THEMATIC TRANSFORMATION AND MOTIVIC UNITY
IN THE SYMPHONY NO. 4 IN F MINOR
BY RALPH VAUGHAN WILLIAMS
By
LAURA JEAN GRAY
B.Mus., The University of Western Ontario, 1987
A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF
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in
THE FACULTY OF GRADUATE STUDIES
(School of Music, Historical Musicology)

We accept this thesis as conforming
to the required standard

THE UNIVERSITY OF BRITISH COLUMBIA
September 1989
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Department of MUSIC

The University of British Columbia

Vancouver, Canada

Date 22 August, 1989
ABSTRACT:

THEMATIC TRANSFORMATION AND MOTIVIC UNITY IN THE
SYMPHONY NO. 4 IN F MINOR BY RALPH VAUGHAN WILLIAMS

Vaughan Williams composed nine symphonies of diverse character and style and each of fine quality. Because of the span of Vaughan Williams's symphonic career over many years (1903-1958) and because of the newly active musical climate in England during his years of symphonic production, these works are of considerable historical as well as analytical interest. There is much literature of differing kinds - analytical, social, historical, and critical - devoted to the works, mainly by leading English writers over the decades. Notwithstanding the bulk and quality of discussion, there is a noticeable lack of extensive analysis of the kind which seeks to elucidate and interpret the manner in which symphonic conflicts central to each of the symphonies is expressed. The lacuna of comprehensive analysis has retarded progress in the understanding not only of Vaughan Williams's symphonic works, but also toward a fuller understanding of developments in the twentieth-century English symphony, in relation to which these works are of such seminal importance.
For this reason, it is the intention of this study to present an isolated examination of Vaughan Williams's Symphony No. 4 in F Minor. The investigation will be divided into two parts, the first, analytical and the second, an historical interpretation of the evidence presented in part I.

The study begins with an expository analysis of the thematic, formal and tonal structures, and harmonic and contrapuntal techniques peculiar to the fourth symphony. The analysis is intended to lay a groundwork for the more particular considerations which follow. The purpose of the second chapter is to bring to light the central issues, features, and conflicts of the symphony: structurally pervasive motivic ideas, thematic transformations and interrelationships, and structurally significant dissonances.

The second part of the thesis includes an investigation of particular influences on the fourth symphony evident from the analysis of part I and through external documentation. Chapter IV, which concludes part II, is subdivided into three parts: 1) a comparison between No. 4 and Vaughan Williams's other symphonies in order to determine its significance within the composer's total symphonic output; 2) a study of Vaughan Williams's participation in English symphonic developments of the twentieth century and the significance of the fourth regarding the musical atmosphere in England at the time; and 3) an examination of Vaughan Williams's general contribution to, and the particular historical place of No. 4 within,
nineteenth- and twentieth-century lines of symphonic development.

The analysis reveals that the Symphony No. 4 has a progressive network of thematic transformations and an underlying pattern of manifestations of the symphony's initial motivic dissonance. The consideration of the fourth symphony's historical importance discloses the role of the work as a catalyst upon Vaughan Williams's symphonic oeuvre toward a more sophisticated approach to harmonic, motivic, thematic and formal structure, the effects of which were witnessed immediately in the Symphony No. 5. The thesis exposes Vaughan Williams's contribution to conservative structural innovation in the twentieth-century symphony and his strongly individual stylistic interpretation of traditional symphonic thought.
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"Unless the Lord builds the house, its builders labor in vain." [Psalm 127:1 (NIV)]

Benedictus Dominus Deus Israel
INTRODUCTION

Ralph Vaughan Williams composed nine symphonies during his long career, which spanned fifty-five years, from the first sketches of A Sea Symphony, begun in 1903, to the final revision of Symphony No. 9 in E minor, completed in 1958, the year of his death (Please refer to the list of Vaughan Williams's symphonies listed on p. 2 below). This body of works illustrates well Vaughan Williams's diverse approaches to compositional problems and considerations and is worthy of detailed study. Much has been written about Vaughan Williams's symphonies, which have received attention from such British writers as Percy Young, A.E.F. Dickinson, Wilfrid Mellers and Hugh Ottaway (see Bibliography for sources concerning Vaughan Williams's music). However, the existing discussion of his symphonies is by no means complete: there remain many interesting musical phenomena which have not been addressed or pursued in analyses of the symphonies. Indeed, none of the essays on Vaughan Williams's symphonic works delves deeply into the intricacies of their structures or into their unique elaborations of fundamental theses. Clearly, there is a need for further and more detailed analyses and interpretations of Vaughan Williams's symphonies, which offer a wealth of analytical and historical interest. For example, upon close examination of his Symphony No. 4 in F Minor (written from
1931 to 1934), relationships and structures (particularly thematic and motivic) reveal themselves which are not discussed in the existing analyses of the symphony. Indeed, upon inspection, the benefits of an isolated study of the fourth symphony are apparent. Furthermore, careful study of Vaughan Williams's Symphony in F Minor raises other questions regarding 1) symphonic ideals in the twentieth century and their relationship to previous symphonic thought; and 2) the establishment of and influences on the English symphonic tradition.

**LIST OF VAUGHAN WILLIAMS'S SYMPHONIES**

<table>
<thead>
<tr>
<th>No.</th>
<th>Title</th>
<th>Date</th>
<th>Premiere</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td><em>A Sea Symphony</em></td>
<td>1903–9</td>
<td>1910</td>
</tr>
<tr>
<td>2.</td>
<td><em>A London Symphony</em></td>
<td>1912–13</td>
<td>1914</td>
</tr>
<tr>
<td>3.</td>
<td><em>A Pastoral Symphony</em></td>
<td>1921</td>
<td>1922</td>
</tr>
<tr>
<td>4.</td>
<td>Symphony in F Minor</td>
<td>1931–4</td>
<td>1935</td>
</tr>
<tr>
<td>5.</td>
<td>Symphony in D Major</td>
<td>1938–43</td>
<td>1943</td>
</tr>
<tr>
<td>6.</td>
<td>Symphony in E Minor</td>
<td>1944–7</td>
<td>1948</td>
</tr>
<tr>
<td>7.</td>
<td><em>Sinfonia Antartica</em></td>
<td>1949–52</td>
<td>1953</td>
</tr>
<tr>
<td>8.</td>
<td>Symphony No. 8 in D Minor</td>
<td>1953–5</td>
<td>1956</td>
</tr>
</tbody>
</table>
It is the intention of this study 1) to provide a comprehensive analysis of Vaughan Williams's fourth symphony, particularly concerning the treatment of and relationships between the thematic and motivic material; 2) to determine specific influences on the fourth symphony; and 3) to evaluate the composer's contribution to the symphonic repertoire of the twentieth century and to the English symphonic tradition, with particular reference to the fourth symphony.

The study is divided into two parts. Part I involves a theoretical analysis of Vaughan Williams's fourth symphony. Chapter I includes a description and illustration of the themes and motives throughout the symphony; a discussion of the formal structure of each movement; and an examination of key structure, tonality, and harmonic and contrapuntal techniques peculiar to this work. Charts and diagrams are added to clarify the discussion. In the second chapter, the discussion considers 1) the distribution and interrelationship of themes and motives; 2) the manifestation of melodic and non-melodic ideas on different structural levels; and 3) the ways in which these features contribute to the coherence of the work.

Part II presents an investigation of influences on the symphony and an evaluation of the historical significance of Vaughan Williams's symphonies, especially the fourth. Chapter III is an investigation of specific, apparent influences (from certain works of other composers) on Vaughan Williams's fourth symphony, especially concerning the concept
and technique of thematic transformation and motivic unity.

In chapter IV the study of Vaughan Williams's fourth symphony concludes with a consideration of its significance regarding 1) the unifying and developmental techniques used in Vaughan Williams's other symphonies, to determine whether the degree of thematic unity and development is a unique thesis of the fourth symphony or a pervasive concern of the composer's style; 2) English symphonic developments; and 3) lines of nineteenth- and twentieth-century symphonic thought. Chapter IV includes a brief investigation of the issues, innovations, and lines of development of the twentieth-century symphony and a concise background of English symphonic developments, insofar as this information exposes Vaughan Williams's participation in twentieth-century symphonic innovations and in the genesis and growth of an English symphonic tradition.

