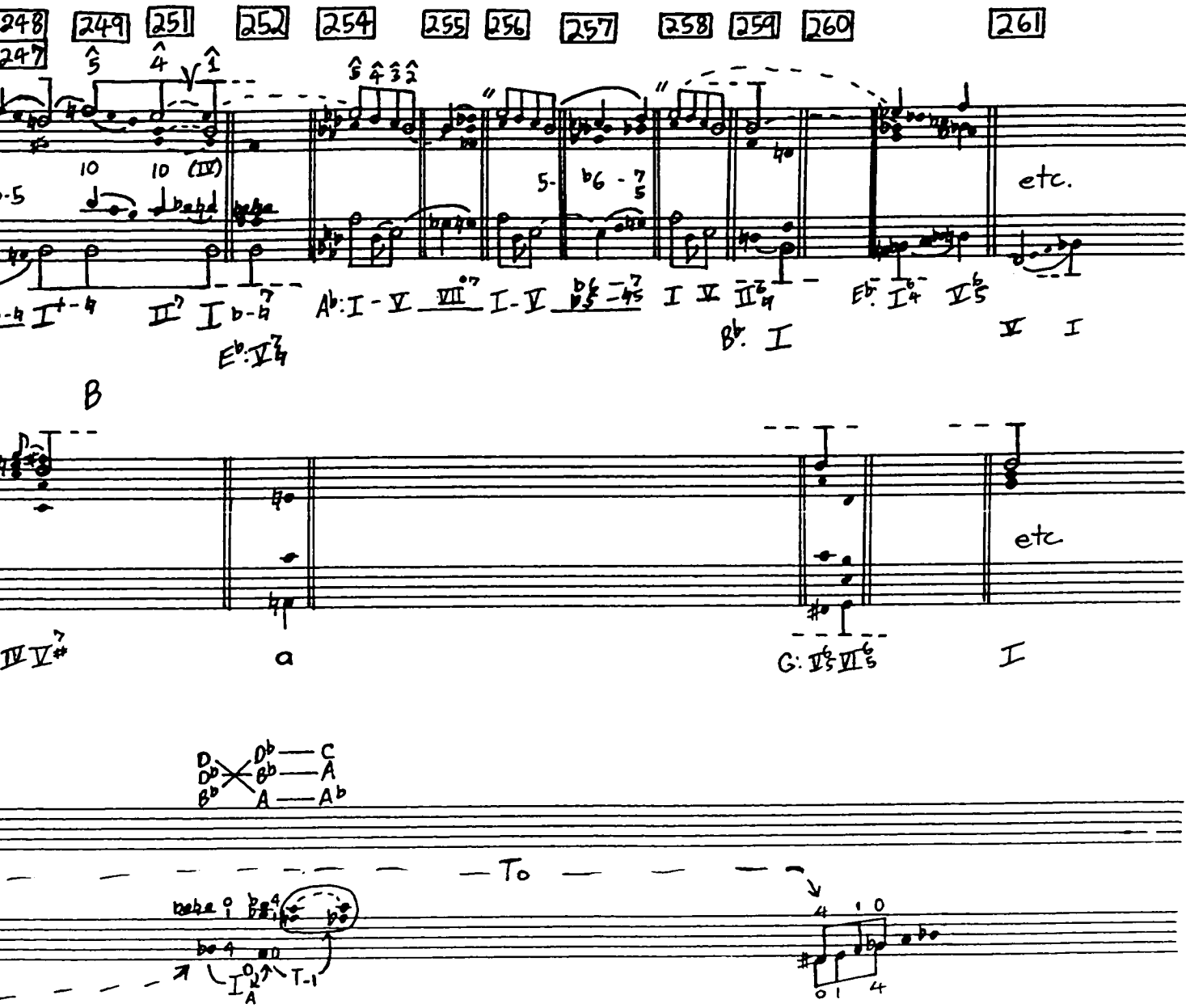
In fact, the two 014's which encompass the span F#-G-A-B flat relate directly to the G minor passage at R243 (cf. ex. 3-9). Anne's upper voice e flat^2 not only recalls the head-tone of her preceding A-flat major Lullaby, but also the suspended e flat^2 at the end of the duet (R251+2). This time she descends toward the dominant b flat, but via d flat^2 and c flat^2 which, supported by the <+2,-1> bass motion (E double flat-F flat-E flat), lends a particularly chromatic and regretful tone to the half cadence. In settling on B-flat $V^{6/5}$, she avoids the root b flat^1 and skips up to f^2, a departing gesture to her lover that is both deeply touching and inconclusive.

After bidding good-bye, Anne and her father draw the lesson of Tom's demise in a stoically dissonant duettino that consistently pits the departing key of G major against a linear span from F_2 to B $flat_2$ in the bass (R261-66). That the composer avoids fulfilling the tonal promise of his half cadence on $V^{6/5}$ of B flat is not merely typical of Stravinskian neo-classicism. To have proceeded in E-flat major would violate the careful association that Stravinsky establishes between "flat" tonalities (B flat, E flat and A flat) and Tom's illusionary myth. Instead, he jumps back to the G-major tonality of Father Trulove's recitative, which in turn is related to the G minor at R243. In fact, when one examines the large-scale tonal structure of the entire scene from the initial foray into the region of "flats" at R238+2, **G**, both as a tonal center and as an important bass note (R239-243), functions musically and dramatically as a foil against the prevailing illusion.

Example 3-13. III/iii, R238+2 - 261.



R238+2 - 261.



The chilling disjunction between V of E flat and G major at R261 therefore results from the conflict of large-scale tonal and dramatic forces (see Example 3-13).[50]

Furthermore, the contrast between the Duettino and the preceding music is achieved not only by the tonal disjunction between B-flat $V^{6/5}$ and G major, but by the vertical juxtaposition of G major in the upper voices against the repeated linear span in the bass from F to B flat. Compare this bitonality with the juxtaposition of F major and D major (V of G) during the servants' procession in II/ii (R100-2) and the chaconne Finale in II/ii (R142-52), the latter of which also follows a four-measure pattern.[51] Structural tonal conflict lends an emotional distance to each of these passages which stands in sharp contrast to the adjacent diatonic music. And if the recurring linear span from F to B flat (5 to 1 in B flat) recalls Tom's illusionary world, then the firm resolution of both tonal strata to G major establishes the finality of Anne's departure.