It is intended that this study will foster a better understanding and awareness of Vaughan Williams's fourth symphony, his apparent symphonic ideals and concerns, the development of an English symphonic tradition, and Vaughan Williams's role in symphonic thought and developments in the twentieth century.
CHAPTER I:
AN ANALYSIS OF THE TREATMENT OF STRUCTURAL ELEMENTS
IN THE F MINOR SYMPHONY

In their discussion of the symphonies of Ralph Vaughan Williams, the majority of scholars and writers, where touching on the fourth symphony, seldom extend their investigation to more than a few pages or a short chapter. Consequently, these investigations into Ralph Vaughan Williams's fourth inevitably ignore many of its most interesting musical phenomena - particularly with respect to thematic and motivic interrelationships and transformations, covered here in Chapter II. By way of introduction, this first chapter provides a comprehensive analysis and overview of Vaughan Williams's treatment of the elements of symphonic structure in his fourth symphony, and lays a foundation for the particulars treated in the chapters that follow. The purpose of this chapter is analytical and comprises 1) a description and an illustration of the themes and motives used throughout the symphony, within the context of the formal structure of each movement; 2) an examination of key structure, tonality, and harmony; and 3) a discussion of counterpoint, orchestration, and rhythm.

The following discussion of the structure of each movement will include the following elements: 1) a consideration of the internal proportions of each, by comparing the lengths of
exposition, development and recapitulation; 2) a discussion of themes and motives and of their role in the articulation of formal structure; 3) an examination of the material included in the development sections and the effect of this on the recapitulations; 4) a comparison of the treatment of material in the exposition and recapitulation; and 5) other observations relevant to the particular movement. To facilitate the presentation, charts, summarizing structural, formal and tonal details of each movement, accompany the discussion. The following legend explains the symbols used in the charts:

LEGEND FOR CHARTS I - IV:

Motives: Lower case alphabetical symbols from end of alphabet (e.g., x, z, y, s, r).

Themes: Upper case alphabetical symbols beginning with the letter A and moving forwards (e.g., A, B, C).

Added Subscript numbers: Indicate theme or motive derived from a previous one which is so closely related as not to merit a new alphabetical symbol.

\[\begin{align*}
+ &= \text{former theme still active, addition of new theme} \\
- &= \text{former theme still active, deletion of material} \\
a/c &= \text{synthesis of material} \\
\| &= \text{ascending} \\
\text{blank} &= \text{continuation of previous theme, key, etc.} \\
( ) &= \text{loose connection to indicated material} \\
\text{ext.} &= \text{extension} \\
\text{ost.} &= \text{ostinato} \\
\text{var.} &= \text{variation} \\
\text{devt.} &= \text{development}
\end{align*}\]
<table>
<thead>
<tr>
<th>MM#</th>
<th>Principal Formal Section</th>
<th>Secondary Formal Section</th>
<th>Themes, Motives</th>
<th>Principal Tonic</th>
<th>Local Tonic</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Exposition of Motives</td>
<td>1st Subject 1)</td>
<td>x</td>
<td>f</td>
<td>(c)</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td>Group 11)</td>
<td>z</td>
<td>e/d</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Transition</td>
<td>z/y</td>
<td></td>
<td></td>
<td>chromatic</td>
</tr>
<tr>
<td>14</td>
<td>2nd Subject 111)</td>
<td>y</td>
<td></td>
<td>c^m</td>
<td></td>
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<tr>
<td>20</td>
<td>Development</td>
<td>z (ext.)</td>
<td></td>
<td>f</td>
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</tr>
<tr>
<td>25</td>
<td></td>
<td>z/y (ext.)</td>
<td></td>
<td></td>
<td>chromatic</td>
</tr>
<tr>
<td>32</td>
<td></td>
<td>z + y</td>
<td></td>
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<td></td>
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<td>43</td>
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<td>s</td>
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<td>46</td>
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<td>(iv)</td>
<td></td>
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<tr>
<td>49</td>
<td>Exposition of Themes</td>
<td>1st Subject</td>
<td>A + ost.A</td>
<td>d</td>
<td>d</td>
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<tr>
<td>62</td>
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<td>67</td>
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<td>- ost.A</td>
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<td>81</td>
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<td></td>
<td></td>
<td>f#</td>
<td></td>
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<tr>
<td>85</td>
<td>2nd Subject Group</td>
<td>B + ost.B</td>
<td>D/d</td>
<td>D/d</td>
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<tr>
<td>96</td>
<td></td>
<td>devt B, x</td>
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<td>E^m/e^m</td>
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<tr>
<td>102</td>
<td></td>
<td>x + s</td>
<td></td>
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<tr>
<td>107</td>
<td></td>
<td>ost.B</td>
<td></td>
<td>d</td>
<td></td>
</tr>
<tr>
<td>111</td>
<td></td>
<td>+B</td>
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<td>D/d</td>
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<td>123</td>
<td>Development</td>
<td>x</td>
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</tr>
<tr>
<td>127</td>
<td></td>
<td>ext.↑ z</td>
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<td>chromatic</td>
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<td>145</td>
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<td>scale ↑</td>
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<td>151</td>
<td></td>
<td>z (var.)</td>
<td></td>
<td>g</td>
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<tr>
<td>163</td>
<td></td>
<td>z/y + z</td>
<td></td>
<td></td>
<td>chromatic</td>
</tr>
<tr>
<td>170</td>
<td></td>
<td>+y</td>
<td></td>
<td></td>
<td>(on f)</td>
</tr>
<tr>
<td>180</td>
<td>Recapitulation</td>
<td>Motives</td>
<td>x</td>
<td>f</td>
<td>f</td>
</tr>
<tr>
<td>184</td>
<td></td>
<td>z</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>189</td>
<td></td>
<td>Themes</td>
<td>A</td>
<td>d</td>
<td>d c f#</td>
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<td></td>
<td>(sequence)</td>
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<td>211</td>
<td></td>
<td></td>
<td></td>
<td>f#</td>
<td></td>
</tr>
<tr>
<td>213</td>
<td>Coda</td>
<td>B + x</td>
<td>D^m</td>
<td>D^m/c</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(cf. mm.85-106)</td>
<td>+ ost.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>222</td>
<td></td>
<td></td>
<td>x</td>
<td>d</td>
<td></td>
</tr>
<tr>
<td>228</td>
<td></td>
<td></td>
<td>(s)</td>
<td>D^m/d^m</td>
<td></td>
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<td>234</td>
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<td>237</td>
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</tr>
<tr>
<td>240</td>
<td>End</td>
<td></td>
<td></td>
<td></td>
<td>D^m</td>
</tr>
</tbody>
</table>
First Movement

Notwithstanding certain unconventional structural complexities, the first movement of the fourth symphony is essentially in sonata-allegro form, the proportion of exposition to development to recapitulation being approximately 2:1:1. The method by which its motivic and thematic material is exposed (mm. 1-122) creates an impressive hierarchy of structures and sub-structures. Within the overall exposition (mm.1-122), there emerge two sub-expositions of differing character and function (mm. 1-48 and mm. 49-122). These represent the first and second subject groups of a broader prototypical sonata-allegro exposition. The first group, which exposes the motivic material, is comprised of an opening subject group, a transition leading to the second subject, and developmental treatment of these materials (refer to Chart I). Three motives are initially introduced and are immediately developed and extended, while there is but an allusion to a fourth motive, s (m.46). Opening the movement is motive x (see Ex. 1), with its dissonance of a minor ninth, D<sup>♯</sup>/ C, resolving to an open octave on C. This motive is repeated in counterpoint by the lower instruments (m. 2) and gives a sense of unresolved dissonance. The other three motives (z, y and s) do not appear immediately in their concrete forms but rather as a result of thematic evolution. By means of immediate sequential treatment of motive x in mm. 3-5, a pattern of
intervals is produced, resembling the revered B-A-C-H motive (minor second down, minor third up, minor second down). The sequenced material is contracted in mm. 6-7 to produce motive z (see Ex. 1), resembling a chromatic version of the B-A-C-H motive which is extended through diminution in mm. 8-9.

Ex. 1. Symphony No.4, I/mm.1-7; motives x and z.

A counterpart to this intensely linear figure (a chromatic double-neighbour motion) is motive y, another 4-note cell consisting of two rising perfect fourths followed by a rising minor third. Motive y is, in fact, related to the initial motive x: y surpasses the octave by a semitone (F to G-flat), thereby creating a minor ninth, not only melodically but also harmonically (see Ex. 2). It constitutes the second subject of the motivic exposition and is developed immediately in mm.16-18. As with previous motives, motive y is presented in diminution and is extended by an additional interval of a perfect fourth, this latter version being common for further statements of motive y (see mm. 14-18).
Ex. 2. Movt. I, mm. 14-15; Motive y.

The material between motives z and y, a chromatically rising scalar fragment, is a synthesis of the surrounding motives and serves as a transition between the markedly different gestures of motives x, z, and y: it includes an appoggiatura similar to x at the end of each phrase (in the upper woodwinds); it is syncopated and chromatic like motive z; and ascends like motive y (see mm.8-14).

All the material presented in mm. 1-19 is restated and developed in mm. 20-48 and, as a result of the extension of motive z, motive s is produced in m. 46 (see Ex. 3), another manifestation of the opening semitonal conflict, which has been present in each motive so far.

Ex. 3. Movt. I, m. 46; Motive s.

Elliot Schwartz refers to mm. 1-48 of the first movement as an introduction to the entire symphony, and to m.49 as the beginning of the movement proper.¹ As demonstrated above, the

first 48 bars have, in fact, a double function: they both introduce motives which eventually stand revealed as being significant for the entire symphony and function as the first subject group and motivic exposition of the first movement.

Measure 49 begins the "second exposition," that is, the exposition of themes. Theme A (see Ex. 4), the "first subject", spans the descent of an octave and incorporates two successive descending fifths followed by a four-note concluding segment. Theme A is related to motive x in its initial intervals of a descending second with a descending skip, and is extended into a full melodic theme through sequence and varied repetition (mm. 49-84). The entire melody is accompanied by a rhythmically contrasting ostinato pattern of chords, which alternates between rhythmic cells of five and four quarters, played by brass and woodwinds.

Ex. 4. Movt. I, mm.52-4; Theme A.

The "second subject", theme B, and its accompaniment, an ostinato bass figure, are introduced in m.84 (see Ex. 5). An emphatic, march-like gesture, this theme is generated through a fluctuation of F-sharp and F-natural, which is characteristic of motive s.
Emerging from the development of theme B with its accompanying ostinato are an elemental form of motives and the formation of \( r \). By losing its accompanying function, through a slight alteration of its intervallic pattern, and through rhythmic variation (mm.96-106), the ostinato is transformed into a premature version of \( r \). The latter is presented in its definitive form (that is, for the first movement) in mm. 102-4. A common melodic form of motives emerges as the alternation of major and minor thirds in mm. 100-106 (see Ex. 6), and in mm. 107-21 theme B and its accompanying ostinato are briefly restated and developed.
Ex. 6. Movt. I, mm. 101-6; r and motive s.

The development follows immediately, beginning with a restatement of the opening material (motive x), which is interrupted abruptly in m. 127 by a chromatically ascending sequence formed of motive z presented in the rhythm of motive x, to which chromatic scales and fourths (inspired by motive y) act as a counterpoint. All the material in mm. 127-144 (chromatically descending and ascending scales, fourths and sequences) represents an extension and variation of motive z. Following an accelerated, rising scale, motive z is varied in two ways: i) in m. 151 it is presented in a triplet rhythm and ii) it assimilates the fourths of motive y (m.156ff). The transitional material z/y and motive y join the existing material to usher in the recapitulation with great insistence.

An interesting distribution of thematic material is found in comparing development with recapitulation. The development incorporates only material from the motivic exposition (x, z, z/y, y), whereas the formal recapitulation of the first subject material is greatly reduced from 48 to 9 measures, excluding both motive y and the transitional material z/y. Vaughan Williams wrote in a programme note on the symphony, "there is no complete recapitulation of the first subjects [z, y] but after a few notes suggestive of the opening, the
cantilena passage [theme A] follows immediately, this time in the bass, with a countermelody in the treble. This works up to a fortissimo.\textsuperscript{2} The recapitulation of theme A enters immediately in m. 189 but is condensed to two thirds its original length by the simultaneous statement of its opening phrase (from m.49) in the lower strings and winds and a variant of its later phrase (from m.68) in upper strings and winds. "The music then dies away, and ends with a soft and slow repetition of the D major theme [theme B], this time in D flat [coda]."\textsuperscript{2} The coda (m. 213 ff) comprises theme B, its accompanying ostinato and r as they appeared in mm. 85-106 of the exposition. Now, however, the character of the material is entirely different: muted strings are almost the sole participants; it is much slower (lento); and it has lost its aggressive, driving nature. The ostinato accompaniment emphasizes a C sonority (subordinate to D-flat tonality) and is simplified somewhat to an octave descent from C to G-natural to G-flat and again to C. The material is once again reduced to a fluctuation between major and minor thirds (mm.234-40), as it was in the exposition (mm.104-106).

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Second Movement

Although the formal structure of the second movement displays the general features of sonata-allegro form, the design of this movement is more fluid than that of the other movements owing to the ever-present developmental activity. Indeed, although discrete thematic identities are discernible, the overall impression is that of a continuous evolution of themes from two elemental motives, producing increasing thematic complexity. Indeed, a clear network of thematic transformations is present in the second movement and is explored in more detail in chapter II.

This movement opens with a six-measure fanfare-like introduction based on motive y. A passing note, added to fill in the interval of the minor third, creates an altered form of y, called $y_1$, which emerges as an important motivic element for the movement. The cadential figure played by the flutes in mm.5-6, motive w, which in fact is derived from the opening motive (x) of the first movement, as well as from the embellishment of the retrograde of the tail of $y_1$, represents the other foundational motive of the movement (see Ex.7).
From the cadential figure comes the ostinato accompaniment \( w_1 \), which displays essentially the same intervallic pattern as motive \( w \), and is played by cellos and basses beginning in m.7. Furthermore, an extended melody is built around motive \( w \) (theme C, beginning at m.10) and is imitated at the fourth by the second violin and viola, beginning in m.18 (see Ex.8).

The second theme-group is initiated in m.27 by the oboe playing theme D, which consists of a melodic variant of \( w \) with chromatically fluctuating perfect fourths. Theme D is simplified in m. 38ff, creating \( D_1 \), which has a similar
contour and intervallic pattern to D, but remains rooted on F whereas D veers from A to B-flat. The material in mm. 57-60 ($D_2$) further develops the fourths and the initial eighth-note figure from D, traversing a large-scale retrograde of $y_1$ in the process (see Ex.20, Chapter II). There are also several interesting connections with theme M of the fourth movement (cf. Ex. 9 with Ex. 17, p. 28), namely three melodic patterns, which will be discussed in chapter II.

Ex 9. Movt. II, mm.26-35, mm.38-44, mm.56-61; themes D, $D_1$ and $D_2$. 

\[
\begin{align*}
D & \quad 26 \\
D_1 & \quad 38 \\
D_2 & \quad 56
\end{align*}
\]
After extensive development of theme D, a solo flute presents the exposition's closing theme (E) at m.61 (see Ex. 10). It contains the intervallic profile of the cadential figure w and resembles clearly the ostinato pattern to theme B from the first movement (I, m.84ff).

Ex. 10. Movt. II, mm. 61-2; Theme E.

As in the first movement, the exposition equals half the length of the movement. However, by way of contrast, much less of the movement is devoted to the development proper. Indeed, only the second subject matter (D) and the introductory y₁ material are given to developmental treatment.

The effect of the recapitulation in the second movement is quite striking owing to the early return of the opening material y₁ in m.84 of the development. Despite the elision of development and return of introductory material, the recapitulation proper, at m. 91, is clearly articulated through repetition of the opening material: there are five varied statements of y₁ (compared with two in the opening) and four statements of motive w, which is repeated over an emphasized return of the ostinato material (w₁) played fff by lower winds and tutti strings (from m.92). The return of the first theme is condensed by means of a stretto (an interval
of three bars separates the imitation from its model, as opposed to the eight of the original) and is accompanied by violins playing a descending phrase, resembling r of the first movement (I/mm.102-4). The main subject of development, theme D, is not recapitulated. Rather, the recapitulation is occupied with the remaining material, versions D₁ and D₂ of the exposition, and, after a restatement of the closing theme E, concludes with a short coda (molto tranquillo) consisting of a flute cadenza (s₁) over a statement of motive z played by muted trombones. The three-note cell on which the concluding flute cadenza is built (mm.131-8) is derived from motive s in m. 46 of the first movement. Square brackets in Example 11 identify this cell.

Ex. 11. Movt. II, mm.131-138; concluding flute cadenza (s₁).
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Third Movement

The third movement, a scherzo and trio, has, in its initial section, a recognizable sonata sub-structure: it consists of 148 measures, which divide into exposition, development, and recapitulation. The formal proportions of the entire third movement are approximately 15:7:7. Thus, the first scherzo section constitutes more than half of the entire movement.

This movement makes extensive use of motives z and y, and, additionally, presents three new themes: two contrasting ones in the scherzo (themes F and G) and one in the Trio (theme H). The first subject of the scherzo, theme F (see Ex. 12), which displays a kinship in its first eight notes with motive y of the first movement, is presented initially as a terse four-bar phrase and is extended in its subsequent presentation (m.10ff). This is followed by motive z, which functions as an ostinato accompaniment to theme F.

Ex. 12. Movt. III, m. 1; Theme F.

Unlike the remainder of the scherzo, the second theme, G, is rhythmically regular (see Ex. 13). After building gradually from m. 48, theme G appears in its full form beginning at m. 60. It is characterized by an octave descent
with some directional fluctuations in a siciliano rhythm. As with themes A and B in the first movement, theme G is accompanied by a rhythmically contrasting and irregular ostinato which displays its origins in the characteristic inflection of motive s.

Ex. 13. Movt. III, mm. 60-63; Theme G.