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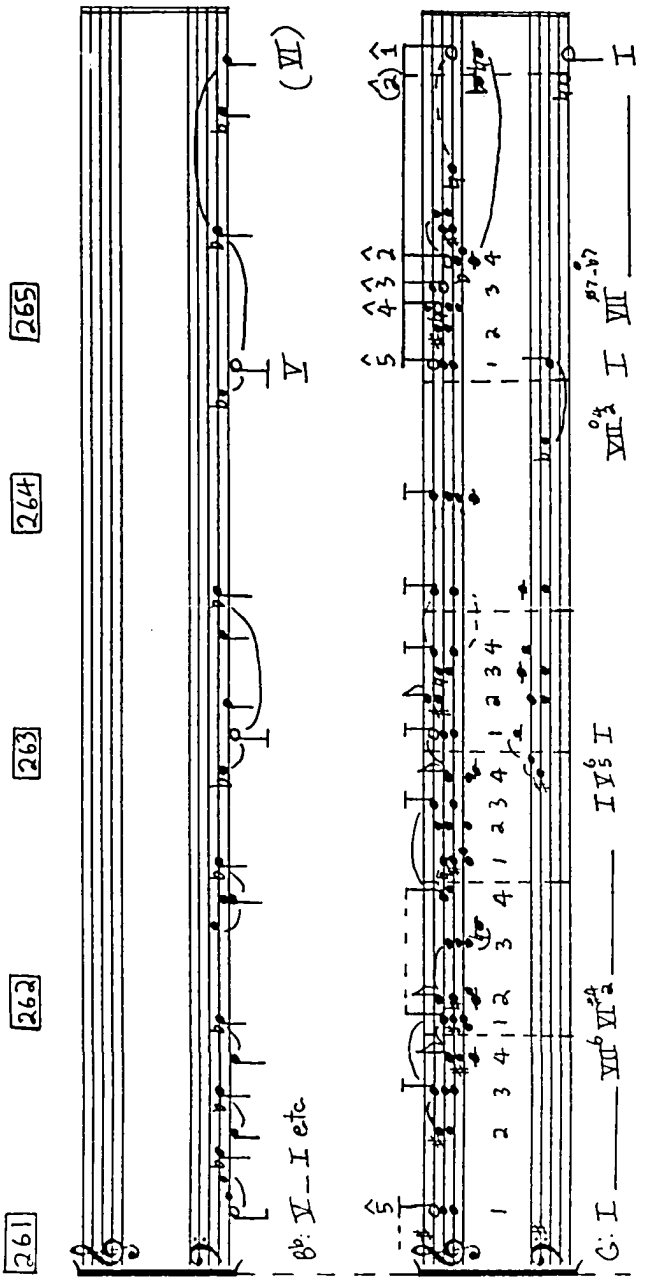
[50] Stark juxtapositions and disjunctions have long been cited as a staple of Stravinsky's compositional technique. A particularly effective strategy for analysing this practice is to separate contiguous but disjunct sections of music into related strata and trace the degree of continuity within each stratum. Edward Cone first applied this technique in his analysis of the *Symphonies of Wind Instruments* — see "Stravinsky: The Progress of a Method," Perspectives of New Music 1/1 (1962), pp. 18-26, and Kofi Agawu uses a similar approach in his analysis of voice leading in the "Kyrie" of the *Mass* - see "Stravinsky's *Mass* and Stravinsky Analysis." Again, I also employ a third, post-tonal stratum to highlight the (+1,-2) motives and 014-related set classes which mediate between these two tonal strata. The density of activity in any given stratum reflects the degree to which tonal or post-tonal forces drive the music of any given passage.

[51] See Chapter two, examples 2-12 and 2-18.

Example 3-14. III/iii, Recitative and Duettino, R261-65.N.B.



N.B. Cf. the instances of 014 here with the fifth-related 0347's in II/ii, R100-3 (see Chapter two, ftnt. 22 and ex. 2-12).

Note that the foreground voice-leading to G major depends not on harmonic function, but on the coincidence of g^1, B_1 and G_2 arrived at via separate (+1,-2) motives (see Example 3-14).[52]

Such chromatic voice leading also contributes to the contrast with the generally diatonic world of Tom's illusion. If the <+2,-1> bass line before R261 undermines the illusion, then the predominance of that motive in the Duettino (R261-65) obliterates it. The motive occurs twelve times in the bass line alone! The only other passage with such chromatic voice leading is the Prelude to the Graveyard scene (III/ii - see Chapter one). In fact, the meandering path of the recurring linear ascent from F_2 to B $flat_2$ is strongly reminiscent of the Prelude, both in its serpentine journey and its surprisingly unambiguous conclusion. However, in stark contrast to that Prelude, and more immediately to the duet at R249-52, is the firm metrical pattern and four-square phrase structure of the Duettino. Not only is the harmonic realm of illusion broken, so is the temporal realm (see ex. 3-14).

After Anne and her father depart, sforzando string pizzicati startle Tom from his sleep (R266). Over F_6 and G_6+C chords (as in Father Trulove's recitative at R260, there are no flats), he calls for his departed Venus. The progression culminates on D/C#/B flat, the

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[52] The arrival on "tonic" G major through a counterpoint of separate chromatic motives is remarkably similar to Stravinsky's procedure in his "Dirge-Canons" from In Memoriam Dylan Thomas, composed in 1954. In that work, four separate forms of a chromatic five-note series converge to form "cadences" on F flat-major (m. 5) and C major+D (m. 8). This similarity reveals a link between between Stravinsky's "tonal" neo-classical style and his more rigorously contrapuntal approach to harmony in his later serial style.

very same 014 that accompanies his original foray into flats (R238+2) and dominates his recitative following the duet with Anne (R252-3). Once again, the chord functions as a pivot into the region of "flats" (diatonic D-flat major), the musical analog of Tom's delusion (see Example 3-15). Every musical device that Stravinsky used to establish Anne and Father Trulove's sober view of reality — tonal contrast, bitonality, chromatic voice leading, metrical regularity, four-square phrase structure — is reversed when Tom retreats into illusion. His florid 32nd notes, along with the wind tremolos and vague metrical sense, form a strong connection with the fluttering 32nd notes of Anne and Tom's duet and an equally strong contrast to the dry syllabic setting of the Duettino.

This florid writing inevitably recalls the free text setting of 17th-century recitative, which also slips from syllabic recitation to richly expressive melismas at the mere suggestion of a graphic text.[53] Stravinsky has appropriated yet another, even more archaic operatic style for the purpose of musical/dramatic contrast. His choice is deeply significant. As Tom retreats into a mythic persona, Stravinsky adopts an operatic tradition which is involved exclusively with ancient myths. The deeper Tom's denial, the further Stravinsky retreats into opera history.

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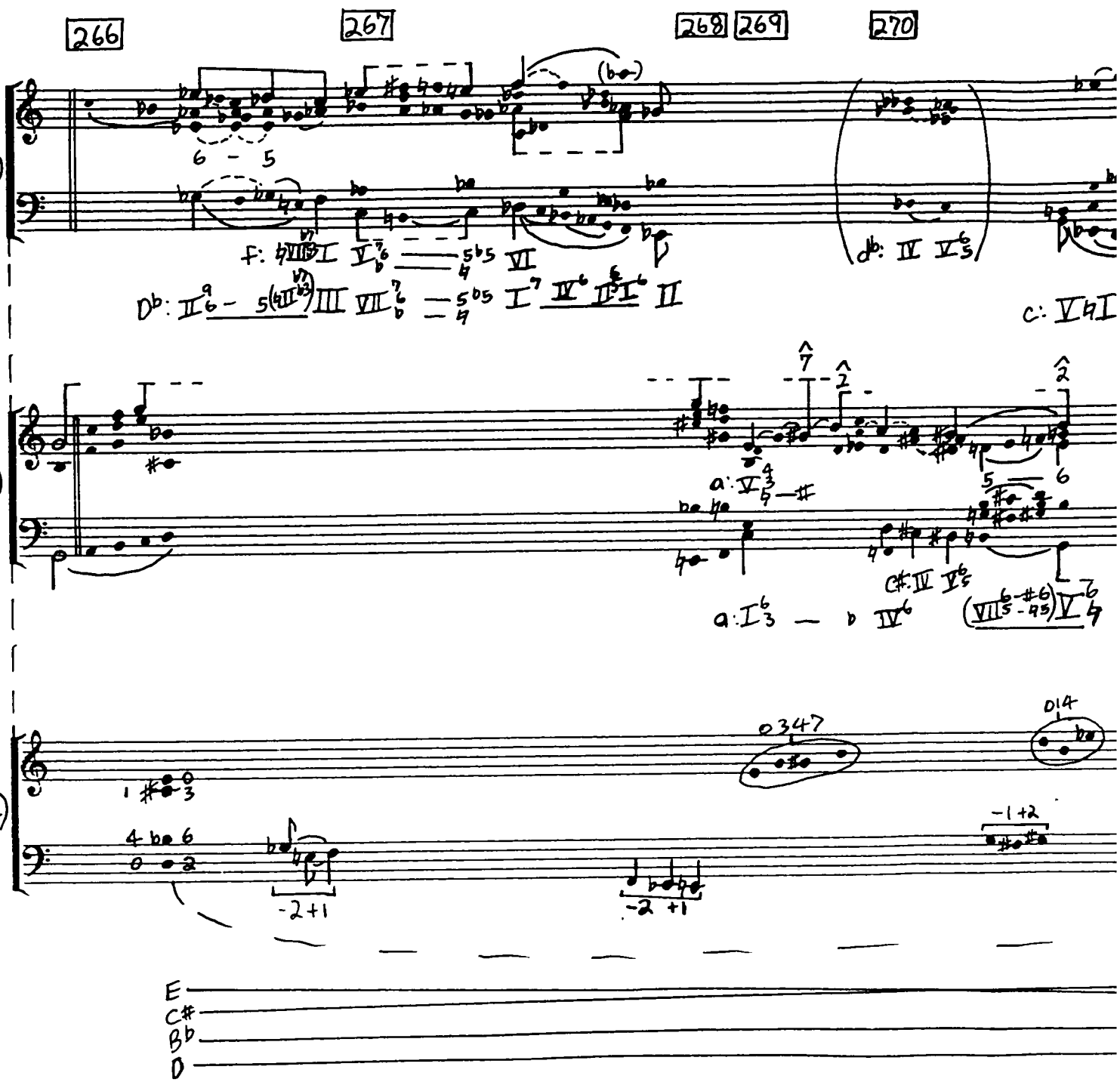
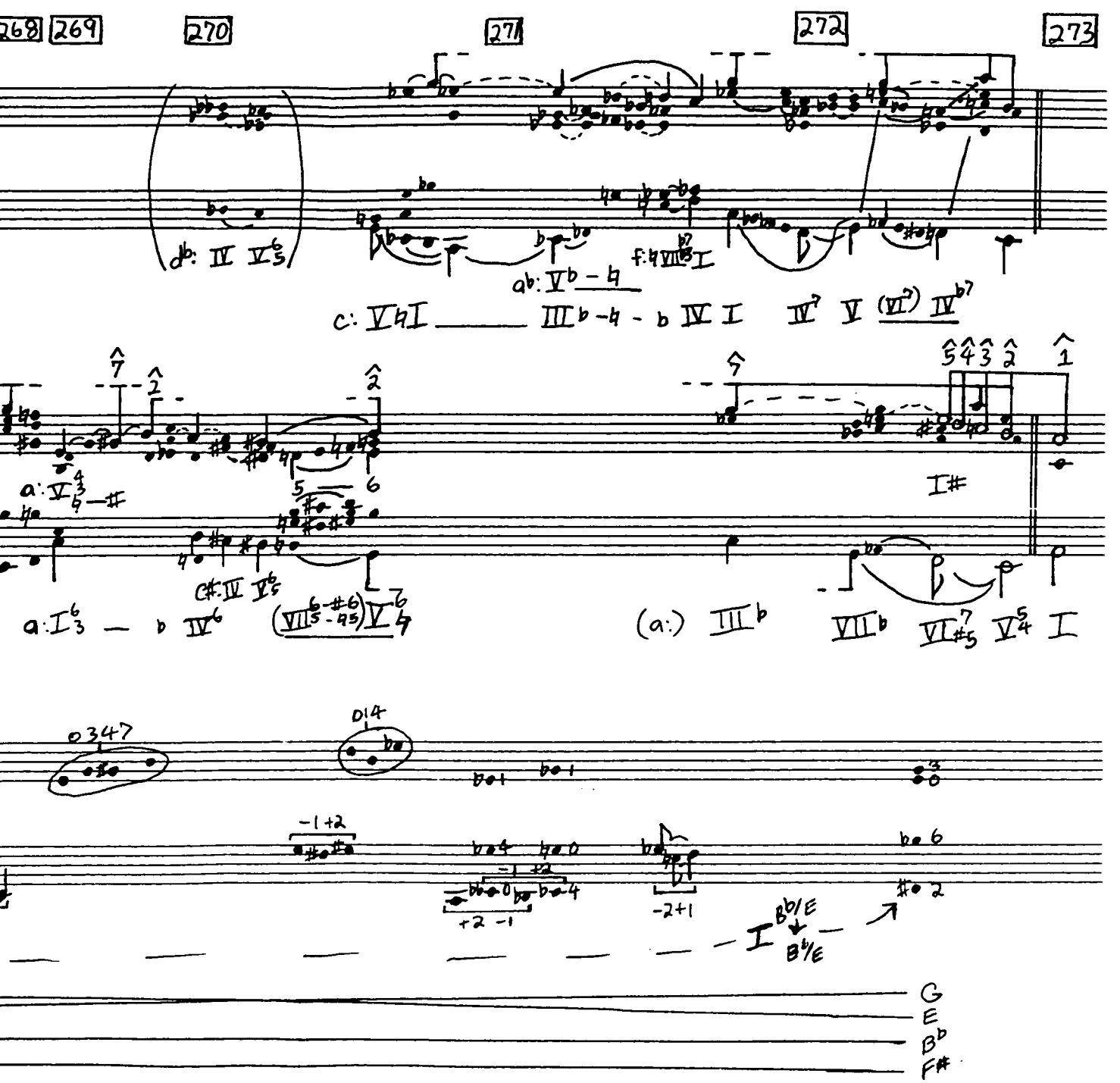
[53] Kerman describes this type of recitative as "tumbling emotion, a continuing heart-cry, undistanced, 'the naked human voice' behind the measured voice of the poet. Its magnificence and immediacy stem exactly from its impulsive nature, from its lack of forming control." (Opera as Drama, p. 30.) The most obvious example of this approach would be Orfeo's impassioned recitatives in Monteverdi's opera.