The development section of the scherzo mainly exploits motive z. At the same time it both extends and rhythmically augments a version of motive y. This particular appearance of motive y solidifies and clarifies the relationship between y and the initial eight notes of the opening theme F. There are two statements of motives z and y in the development: m.78 on c and m.85 on A-flat.

Beginning in m.102, the recapitulation of this sonata reduces the transitional ostinato material from eleven to four measures (cf. m. 129ff and m.37ff). The second subject (theme G) is presented immediately in its entirety rather than unfolding gradually as it did in the exposition (cf. mm.133 to 48).

Theme H of the trio, which maintains the siciliano rhythm of theme G through its first half and trails off in a hemiola, is melodically disjunct (see Ex. 14). It comprises a series of ascending and descending perfect fourths and
reveals an affiliation with the first four notes of the opening theme F. The trio (mm. 149-214) is a self-contained fugal section in which the subject is imitated canonically, developed through extensive fragmentation of its pattern of fourths (see m.192ff), and varied with ornamental scalar and eighth-note figures (m. 178ff).

Ex. 14. Movt. III, mm. 149-57; Trio Subject, Theme H.

Following the trio, section A is recapitulated with the same basic key scheme except that the second theme G now stays in the key of B major rather than moving to the key of F minor (see Diagram 1 in the discussion of key structure below). The return of A does not include the entire section with development and recapitulation, but instead offers the themes in their original order and incorporates a ten-measure statement of the trio theme (m.271 ff). Between the third and fourth movements, Vaughan Williams provides a bridge passage, the transitional function of which is created by a gradual increase in intensity and augmentation of thematic material, and by tonal ambiguity. Particularly striking is the manner in which motives x, z and y emerge in the bridge passage, a clear reference and resemblance to the motivic exposition of the first movement. In light of the forthcoming events of the fourth movement, this referential passage gains significance
as a forecast of the final twelve bars of the symphony. The fourth movement follows immediately.

**Fourth Movement**

Movement IV, like the previous three movements, is in sonata-allegro form. Unlike them, however, it incorporates a fugal epilogue and concludes with a twelve-bar capsule that tersely punctuates the entire symphony with material from the opening of the first movement (x, zy, and y; see mm.444-455). The proportions of the main part of the movement (i.e., before the fugal epilogue) are 114:99:95, the most equal distribution of sections in any of the movements of this symphony.

The fourth movement introduces three principal themes (E₁, K, M). Moreover, it also incorporates motive s as a cadential figure (mm.67-76 and mm.302-9) and uses motives z and y extensively in the Epilogue. Although greatly transformed, the first subject (E₁) is derived directly from the flute solo (theme E) at the end of the exposition in the second movement (see Ex. 15). Theme E₁ is developed extensively in diminution as is motive s, which is exploited fully within this section (see mm.56, 118 and 274). Theme K (m.24ff) is derived from the appoggiatura figure of motive x and, in similar fashion to theme G in movement III, it evolves gradually until, in m.39 it realizes its complete form (see Ex. 16).
CHART IV: Movement IV, *Finale con Epilogo Fugato*, Sonata-allegro, F Minor

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<td>s</td>
<td>F/f</td>
<td></td>
</tr>
<tr>
<td>309</td>
<td>Fugal Epilogue</td>
<td></td>
<td>z + y</td>
<td>f</td>
<td></td>
</tr>
<tr>
<td>354</td>
<td></td>
<td></td>
<td>+K</td>
<td></td>
<td>e=</td>
</tr>
<tr>
<td>367</td>
<td></td>
<td></td>
<td>z + M</td>
<td></td>
<td>d</td>
</tr>
<tr>
<td>379</td>
<td></td>
<td></td>
<td>z + M/E_5</td>
<td></td>
<td>D</td>
</tr>
<tr>
<td>411</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>e</td>
</tr>
<tr>
<td>424</td>
<td>Coda of IV</td>
<td></td>
<td>E_5 + z</td>
<td>f</td>
<td></td>
</tr>
<tr>
<td>439</td>
<td></td>
<td></td>
<td>devt E_5</td>
<td></td>
<td>f</td>
</tr>
<tr>
<td>444</td>
<td>Grand Coda</td>
<td></td>
<td>x</td>
<td></td>
<td>f</td>
</tr>
<tr>
<td>448</td>
<td></td>
<td></td>
<td>z/y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>451</td>
<td></td>
<td></td>
<td>y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>455</td>
<td>End</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
The second subject, theme M (m.77ff), which begins with an ascending triadic figure (B♭-D-E-F) and is followed by a descending series of three rising perfect fourths, has a regular rhythmic pattern and is extended by canonic imitation (see Ex. 17). After a thorough development of theme M, the composer presents other material which combines characteristics of themes M and E₁ and acts as a transition to the development, which follows in m.115 (theme M/E₁).
The development consists of two main sections, the first of which states the opening theme (E₁), which is fragmented and repeated many times in diminution. Beginning in m.137, theme K becomes the pattern for a sequential chromatic descent to an F-sharp pedal. The second section of the development, beginning in m.177, recalls poignantly the coda of the first movement (m. 213ff), now restated in the key of D (not D-flat) over a C sonority. Motives z and y follow and are developed through extension, augmentation, diminution and rhythmic alteration over an A-flat pedal. The reappearance and treatment of motives z and y in the development of the fourth movement act as a sure harbinger of the contrapuntal intensity of the fugal epilogue.

The recapitulation is articulated by a statement of the opening material (theme E₁), the third chord of which is held before proceeding to another statement in diminution. The rest of the material (themes K, M, and the development of E₁ preceded by the transitional material M/E₁) follows without delay in the same order in which it was presented in the exposition. Closing the movement proper, and in an ambiguous tonality of F major/minor, is the cadential material from
motive s (mm.302-9).

The fugal epilogue (m.309ff), despite its measure of structural and thematic independence, should not be conceived as an entity separate from the fourth movement. The very presence i) of the opening material (theme E₁), after the fugue's conclusion (m.424); and ii) of themes K and M from the fourth movement (m.354ff), reinforces the epilogue's integral role. This epilogue represents the culmination of the virtually continual developmental and contrapuntal activity throughout the symphony. Motives z and y are recalled from the first movement and combined in the second part of the epilogue with material from the fourth movement (themes K, M, M/E₁). The fugue mainly involves motive z which is augmented, extended through a continuously unfolding and interlocking pattern, fragmented to its first three notes, and inverted in mm. 375-77 and mm.419-21 (see Ex.18). Functioning as a counterpoint to motive z, motive y very recognizably appears in its original form from movement I but is often presented in a triplet rhythm. After a long trill on E, the opening material of the fourth movement (E₁) returns and is combined with motive z in increasing diminution and intensity before culminating in the Grand Coda. These last twelve bars parallel the first bars of the symphony and have the sense of articulating the structure of the symphony as a unified whole.
Ex. 18. Development of Motive z in the Fugal Epilogue.

CONSIDERATIONS OF KEY STRUCTURE, TONALITY, AND HARMONY:

An important consideration of any composition based on sonata principles is the role of key structure in its formal plan. It is important to remember that the key relationships in this symphony and in Ralph Vaughan Williams's other symphonies do not carry the same implications as in their classical prototypes. A tonal centre is often perceived but the clarity of mode characteristic of conventional harmony is obscured somewhat in Vaughan Williams's harmonic practice, generally due to modal thinking and non-traditional root movement. In the fourth symphony, the tonality is not only obscured by these features of his compositional style, but also by the motivic conflict between major and minor tonality, alternately lowered and raised scale degrees, and by the profusion of chromaticism and dissonance. Furthermore, because of the fourth symphony's highly contrapuntal texture and harmonic independence of parts, the perception of key, in the traditional sense, is difficult.
Nevertheless, there is a recognizable and significant key structure in Vaughan Williams's fourth symphony which clearly contributes to the contour of its formal structure (see Diagram 1, next page).