Example 3-15. III/iii, R266-73.





His revery broken by the chorus's reentry, Tom demands the return of Venus (R268). The accompanying string pizzicati — diminished seventh chords over E and F — seem even more brittle and dissonant by contrast to the arco, largely diatonic (pseudo D-flat major) passage at R267. The madmen cruelly respond in something akin to A minor ($V^{4/3}$ over a pedal C_1) that "no one has been here." Tom cries out, "My heart breaks" over V^7 of C# minor (R270), and recoils over E minor ("I feel the chill of death's approaching wing"). In an effect evocative of a great lyre, the orchestral strings strike a C-minor chord as he calls upon Orpheus to find expression for his pain. Yet even as Tom relaxes again into effusive 32nd notes and the tonal region of his delusion (he repeats the F minor melody of R266+3 at R271+2), his weakening state is betrayed by the interlocking <+2,-1> motive in the bass (C-E double flat-D flat-E flat), the 014 trichord (E double flat/E flat/G flat) and the darkened mood of the minor mode (his delusion is now framed in C minor, not D-flat major — see ex. 3-15). As he deliriously spins out melismas on the words "swanlike," "Adonis," "beautiful," and finally "loved," Tom undergoes a telling transformation. His e^1's in R272+1 & 2 serve as a pivot tone away from the prevailing flats. The "pivot" chord E/F#/G/B flat (0236) on the downbeat of R272+2 is an inversion around B flat/E of the "pivot" chord D/C#/B flat (plus Tom's E) at R266+1. In both "modulations" this tritone E/B flat plus G is prominantly featured in the vocal line. In the former instance, the B flat effects the modulation into the region of "flats," while in the latter, E prompts the modulation out of that region.

In a passage remarkable for its diatonic effusiveness, Tom's harmonic reorientation is striking, especially for its departure from the region associated with his illusions. His dying gesture, a leap to a^1 and slow cadential trill on B_1 and c^1 prepare the subsequent cadence in the "home" key of A minor (R273). The modulation not only brings Tom out of illusion (C minor) back to reality (A minor), the process of modulation poignantly, even painfully colors his moment of death.