The key scheme in the symphony, evident in Diagram I, reveals the prevalence of major and minor third relationships with the main tonic and an emphasis on the submediant (natural and flat) at different structural levels. The overall key structure of the symphony's movements illustrates this relationship with its emphasis on D and D-flat. The submediant relationship is also evident in the principal internal key structure of the first, third and fourth movements. In the first movement a conflict is established between the natural and flat submediant. D minor is the prevalent key of the second subject group (themes A and B) in the exposition and D-flat major/minor represents the key of the coda, which corresponds thematically to the end of the exposition. The conflict between D and D-flat is heightened by the brief presence of D minor within the D-flat tonal area of the coda (see mm.222-227). The third movement emphasizes the relationship between D minor (its main tonality) and its submediant, B, which is the tonic of the second subject in each of its four presentations and the tonic at the end of the movement. The fourth movement exhibits the submediant relationship in the recapitulation of the main subject (theme M) of the second group: in the exposition, this theme is in B-flat (IV of F) but returns in D (VI of F).
DIAGRAM 1: KEY STRUCTURE OF MOVEMENTS

I
f - D^b

II
f

III
d

IV
f

\[ \begin{align*}
&f d \rightarrow (d) \rightarrow f d D^b \\
&f A \rightarrow (b) \rightarrow f \rightarrow F \\
&f B^b \rightarrow A \rightarrow f D (F/F) \rightarrow f
\end{align*} \]
The second movement does not exploit the submediant key relationship. Because of the use of mixed modes (Lydian/Aeolian, m.10ff) and the frequent chromatic fluctuations in modal melodies (eg., theme D in m.28ff), its key structure is not as easily defined as that of the other movements. However, there is a clear link between F minor and its dominant C: the two fanfares in mm.1-6 establish dominant harmony, and the terminal themes of the exposition are in C major or minor. A comparison of corresponding statements of the exposition and recapitulation of the second subject material reveals a pair of perfect fourth relationships which function like the transposition, in classical sonata prototypes, of material originally stated in the dominant into the tonic (see Diagram 1 above). Although theme D, originally presented in A major (m.27ff), is not recapitulated, and the material in F minor (D↓) returns in B major (an interval of an augmented fourth), a relationship of perfect fourths is reinforced by the E-flat to A-flat and C to F transpositions. The omission of theme D, in what would be D major, is perhaps designed to avoid anticipating strong f/d and B/d key relationships that form the basis of the next movement.

The scheme of secondary key areas in each movement neither directly contributes to the formal structure nor forms any distinct pattern; however, the secondary tonic centres presented help to define the principal tonic for each section, particularly through frequency and emphasis of the
latter. The effect is local, for the sake of colour. Frequent use of sequences and chromaticism, and the frequent brevity of sections in which tonal centres are clear contribute to a sense of tonal ambiguity.

**HARMONY**

It has been mentioned that the contrapuntal texture in Ralph Vaughan Williams's fourth symphony strongly contributes to the work's tonal obscurity. In the same way, the symphony's harmonic patterns are also affected. Earlier, it was observed that the composer's harmony is derived from melody, a characteristic which opposes the Classical idea of melody governed by harmony; and this feature is no less prevalent in his fourth symphony than in his other works. The progression of vertical harmonic relationships is seldom a primary concern in the construction of the composition. To describe the harmony in this symphony by analyzing vertical sonorities would misconstrue the conception of the work's harmonic technique. In general, vertical relationships are subordinate to the contrapuntal motion of harmonically independent voice groups, thus a clear pattern of vertical sonorities throughout the orchestra can seldom be discerned. As a result of the harmonic clash between independent groups, dissonance prevails.

Dissonance is central to the fourth symphony and is often produced by semitonal clashes between two contrapuntal lines. For example, at the opening of the first movement, semitonal dissonance is produced by the displacement of similar material at the unison and octave (see motive x, Ex. 19a). The symphony begins with an appoggiatura on D-flat over C, resolving melodically to C, which is then pitted once more against D-flat in the second measure as a result of the canon. The final cadence of the symphony (IV/ mm.444-5) consists of a clash created by the simultaneous sounding of the F major/minor triad and its lowered supertonic (G-flat and D-flat without the third). This combination engenders the initial and pervasive semitonal dissonance, D♭/C, in its last manifestation, and is finally resolved to F in open fifths (no third) in the last chord (see Ex. 19b).

Ex. 19. a) Opening of Movement I and b) Final Cadence of IV.

a)  

b)
To the extent that there are harmonic relationships in this music, as could undoubtedly be argued convincingly, they are at the level of the measure group or phrase as well as at broader levels, rather than from one chord to the next in the traditional sense. However, an analysis of such relationships, worthwhile as it could prove, is not within the scope of this essay.

CONSIDERATIONS OF COUNTERPOINT, ORCHESTRATION, AND RHYTHM:

Counterpoint:

The fourth symphony, besides the sixth and ninth, is the most contrapuntal of Vaughan Williams's symphonies, and, as observed above, the contrapuntal nature of the symphony has had a marked effect on the tonality and harmony. Indeed, Vaughan Williams's "textures are primarily contrapuntal rather than harmonic [because his] main interest is in melody."

The prevailing texture in the first, third and fourth movements is that of the simultaneous statement of two or three groups of instruments, each group having its own independent material. Although Vaughan Williams restricts himself, as far as the number of voice groups at a given time is concerned, he makes full use of the orchestral forces at his disposal through extensive doubling. Each group plays the same material in unison or at the octave or (rarely) in

4. Schwartz, Symphonies, p. 177.
parallel triadic harmony. The groups consist of varying combinations of instruments: families of instruments (e.g., brass against winds and strings) may be used to distinguish textural elements, or a combination of high-register instruments selected from each family may be used against low-pitched instruments (e.g., flutes, oboes, clarinets, and violins against bassoon, contrabassoon, trombones, tubas, violas, cellos and bass). Although the orchestration is full, the texture remains quite clear because of the low number of streams of heterogeneous material. Common in the symphony is the use of the whole orchestra to play two parts, canonically related at the interval of a unison or an octave, and at the temporal distance of a measure; this texture, as observed above, is a source of much characteristic dissonance in the work, both harmonic and rhythmic.

The opening of the symphony is an example of this kind of writing. There are very few examples of a texture that consists simply of melody and accompaniment. Nevertheless, one example does occur in the section of the first movement which is devoted to theme A (mm.49ff), but this simple texture is soon complicated by the setting of the melody in canon in mm.67-80. The strings (which have the melody throughout this section) are divided by register and displaced by one bar.

The second movement indulges in imitative techniques that differ in kind from that found in the other movements. There is much less use of two-part canon at the unison or octave
(an exception appears in mm.44-47) and less extensive doubling. Common to the second movement are passages of imitation between two or more independent lines (see mm.10-26 and mm.70-79). These passages have a more structural role, due to their formation and expansion through strict canonic techniques, than the passages of canon at the unison or octave found in the other movements, which function more for the purpose of local texture and harmonic complication.

The second subject of the fourth movement, theme M, undergoes canonic imitation as soon as it is presented in m.77. The trio of the third movement displays a more extensive use of imitative technique. It is a self-contained unit featuring fugato and development of a single subject (theme H). Finally, the epilogo fugato (mm.309-464) of the fourth movement is the culmination of the contrapuntal activity in the entire symphony. The fugue is based primarily on motive z which is imitated, extended, inverted, and combined with other thematic elements that function as countersubjects.

The orchestral apparatus that Vaughan Williams chooses for his fourth symphony is conventional both in instrumentation and in size. There is an optional addition of third flute, second oboe, bass clarinet and contrabassoon if these instruments are available. The brass instruments are prominent (especially in presenting motive y), except in the second movement, where the strings and solo woodwinds dominate. In the third movement, full prominence for brass is
reserved until the trio, while the scherzo sections feature interplay between woodwinds and strings.

The fourth symphony features rhythmic irregularity to a degree that prompted one writer to describe it as "vehement irregularity." A significant example is found in the first subject of the third movement (theme F). By the third measure the accent is displaced to the second eighth note of the bar. In more extended statements of theme F, the displacement of accent is more frequent and pronounced (e.g. mm.19-37). The rhythmic irregularity is so prevalent that when rhythmically regular material emerges, the effect is striking. The second subject (theme G) of the third movement (mm.48-71) conforms to the written meter of 6/8 and provides an effective contrast to the displaced rhythm of the first subject. Aside from some use of hemiola at the end of the trio subject (theme H), the rhythm here is very regular. Moreover, both themes G and H of the third movement feature a stylized rhythmic pattern which enhances the contrast with the first subject. Ostinato patterns in the symphony frequently exhibit an inconsistent pulse. Theme A of the first movement is accompanied by a series of chords which produces a pulse of alternating 5 and 4 quarter-note beats in a 3/2 meter (see I, m.49ff). Vaughan Williams chooses conventional written meters for the fourth symphony but invariably the rhythm does not conform.

Rhythmic independence between parts further articulates the heterogeneous nature of the texture. An example of this is found in mm.96-100 of the third movement. Here, three different parts are present but each plays motive z in independent rhythmic guises. The parts played by contrabassoon, trombones, tuba, and lower strings clearly articulate the 6/8 pulse by steady dotted eighth notes. The duple pulse is maintained by the horns and trumpets, although each dotted quarter pulse is subdivided into two eighths rather than three. The upper winds and strings play regular eighth notes but the accent is displaced to every five eighths rather than six.

CONCLUSION:

Vaughan Williams's Symphony No. 4 in F Minor is a work of extraordinary musical cohesion. This is particularly evident in the way the formal, thematic and tonal structures contribute to the perception of the symphony as a unified whole. Chapter II explores the cohesion and sense of progression in the symphony, particularly with respect to thematic and motivic transformations.
CHAPTER II:
A STUDY OF FACTORS CONTRIBUTORY
TO UNITY AND PROGRESSION
IN THE FOURTH SYMPHONY

It has been noted already in the previous chapter that the Symphony No. 4 in F Minor by Ralph Vaughan Williams is the first of his symphonies not to be labelled with an extramusical title, a fact that challenges the listener who may wish to discover a specific programme in the work. The fourth symphony may be described as a successful attempt in the logical development of a limited number of primary materials and musical ideas to create an extended yet highly unified piece of musical literature. The extent to which the chosen material is developed, manipulated and transformed over the course of the symphony, creating the sense of a single-movement work, strongly indicates that ideas of unity and progression must have been an essential concern in the conception of the symphony. This chapter exposes the methods by which the variegated elements in the fourth symphony are moulded into an organically coherent unit. Among other things, the discussion will consider the distribution and interrelationship of themes and motives; the manifestation both of alternating major and minor inflections and of the symphony's opening dissonance on different structural levels; hence the ways in which these features contribute to the coherence and unification of the work.
The musical events that comprise the exposition of the first movement (mm. 1-122) become particularly relevant in light of the entire symphony. They set the course of the symphony through the establishment of thematic points of reference, and harmonic and tonal implications. The exposition represents a virtual microcosm; in it are introduced several conflicts that are addressed throughout the work. In the following discussion the long-range implications of the events in the exposition of movement I will be considered.

THEMES AND MOTIVES AS FACTORS OF UNITY AND PROGRESSION

Although the thematic material of the fourth symphony has already been described and some connections have been drawn between themes and motives in chapter I, it is the purpose of the following discussion to continue further by considering more thoroughly the ways in which thematic and motivic content are used to create a sense of unity, coherence, and growth.¹ The survey will include a consideration of cyclic techniques and of various methods of thematic treatment used by the composer throughout the symphony as well as an illustration and exposition of relationships among the thematic and motivic materials.

There are two ways in which the motives and themes of the fourth symphony participate in the integration of all the

¹ For a convenient guide to thematic material, please consult the "Reference Chart of Themes and Motives" in the Appendix.
movements into a unified whole and contribute to an overall sense of growth and progression: the first method is by restatement through cyclic techniques; the second, thematic association and derivation.

Direct restatement of clearly identifiable material throughout the movements is a very effective way of creating unity and the semblance of a one-movement work. Motives z and y represent perhaps the most obvious means of unifying the symphony. Indeed, Vaughan Williams deliberately constructed the work on these two basic motives, which reappear in different guises throughout the movements. Frequently throughout the symphony motives z and y recur in exact restatement; for example, in mm.5-9 of the third movement, motive z is stated in successive diminution exactly as in its initial presentation in movement I, mm.6-9. Subsequently, this form of motive z is used as an accompanying ostinato to theme F in the first subject group of the third movement. Often, the recurrence of material in later movements involves variation, development and extension of the pattern of the motive established in a previous movement. Unity is provided through restatement yet a sense of motion and growth is created through development. The most significant examples of the development of motives z and y are found in the fugal epilogue of the fourth movement (m.309ff) where, after frequent reference, recurrence, and varied statements of z and y, the culmination of the development of these two motives occurs. This creates the climactic highpoint of intensity in the
entire symphony and contributes definitively to the formation of a one-movement work.

Two instances of clear restatement in the fourth movement have particular relevance to the symphony as a whole. First, within the movement's development section, there appears in m.177 the material from the beginning of the coda of movement I (m.213ff). The sharp difference between the passage quoted from the first movement, which retains its original tranquil character, and the surrounding material clarifies the parenthetical nature of the interruption and gives it the sense of an "oasis". Secondly, the direct reference in the last twelve bars (the Grand Coda) to the opening bars of the symphony is equally striking, creating the sense of a cycle completed. Indeed, after its extensive transformation and development throughout the work, the truncated and segmented presentation of the opening material (x, z/y, y) brings the symphony full circle to its stark origins.

The flow chart on the following page illustrates the complex network of thematic and motivic relationships and derivations in the symphony and may be used as a concise guide for the following discussion. Most relationships represented in the chart consist of greater and lesser degrees of similarity in intervallic pattern. Some thematic relationships suggest basic gestures common to a few different themes, while others involve a more clearly recognizable similarity. The most remarkably pervasive stream of thematic relationships has
to do with a continuing transformation which underlies the thematic structure of the symphony. A family of themes, each with its own identity yet integral to the progressive evolution, spans the length of the symphony. Although it is not represented in the third movement, this series of thematic transformations contributes considerably to the work's continuity and growth.

Diagram 3 documents the transformation which begins with the first theme (A) of movement I in m.49. With the incorporation of motive s, the ostinato of theme B is generated in the bass line directly from theme A. Again, motive s is woven into the pattern of theme B's ostinato to produce r, a premature version of which is presented in m.96 as a result of the disintegration of theme B and its ostinato. Noteworthy is the manner in which the manifestations of the transformed identity in movement I emerge one from the other in succession. The next member of the group, theme E, presents itself in m.61 of the second movement as a synthesis of r and the six-note cadential figure w (mm.5-6). The only difference between the melody of theme E of the second movement and that of the opening theme E* of the fourth movement is the addition of three notes and the deletion of another (see Diagram 3). This is the last in the series of transformations; yet, within the meandering line of the flute cadenza at the end of the second movement (mm.131-38) is contained the elemental building-block of the family of themes, which is initially and most clearly manifested in motive s (C-A-Ab-F). The flute solo
threads a chain formed of three-note cells (consisting of a minor second and minor third in different permutations) in a rhapsodic melodic line. The relationship between the family of themes and the flute cadenza is intensified by the latter's close proximity to a statement of theme E (II/mm.125-130). Diagram 3 reveals clearly the role of motives as the prime catalyst in the transformation of themes and as the origin of the three-note building-block present in each stage of the progressive transformation.

Diagram 3 represents explicitly not only the relationships between the themes and motives, but also the means through which the symphony progresses and grows. The diagram illustrates the dynamic nature of the thematic material. There is a recognizable growth and progression through the systematic transformations of familiar, established material into new material of a different, independent nature, which in turn becomes familiar and the subject of another transformation. Indeed, the transformations are so convincing throughout the work that the newly generated material acquires its own identity and a thematic evolution is perceived, in which the new theme cannot return to the form of its progenitor. Clearly in the symphony there is a sense of a dynamic, evolving thematic structure; of coming from one place or stage of the work and arriving at another.
Diagram 3. Series of Transformed Themes.

<table>
<thead>
<tr>
<th>Trans</th>
<th>Movt</th>
<th>Theme</th>
</tr>
</thead>
<tbody>
<tr>
<td>T₀</td>
<td>I A</td>
<td>D C F A D F G E D</td>
</tr>
<tr>
<td></td>
<td>I S</td>
<td>C A A♭ F</td>
</tr>
<tr>
<td></td>
<td>I ost.B</td>
<td>D C A G♭ [F♯] D</td>
</tr>
<tr>
<td></td>
<td>I S</td>
<td>C A A♭ F</td>
</tr>
<tr>
<td>T₁</td>
<td>I (r)</td>
<td>E♭ D B♭ A G G♭ E♭</td>
</tr>
<tr>
<td></td>
<td>I</td>
<td>E♭ D♭ B♭ A G G♭ E♭</td>
</tr>
<tr>
<td></td>
<td>II</td>
<td>*</td>
</tr>
<tr>
<td>T₁₀</td>
<td>II E</td>
<td>C B A B G F ♯ E C E♭ D C</td>
</tr>
<tr>
<td></td>
<td>[s</td>
<td>(C) A A♭ F</td>
</tr>
<tr>
<td>T₂</td>
<td>IV E₁</td>
<td>F E D C B C B A A♭ F A♭ G F</td>
</tr>
</tbody>
</table>

The brackets in the diagram represent the presence of the three-note building block in the various themes.
* denotes non-adjacent members of the three-note cell within a larger group of notes.
Naturally, intervallic evolution is not the only element involved in the transformation. Each manifestation of the thematic continuity is given an independent identity through a distinct character and function achieved through different musical factors. Theme A, an extended cantilena of irregular rhythm, pitted against a contrasting background of repeated chords, is transformed into the ostinato accompaniment to theme B, a relentlessly persistent bass line in a regular rhythm of quarter notes. From the march-like profile of theme B and its ostinato, r emerges and, after two premature statements (mm. 96-7 and 98-100), is presented in a freer rhythm with slurred articulation (see Diagram 3), interspersed freely with motive s. In the coda of the first movement, r is combined with a greatly subdued theme B and a reduced version of its ostinato.