Assuming the need to conclude the Bedlam scene (and the opera) in A, Stravinsky's modulation to V of A minor before the Mourning Chorus follows the conventions of harmonic progression and tonal coherence. However, such imperatives do not usually prevent him from abruptly jumping to a distant tonality (e.g. Mother Goose's interruption of the Whore's chorus in I/ii - R162; Baba's entrance in II/ii - R127, etc.). In his criticism of such abrupt disjunctions, Deryck Cooke writes, "Only rarely (introductions to Act 2 and Act 3 scene 2, and Anne's lullaby) does Stravinsky achieve a genuine, natural, personal expression of human feeling."[54] While I, like Joseph Kerman, would give Stravinsky credit for more instances of "genuine, natural, personal expression," Cooke has a valid, if misapplied, point. When Stravinsky sets up tonal expectations — such as the promise of harmonic progression, traditional voice leading and diatonic harmony — or, for that matter, post-tonal expectations — such as motivically generated chromatic voice-leading (+1,-2) and chords (014-related), harmonic stasis — and then

[54] Deryck Cooke, "'The Rake' and the 18th Century," pp. 21-2.

deliberately and abruptly subverts them, we are, as listeners, being played with. As both Kerman and Cooke imply, these musical expectations help determine our emotional response to the music. It is striking that Cooke chooses as two of his examples of "genuine. . . expression" the passages that I analyzed as the most extreme examples of tonal and post-tonal procedures, respectively: Anne's Lullaby (III/iii) and the Prelude to the Graveyard scene (III/ii). Cooke's criticism is not that Stravinsky writes tonal or post-tonal music, but that he so blatantly and consistently juxtaposes them, which dilutes the expressive power of both.

This point echoes Kerman's statement regarding the increasing depth of feeling on the part of Tom during the course of the opera. In the opening scenes, which Cooke describes as "mainly cool (imagine how Mozart would have treated 'young love' and 'the lovers' farewell' in Scene 1)," Stravinsky presents a rather wooden, highly stylized, and distanced version of the young lovers. Anne is too innocent and Tom too foolish to fully and sincerely love each other. As the gravity of their situation grows heavier, Stravinsky gradually discards the cynical devices of blatant parody. In the dramatically weighty confrontation in London (II/ii) and the final two scenes in the Graveyard and Bedlam, Stravinsky uses the contrast of styles to project conflicting dramatic forces, with little parody (Baba's sedan entrance notwithstanding). Of the scene in Bedlam, Kerman comments, "Sentiment is neither dessicated nor cloyed, and there is a kind of consciousness and intelligence about it that does indeed recall Mozart. . . In sharp contrast to Alban Berg, Stravinsky is outside his opera, viewing the progress of the Rake

with detached sympathy. . ."[55] The stylistic contrast between Tom's insane world (tending toward flats, ametrical, diatonic, florid) and the "real" world on to which Anne proceeds (metrical, chromatic, shorn of ornament) is a product of Stravinsky's *detachment*. On the other hand, the *sympathy* we feel for poor Tom is sustained by Stravinsky's internally consistent treatment of these musical/dramatic strata. After so much blatant stylistic play and parody, the impression made by this subtle music touches us all the more deeply, so much so that we are even drawn into the illusionary masque played out for the benefit of the insane Tom. No less an authority than Stravinsky's wife, Vera wrote, "It seemed . . . that Igor saved his finest inspirations for the last scene: in 'Venus, mount thy throne,' in the duet, 'In a foolish dream,' and in 'Where are thou, Venus?" which to me is the most touching music he ever wrote."[56]

With the music poised on V of A minor, Tom dies (Even without the leading tone, there is no question as to the harmonic function of the 027 trichord E/A/B). The dramatic association of Tom's death with A minor is foreshadowed in his momentary shift at R253+3 ("Sing me to sleep") and the more extended interaction between the chorus and Tom from R269 to R270+2 ("I feel the chill of death's approaching wing" - see ex. 3-15). The bass moves securely and predictably to the bare octave A's in the trumpets and chorus. The somber procession initially proceeds in discrete two-measure phrases firmly centered on A before "modulating expressively" (to

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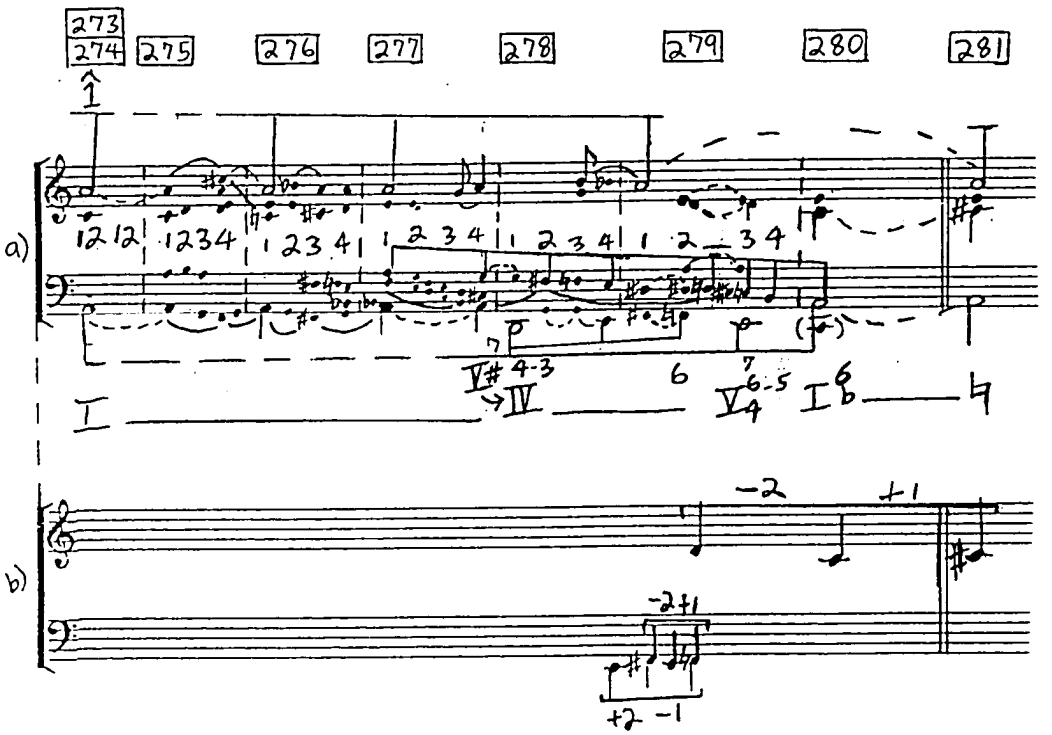
[55] Opera as Drama, p. 245.

[56] Vera Stravinsky, "*La Prima Assoluta* " in Themes and Conclusions, p. 57.

borrow Cooke's description of the Act I Quintet from *Così*) at R276. Coupled with the measured procession of time, the chromatic motion, which is underlined by interlocking (+1,-2) motives in the bass (R278+4), produces a perfect balance of dignity and pathos (see Example 3-16).

Example 3-16. III/iii, R273-281.



Jumping from minor to major (via a middle ground <-2,+1> — D-C-C#), soft to loud, chromatic to diatonic, slow to fast, barren (brass, bassoons and timpani) to rich (orchestral tutti), the music of the Epilogue (R281) jolts us from our attachment to the story of Tom's demise. In fact, by shedding their respective personas, the singers

step out of the story and come to occupy the theatrical space between the curtain and audience, both literally and figuratively. But even before the mezzo-soprano doffs her beard and the tenor jumps from his prone position, the expressive power of their characters has already been effectively shattered by Stravinsky's music. This musical-cum-theatrical juxtaposition has a palpable, even measurable emotional impact. The more internally consistent a passage such as the Mourning Chorus is, the more startling the contrast when Stravinsky abandons its conventions. In as much as this effect resembles numerous other instances in the opera (e.g. Baba's entrance in II/ii and the Ballad tune in its various guises in III/i and III/ii), so does the emotional effect. For whatever "tune-detection games"[57] Stravinsky's stylistic play inspires in us, from an aesthetic standpoint, this play manipulates the degree of our emotional engagement. Of course, theatrical composers often pull us (the audience) in or push us away, but in probably no previous work is the control of an audience's emotional attachment so important to the aesthetic effect of a musical drama as it is in *RP*.

To return to the discussion of the story of *RP*, if Tom's insanity is a reactionary attempt to retreat from the progress of time, his death marks the resumption of time, identified musically by the metrical regularity of both the Duettino between Anne and her father and the Mourning Chorus. The dichotomy between harmonic regions and harmonic style only reinforces this change. However, in viewing Tom's insanity as a retreat from his disastrous Progress, we

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[57] See Craft, Chronicle of a Friendship, p. 29.

turn the allegory of Progress and Return on its head. Anne is now the one who moves on. Where in the opening scene, the pronounced progression to G major (I/i, R104) marks Tom's departure from home and hearth, in the final scene, G major marks Anne's departure from Tom. Of course, the illusionary world to which he has returned, and which Anne is leaving, is framed in B-flat major (R239-60), not A. But the reversal of roles is puzzling, given Anne's courageous devotion to Tom earlier in the opera. Kerman asks, "What is the significance of having Anne save him in the graveyard, only to betray him now?"[58]

But Anne does not betray Tom when she leaves. To have had them live "happily ever after" would have been the most cynical dramatic choice possible. Kerman complains that neither Anne nor Tom "touches the theme of redemption or half-redemption on which the opera promised to culminate,"[59] but would anyone expect Stravinsky to bow to such a romantic (not to say Wagnerian) convention as the theme of redemption through love? Besides, Tom is at least half-redeemed. Like Goethe's Faust, his soul is saved, and Anne even allows that they may be reunited in an afterlife — only "in this *earthly* city we shall not meet again" (III/iii, R265). In any event, Tom has no existence for us outside of the opera (unlike a character from a *verismo* opera, with whom the audience is meant to empathize as much as possible). Our interest lies solely with the stage character, who, for all his obsessive pursuits, never attains

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[58] Opera as Drama, p. 246.

[59] ibid., p. 247.

even a semblance of true happiness. In the beginning, he is too immature to appreciate happiness; and in the end, when he thinks he is happy, he is too deluded to know it is not real. Like the mythic Adonis, he swings from a winter of rakishness to a spring of blind devotion. It is this immature, gullible and obsessive Tom against whom Anne is poised. Certainly not foolishly desirous of trivial things, she is also not blindly devoted. She never falters in her faith in "true love," but when that love is turned into a mythic obsession, she knows that it has ceased to exist. Whatever function myths serve for us, they cannot substitute for our real lives.

Lest we take this stern lesson too seriously, the Epilogue releases us from our attachment to the story. But the final scene in Bedlam is no joke. If one is tempted to read Tom's words as effusive and silly, or Anne and Father Trulove's lesson as facile and cold, Stravinsky's music tells us otherwise. The abrupt dismissal of these "tragically alive" characters masks[60] what is a less facile, more ambiguous — and what I suspect is a more personally revealing — moral to the story.

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[60] Kerman attributes Tom's inconclusive end and the theatrically artificial Epilogue to Auden's unwillingness to find affirmation in this modern age of anxiety. See Opera as Drama, p. 247.

Conclusion

Can a composer re-use the past and at the same time move in a forward direction? Regardless of the answer (which is 'yes'), this academic question did not trouble me during the composition, nor will I argue it now.[1]

Like Stravinsky during the composition of *The Rake's Progress*, I during the course of my study have not been troubled by the re-use of the musical past. Numerous serious, even avant-garde, composers both before and since the opera's premiere have progressed by returning to "old times." The questions that I have sought to address are *how* and *why* a composer returns.

Stravinsky's brand of neo-classicism is a technically specific approach to composition capable of projecting a uniquely modern dramatic design. By adopting conventions of the past (tonality, the succession of separate numbers, traditional forms and types, the classical orchestra, the harpsichord, etc.), the modern aspects of the music (dissonance, motivic generation of chords and voice leading, irregular rhythm, etc.) speak with clarity and renewed freshness. In analyzing this music, one must go beyond traditional commentary associated with "purely" tonal or post-tonal music, and address the interrelationship between these seemingly exclusive modes of organization. That Stravinsky writes a V-I cadence or inverts a 014 trichord is of little significance in and of itself. The important issue is how these two compositional procedures interact and affect one another.

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[1] Stravinsky, "The composer's view," in Griffiths, p. 2.