In the second movement, the first part of theme E is moulded not only by the intervallic profile of theme w but also by its rhythm. However, its relationship to theme A, to r and to the ostinato of theme B is maintained in the semitonal inflection of its second half (F♯-E-E♭-C). The close melodic relationship between themes E and E₁ of Movement IV is not reflected in their remarkably different characters. Although theme E₁ has some similar rhythmic turns, it is presented allegro molto, ff, in 2/2 meter, and each note is marked tenuto. This results in a very assertive theme in a strict rhythm, which contrasts clearly with the free, smooth character of theme E.
There are other streams of thematic relationships present in the symphony and illustrated in Diagram 4 below. A network of thematic transformations and interrelationships clearly forms the thematic structure of movement II. The progression begins with motive w, a cadential figure embellishing the last three notes of motive y_1 in reverse order. Immediately, motive w is transformed through modal and rhythmic alterations into an ostinato pattern, w_1 (m. 7), which accompanies the first extended theme of the movement. Although introducing an ascending Lydian scale and the interval of a diminished fourth, A-D^\#, in its first four notes, theme C embellishes the melodic pattern established in motive w. Theme C carries on the D-flat/C conflict and pivots chromatically around C. The second subject group comprises a series of themes (D, D_1, D_2), which develop previous material. Theme D resembles theme C in its first three notes with the ascent from A to C-sharp (enharmonic D-flat) but proceeds to establish a particular pattern of chromatically fluctuating fourths derived from motive y and to present two successive passages (reminiscent of motive z) which pivot chromatically around D and E. Theme D_1 in turn copies theme D in its initial three notes and in its rhythmic pattern of eighths and dotted quarters. Subsequently, theme D_1 presents the interval of A to D-flat found in theme C, the melodic descent from D-flat to C, and varied statements of motives w and w_1. Theme D_2 incorporates a large-scale retrograde of y_1, the chromatically fluctuating fourths of theme D, and the version of w_1 presented at the end.
Diagram 4: Thematic Transformations in Movement II.

Theme C:

Theme D:

Pivots around D

Theme D1:

Theme D2:

Theme E:

Flute Cadenza (s.1):
of theme D. Theme E follows the overall scalar descent of theme D\textsubscript{2} transposed down a minor second, while incorporating the intervallic profile of motive w in its first half and r (from the first movement) in its second half. The flute cadenza at the end of the second movement (m. 131) is related to themes C, D, and D\textsubscript{1} through a common interval. Throughout the cadenza there appear different permutations and transpositions of a three-note cell (from motive s of the first movement) which outlines a diminished fourth, an interval expressed as A–D\textsuperscript{b} in theme C and D\textsubscript{1} and as A–C\# (enharmonic D\textsuperscript{b}) in theme D. The proximity, concentration, and rapidity of the transformations in the second movement make the thematic relationships all the more apparent, strengthening the movement's structure and sense of growth.

Themes D and D\textsubscript{2} relate not only to themes in the second movement; there are three definite connections with theme M of the fourth movement involving patterns of exact pitch classes (see Ex. 20). In the second and third measures of theme D, there is the outline of a perfect fourth between F-sharp and C-sharp and a minor third between C-sharp and B-flat which corresponds with the G-flat / D-flat / B-flat pattern found in the last bar of theme M (indicated by rounded brackets). The second idea traces B\textsuperscript{b}–D–E–F in the first bar of theme M and the third to fifth bars of theme D (shown by note stems barred together). Theme D\textsubscript{2} presents a pattern of fourths corresponding to the last three bars of theme M (square bracket). The particular connections between themes D and M
illustrate the deliberate thematic logic of the symphony.

Example 20. Connections Between Themes D, D₉, and M.

D II/26-35

D₉ II/56-61

M IV/77-82

The following survey (including examples) of the relationships between thematic and motivic material in the symphony, reveals that the generation of new material is accomplished through six methods.

1. The Utilization of General Features or Gestures of the Primary Source:

A. The most extensive utilization of a basic gesture is the elemental descent of an octave common to themes A, E, E₁, G, and to r and the ostinato to theme B. Notwithstanding the inevitable departures from this basic shape, each of the above
themes concludes an octave below its initial pitch. The octave descent may be traced back to that found in the second measure of motive x at the beginning of the first movement.

B. While not directly derived from motive y, themes D, D₂, H and M incorporate prominently the interval of a perfect fourth. In theme D, the perfect fourth is alternated with a perfect fourth a semitone lower; the trio theme H includes a series of rising perfect fourths followed by a descending series; and in themes D₂ and M the perfect fourth is incorporated in a descending sequence. Each of these themes, while unique, is nevertheless related through a common interval.

2. Total and/or Partial Synthesis of Two or More Source Materials:

Diagram 3 above illustrates best the manner in which Ralph Vaughan Williams combines two identities which are made to yield a new, third one. As shown earlier, a series of themes and motives is produced from the successive combinations of subjects: theme A + motive s = the ostinato to B; ostinato B + motive s = r; r + w = theme E; theme E + motive s = theme E₁.
3. A **Secondary Product of the Development of Previous Material**:

A prime example of the production of secondary material from the development of previous material is found in the opening bars of the first movement. Motive z is generated by the sequential treatment of motive x, combining two sets of descending minor seconds a minor second apart (see Ex. 21). Although derived from motive x, the individual identity of motive z is solidified through its repetition in successive diminution in mm.8-12.

Ex. 21. The Generation of Motive z.

![Ex. 21. The Generation of Motive z.](image)

Similarly, motive s is a secondary product of the development of motive z (see Ex. 22). A minor third rather than a minor second is introduced in m.28 and motive s is established fully in m.46 with the introduction of another minor third. Just as motive z is a secondary product and a concrete and highly recognizable form of motive x, so motive s is a solidified manifestation of motive z.
Ex. 22. The Generation of Motive s.

4. The Expansion of a Melodic Pattern (Frequently Motivic) into a Full Theme or Extended Melody:

Three specific examples that demonstrate the method of generating themes through the expansion of existing material are: i) the spinning of theme C in the second movement around motive w, which is initially presented as a cadential figure in mm.5-6; ii) the production of a full fifteen-measure melody, theme B in the first movement (mm.85-99), from the modal inflection of motive s; and iii) the unfolding of a twenty-four measure theme, K (IV, mm.24-45), by extending the three-note motive x through repetition and sequence.

5. The Transformation of a Theme or Motive, the Product of which is Independent, yet Retains the Essential Identity of the Original:

A. As witnessed above, by adding three notes, deleting one, and changing the rhythmic pattern of theme E (the phrase for solo flute, II, mm.61-63), the opening theme E1 of the fourth movement is created. It retains the intervallic identity of
theme E, yet has an entirely different character. This is but one example from the family of transformed themes discussed above.

B. Motive y is transformed at the beginning of the second movement (mm.1-6) by the addition of a passing note (C) and by the incorporation of the initial dissonance of the first movement (D-flat against C harmony), altering the function and character of the motive.

C. A very clear transformation occurs in the second movement when motive w, the cadential figure in m.6, immediately becomes an ostinato pattern, w, in m.7ff, retaining (except for only slight incongruities) the intervallic pattern of motive w.

6. Combinations of 1 - 5:

Theme D, while incorporating the basic gesture of a perfect fourth from motive y (see 1. above), begins with an eighth-note pattern similar to theme C and can therefore be recognized as a limited synthesis incorporating general features of both precursors. Similarly, the chromatic transitional material between motives z and y in mm.10-14 of the first movement is a synthesis of the fundamental gestures of the surrounding motives: it incorporates an appoggiatura like x, is syncopated and chromatic like z and ascends like y.
The element of alternating major and minor inflections is the most structurally pervasive motive throughout the course of the symphony and is significant not only to the sense of unity, but also to the prevalent feature of modal ambiguity and to the overall key structure of the work. While it can be argued that major/minor inflections are not uncommon in Vaughan Williams's style (through the absorption of Elizabethan techniques of cross relation), this feature is so sufficiently pervasive in the work that it can be considered motivic. A characteristic device, it helps to solidify the structure and logic of the symphony in that it permeates three discrete structural levels that come to represent the three categories into which the ensuing discussion will be divided. The first part will comprise an examination of purely melodic inflections ( ♯ / † ; ‡ / § ) which neither ultimately nor significantly alter the key; the second involves a conflict between major and minor inflections within one key, especially those conflicts that result from a juxtaposition of major and minor vertical sonorities (e.g., false relations) and cause a very deliberate ambiguity between major and minor mode; the third consideration deals with a broad, structurally significant conflict involving two keys, D and D-flat.

Melodic inflection is an important component in much of the thematic and motivic material found in the symphony and, since
it is an easily identified characteristic, it integrates the movements and contributes to a sense of unity throughout the work. The first movement introduces the inflection in motive s (C-A-A\textsuperscript{#}-F) in m.46 which, as discussed above, is a secondary product of motive z. The other appearances of the purely melodic inflection in movement I are found in the F\#-F of theme B (m.85ff) and of its ostinato (m.216ff). Similarly in the second movement, the melodic inflection is incorporated in theme D as the semitonal fluctuation of perfect fourths (mm.28-29) and in theme E through the appearance of both E-natural and E-flat (mm.61-63). The third movement does not present this kind of inflection in a purely melodic form; but the fourth movement acts as a culmination of the presence of melodic semitonal fluctuation through extensive development and diminution of the opening theme, which incorporates the melodic inflection between A and A-flat (mm. 55-67, mm.115-134, m.273ff, and m.441ff).