The task is not a simple one. Even when one identifies and isolates tonal and post-tonal elements, as I do in chapter one, conclusions regarding the dramatic significance of these elements usually defy anything more than a modest generalization (e.g. the chromatic motive (+1,-2) tends to undermine traditionally tonal voice leading and thereby any dramatic aspect associated with that tonal voice leading). The dramatic effect is usually dependent upon a musical-cum-theatrical association. However, exceptions come to mind, such as Baba's entrance in II/ii - R127 (see ex. 2-13). Even without the comic image of Baba arriving in her sedan, the static D-major bassoon duet contrasts so *dramatically* with the tensely dissonant passage (laden with 014-related harmonies) that immediately precedes it, the musical juxtaposition alone signals a palpable shift in the drama. And many more instances occur throughout the opera where the association with text and stage action confirms the dramatic significance of similarly obvious, if abstract musical juxtapositions (Nick's appropriation of the Ballad tune in response to Tom in III/ii - R165 & R170 and the disjunction between Anne's farewell to Tom and the following Duettino with her father in III/iii - R261, to name two). As an analyst, I discuss these musical/dramatic interrelationships as concretely as possible. But there can be no doubt that their effect depends largely upon an audience's emotional response, a phenomenon which tends to elude analysis. By manipulating our emotional attachment to the artistic image, the composer/dramatist creates a multi-leveled field of dramatic activity upon which the thrust of the drama takes place.

The recurrent stylization in *RP* produces such a multi-leveled dramaturgy. Unlike in *The Soldier's Tale* and other highly stylized works by Stravinsky (*Renard, Les Noces* and even *Oedipus Rex*), the composer of *RP* does not always keep his audience at an arm's-length. Though he sets the opera in a distinctly artificial and distant musical world, at crucial moments, Stravinsky lowers his emotional guard. The characters transcend their stiff allegorical personas and live and breath as "real" human beings. Kerman insists that moral fables are not "made out of people as tragically alive as these."[2] Indeed, most critics share his perplexity at the mixed signals that *RP* sends. The characters are in one scene wooden archetypes (the exotic/comic Baba in II/ii and iii) and in the next fleshed-out persons (the wise and knowing Baba in III/i). The transformation at once undermines our sense of the artificial construction of the drama, and conversely, our trust in our own feelings. Can it be that we really feel for this deluded madman in III/iii after we've been winked at nearly every step of his misguided journey? Are we really meant to admire Baba for her magnanimous gesture to Anne after we thought she was a shrewish freak? To a degree, such ambiguity looms behind any self-referential drama. In *Così*, "truth and deception are confounded and seemingly inseparable."[3] But in *RP*, this ambivalence pervades the entire drama. The appropriation of musical styles and the range of emotions that it elicits becomes not

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[2] Kerman, Opera as Drama, p. 247.

[3] Andrew Steptoe, Mozart-Da Ponte Operas, p. 230.

only the paramount musical/dramatic technique, it colors our response to the drama.

Re-use of the Musical Past Since *The Rake's Progress*

Why was it that the world of quotation and reference . . . exerted such a fascination on the most brilliant spirits of [Stravinsky's] day, and why does that same fascination persist today though the borrowed clothes are new and the masking ideology has lowered its claim?[4]

If the boldfaced re-use of the musical past in *RP* was extreme for its day, it has become commonplace in the forty years since the opera's premiere. Since the 1960's, composers have liberally quoted specific works and styles to widely diverging ends. George Crumb's unaltered quotations of Bach, Schubert and Chopin, heard through the composer's "strange and unworldly soundscape, acquire an amazing aura of distance both cultural and temporal. Surrealist museum exhibits, their mummified beauty seems utterly remote, like a childhood memory of warm, homely security."[5] On the other hand, Mauricio Kagel's radical transformation and distortion of the music of Beethoven (in *Ludwig van*) and Brahms (in *Variationen ohne Fuge*) has a distinctly disrespectful air. Peter Maxwell Davies employs exaggerated parodies of well-known works (particularly Handel's *Messiah* in his *Eight Songs of a Mad King*) and popular music to radically manipulate musical and theatrical distance. He describes his "foxtrot for orchestra," *St. Thomas Wake*, as based on "three levels of musical experience — that of the original sixteenth-

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[4] Pierre Boulez, "Stravinsky: Style or Idea?" in Orientations (Cambridge, MA: Harvard University Press, 1986), p. 356.

[5] Richard Steinetz, 'The Music of George Crumb," Contact 11 (1975), p. 16.

century 'St. Thomas Wake' pavan, . . . the level of the foxtrots derived from this, . . . and the level of my 'real' music."[6] The most extreme examples of manipulating the musical past occurs in postmodern works by Luciano Berio (particularly *Opera* and the third movement of *Sinfonia*) and Henri Pousseur (particularly *Votre Faust*), where the substance of the music and drama is exclusively an interplay of musical (often self-referential) and literary quotations. The third movement of Berio's *Sinfonia* "can be seen as an image of the weight of musical history which a composer may feel to bear down upon him at a time when virtually any music from the past is available to anyone within reach of a gramophone."[7] In such a radical re-use of the musical past, the technique of the music *is* the message.

Analyzing Styles

It may seem unusual that Stravinsky's most neo-classical work anticipates a central technique of postmodernism, a movement which mocks as much as it evokes the tradition it re-uses.[8] To be sure, the artistic and epistemological skepticism associated with this last twentieth-century movement is only hinted at in Stravinsky's music. But in both neo-classical and postmodern music, the past and present are assumed to be alive and vibrant in the aural memory of the

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[6] Peter Maxwell Davies, Programme note for concert at the Queen Elizabeth Hall, London, 9 December 1969; quoted in Paul Griffiths, Modern Music: The Avant Garde Since 1945, (New York: George Braziller, 1981), p. 192.

[7] Griffiths, Modern Music, p. 208.

[8] Glenn Watkins has recently published an extensive study of this very issue. See Pyramids at the Louvre.

listener — coloring, altering, enhancing, diminishing and in every other way affecting his or her response to the new. By re-using the past, composers take advantage of the powerful collective memory of the audience. They deliberately engage it as a aesthetic force, trying to control it, instead of letting it control their music. This phenomenon, which has periodically surfaced during the course of music history, particularly in the Classical era, has been largely ignored by analysts. Traditional music analysis generally calls for a uniform approach to what is presumed to be a unified work. But "it is obvious . . . that the ideal of stylistic consistency, so important in the history of Western art music (even including the first decades after 1945) has given way to a much broader concept."[9] When composers deliberately employ a wide variety of styles, they discard unity in the traditional sense. The objects of analysis cease being relationships between chords or set classes, and become relationships between styles and degrees of allegiance to style. In the introduction to his study of Stravinsky and the postmodernists, Watkins writes:

> I have tried . . . to demonstrate that rather than promoting a disoriented, incoherent jumble of contradictions, collage has exhibited a vigorous capacity to enlighten through juxtaposition, to forgo resolution, to sponsor pluralistic conclusions, and to promote understanding of an order that eludes all edicts.[10]

To address such music, one must embrace as wide a variety of analytical techniques as the music embraces styles. And that is only

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[9] Elliott Schwartz and Daniel Godfrey, Music since 1945: Issues, Materials and Literature (New York: Schirmer Books, 1993), p. 262.

[10] Pyramids at the Louvre, p. 2.

the beginning, for the analyst must be sensitive to a potentially everchanging field, inherently ambiguous and often obtuse.

But the difficulties of analyzing music which uses music and musical style as primary material must not prevent us from engaging in such analysis. Not only would important contemporary works remain neglected and half-understood, but important aspects of traditional works, such as Mozart's operas, would be glossed over in favor of their more unifying aspects. In particular, works by several prominent composers around the turn of the twentieth century — the very era when the grip of tonality was dissolving — have long baffled listeners and analysts because of their so-called eclecticism. Richard's Strauss's *Ariadne auf Naxos*, important works by Alban Berg, and virtually every work by Gustav Mahler and Charles Ives all openly mine a sometimes bewildering variety of music and styles. I hope the multi-faceted analytical approach I have taken to Stravinsky's admittedly tidy play with musical style can also help to unlock the mysteries and delights of these and other works, tonal and post-tonal, classical and neo-classical, modern and postmodern.

The multitude of composers who have re-used the past attests to a marked shift in modern music. For many of these composers, "'originality' in the late twentieth century is virtually an impossible order."[11] The search for new sounds, new harmonies, new rhythms, new textures, new forms, and new systems has engendered a crisis in the late twentieth century. But to a degree, this ever-pressing search has engendered crises in nearly every generation of

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[11] Schwarz and Godfrey, Music since 1945, p. 261.

composers. It inspired in the younger Stravinsky "a sort of terror when, at the moment of setting to work," he found before him an infinitude of possibilities.[12] It caused even Schoenberg to retreat from composing for several years. Not only is Stravinsky's last and longest neo-classical work part of a protracted reaction to this crisis, its allegorical underpinnings embody its conflicting tendencies. The ever-constant Anne symbolizes a faith in tradition that is implicit in Stravinsky's re-use of the past. The libertine Shadow, who teaches "that there is no return," symbolizes the opposing tendency to press forward constantly and never look back. Stravinsky and Auden's stylistic allusions are not only a device for dramatic expression, a technique which Mozart had long ago perfected, but an actual enactment of the drama. The moral opposition that is Stravinsky and Auden's principal contribution in their adaptation of the story of Hogarth's paintings reveals their artistic and aesthetic disposition. Tom's victory by returning in the card game simply clarifies theatrically what has been musically implied all along. One can indeed return — but only under certain conditions. Because Tom's joyful reunion with Anne is denied by his madness, the victor in this moral (and artistic) battle remains ambiguous. Thus, the story of *RP* is not simply a lampooning of blind progress. It also advocates a balance between adventuresomeness and caution, free will and restraint, and progress and return in the personal lives of its central characters. This lesson resonates particularly strongly in the anxious world of twentieth-century music.

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[12] Stravinsky, Poetics of Music, p. 63.

Stravinsky devoted certainly the most, and arguably the best years of his life to re-using the musical past. But the lesson of the tragic demise of his unfortunate rake was not lost on him. If the history of music in the twentieth century has taught us anything, it is this: It is as naive to expect a composer to negate or ignore the deep-seated assumptions of his or her musical heritage as it is to expect the same composer to adopt unquestioningly these conventions. Stravinsky and Auden guide their young hero along both paths before he sadly expires, the first prompted by impetuous desires (i.e. his duplicitous servant Nick), the second by his reactionary escape into timeless myth (i.e. his insanity). The healthy middle course is taken by Anne. As young and naive at the outset of the story as her imprudent lover, Anne learns that, while certain unchangable values (Love) may be able to "conquer hell," people and circumstances can and do change. To attempt to preserve the illusionary Arcadia is as foolish as always running headlong into the future.

After Stravinsky composed that beautiful "swan-like music" for his dying hero, "the most touching music he ever wrote," he, like Anne, wisely and stoically abandoned his lover of 30 years — neo-classicism — and moved on. By his own admission, the "special incubator" in which he composed *RP* instigated the second artistic crisis of his life. In a very real way, Stravinsky is as fixated on the play of musical styles in *RP* as Tom is fixated on Venus. It is no coincidence that both composer and operatic character drape themselves in timeless myth. A hallmark of neo-classicism, myths attract the creative artist because, unlike the various and variable

pursuits of an avant-garde, they never change. But they also never proceed. At some point, the charming and poignant play with stories and stylistic conventions of the past can become a reactionary obsession. Stravinsky "could not continue in the same strain."[13] He never again pursued Greek mythology as subject for a work, and except for fleeting allusions in his *Three Shakespeare Songs. In Memoriam Dylan Thomas* and *Agon*, he never again openly adopted the conventions of the tonal past. Stravinsky may not have been aware of it at the time, but *The Rake's Progress* prompted the continued progress of its creator.

[13] Themes and Episodes, p. 23.

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