The first extended alternation of vertical sonorities which are semitonally inflected appears in mm.101-106 of the first movement where the chords of E-flat major and E-flat minor are juxtaposed. From m. 234 to the end of the first movement there is ambiguity between D-flat major and minor produced by the antiphonal alternation of woodwinds, playing D-flat minor chords, and strings, playing D-flat major chords. Furthermore, the effect of modal ambiguity is increased by the use of cross relations between the voices of each antiphonal choir. Similarly, before the epilogue of the fourth movement (mm.302-
9), half the orchestra plays parallel A major and F major chords followed by the other half playing parallel A-flat major and F major chords, thereby producing an overall ambiguity between F major and F minor, which is not resolved before the epilogue. Modal ambiguity is prominent in the third movement, especially between B major and minor (see III, m.40ff, m.133ff, and mm.280-284). The similarity between passages of modal inflection makes this device recognizable as a factor of unification in the symphony.

There is evidence of a conflict between D and D-flat at the level of primary key structure of movements (see Diagram 5): movement I ends in D-flat major; D minor is the main tonal centre for the third movement; while F minor is the prime tonality of the second and fourth movements. The conflict between D and D-flat is successfully established within the first movement by the relationship between the tonality of D at the end of the exposition (mm.84-122), with a six-measure interpolation in E-flat, and the recapitulation of the same material transposed down a semitone to D-flat / D / D-flat. The tension between the keys of the corresponding material in the exposition and coda of the first movement is not resolved until its interpolation in the development of the fourth movement (mm.177-188) where it appears once again in D. This resolution is reinforced by the lack of D-flat for the balance
Diagram 5.

The Structural Significance of the D-flat / D Conflict:

\[
\begin{array}{cccc}
I & II & III & IV \\
\hline
f - D^\flat & f & d & f \\
\hline
f & d & f & D^\flat \\
\hline
D-E^\flat-D & D^\flat-D-D^\flat & C \rightarrow D \\
\hline
84-122 & 213-40 & 177-88 & 309ff
\end{array}
\]

\[\text{a tonally ambiguous passage, due to chromaticism, which}\]
\[\text{concludes on D/C.}\]
of the symphony and by the role of D major as the main key of the second part of the fugal epilogue. The key scheme of the coda of movement I (D♭ - D - D♭) represents a reversal and microcosm of the key scheme of the three statements of this material over the entire symphony (D - D♭ - D). The conflict between D-flat and D is the most profoundly structural manifestation of an alternately inflected scale degree in the symphony.

**D-FLAT / C DISSONANCE**

Although D may have the "last word" as the submediant key, the importance of D-flat is evident from its initial and subsequent presentations as an essential dissonance. D-flat contributes significantly to the progression and dynamic sense of the symphony on structural and immediate levels. The very opening gesture, motive x, becomes significant in unifying the symphony, not simply as a generative motive upon which other motives and themes are founded, but on the basis of the dissonance created by its exact pitch classes, D-flat / C. The dissonance of D-flat against C functions as a recurring element which unites movements I and II (see Diagram 6). Through the manifestation of this dissonance on three different structural levels (i.e., melodic, harmonic, and tonal), a direct relationship is established between movements I and II: the initial statement in the first three measures of both the first and second movements incorporates a prominent accented dissonance of D-flat against C expressing dominant
harmony. Because of the lack of any satisfactory resolution of the opening dissonance within either movements I or II, a dramatic conflict is created which provides both movements with a sense of progression.

The opening dissonance of the first movement, which takes on the motivic identity labelled x, is restated several times at other pitch levels. However, the most significant manifestation of the D♭/C conflict within this movement is in the coda (m.213 ff) which incorporates the conflict on a tonal level in two ways: by presenting material in D-flat over an ostinato on C (i.e., two simultaneous tonal centres); and by concluding the movement in D-flat major, the initial note of dissonance. Consequently, movement I achieves no resolution with respect to the D-flat / C conflict. Indeed, the conflict becomes structurally more profound because what was initially a melodic and harmonic dissonance has not only become the ultimate key of the movement, but also an essential member of the symphony's primary key structure. The sheer diatonicism at the end of the movement, compared with the vagueness of key and harmonic instability of the opening, lends more power to the victory of D-flat over C, and, in the large scheme, deepens the tension of the opening motivic dissonance.
Diagram 6. The D-flat / C Conflict:

I
1-3

II
1-6

II

III

IV

Diagram 6. The D-flat / C Conflict:
The final tonality of the first movement gives way, in the opening bars of the second movement, to a harmonic manifestation of the $D^b/C$ dissonance. This serves to link the first two movements both tonally and harmonically. The fanfare on motive $y_1$ sets up the dissonance and the other foundational motive $w$ attempts to resolve it. In this way, the role of the second movement is established as essentially an extension and development of movement I, particularly in the exploitation of the initial dissonance as a melodic device (see Diagram 6). In fact, almost every theme and motive of the second movement features conflict between D-flat and C ($y_1, w, w_1, C, D_1$, and $D_2$). The opening suspension on D-flat in movement II is prolonged through the pattern of ostinato $w$, which ends on D-flat ($F E^b D^b E^b C D^b$). D-flat, surrounded by C on either side, is the prime dissonance and climax of the first phrase of theme C and theme $D_1$. Theme $D_2$ essentially outlines a descent from D-flat to C. In mm.39-47 D-flat to C is treated as a dissonant melodic motive which is emphasized through development. A clear melodic reference is made in m. 46 to the opening motive of the first movement ($D^b-C-F$), while mm.56-7 display a similar melodic reference ($D^b-C-G$) over a prevailing C tonality. A final statement of the D-flat / C semitonal conflict, the pronounced D-flat suspension in m. 91, ushers in the recapitulation.

It is not until the fourth movement that the D-flat / C dissonance is at all resolved (see Diagram 6). The material from the coda of the first movement, originally stated in D-
flat over C with a six-bar episode in D, is presented as an interpolation in the development of the fourth movement (IV, mm.177-188), where it is given entirely in the tonality of D over the same four-note ostinato on C. Because this passage also represents a resolution of the D-flat / D conflict, the final statement in the fourth movement in D over C solidifies a bond between the D-flat/C and D-flat/D conflicts.

The bond between the two conflicts reveals a deeper motivic significance. D-flat, being pitted against C and D, becomes a pivotal point between C and D, each a semitone away. In this way a symmetrical structure is established around D-flat. In fact, this particular symmetrical relationship (D♭-C / D-D♭) is manifested in the most basic motive of the symphony, motive z (e.g., D^C-D-D♭). Vaughan Williams has transformed the essential structural dissonance of the symphony into the most highly recognizable motivic dissonance. Thus, all the structural levels of the symphony are linked from the most immediate to the most profound.

AN OVERVIEW OF THE SYMPHONY

In summary, it has been established 1) that the exposition of Movement I presents the themes and motives from which the material for the entire symphony originates (motives x, z, y, s, r and theme A) and, what is more, that the process of transformation begins here; 2) that the second movement proceeds from two foundational motives - y, and w - the former
a transformation of motive \( y \), the latter a cadential figure, arising from the tail of \( y_1 \) and the establishment of the prime dissonance \( D^b/C \) (motive \( x \)); and 3) that the second movement intensifies, extends and explores further the ideas and materials presented in the first movement, especially the conflict involving the pitches \( D^b \) and \( C \). Although the third movement of the symphony adds to the contrapuntal progression and to the primary key structure, while prominently featuring motive \( z \) as an ostinato accompaniment figure, it does not participate in the most important conflicts and ideas of the symphony. Its themes are related only generally to motive \( y \) through the melodic motion in fourths, but the extended thematic transformations prevalent in the other three movements are not represented. Nor is the initial dissonance of \( D^\flat \) against \( C \) explored here in any way. In fact, the third movement, a scherzo by nature and title, represents a digression and diversion in the course of the symphony. Only in the bridge passage, with the gradual restoration of the material of the opening bars of the first movement, are the main conflicts and intensity of the symphony resumed and subsequently pursued in the final movement. Indeed, a strong relationship between the first and last movements is built in many ways: through theme \( E_1 \); the reminiscence of a passage from the coda of the first movement in the development of the fourth; the lengthy passage devoted to motives \( s \) and \( y \) in the development; the extensive reiteration of motive \( s \) throughout the exposition of the fourth movement; the fugal epilogue
based on motive z; and the Grand Coda in the last twelve bars of the symphony.

On close inspection, each movement reveals certain independent qualities. The first is expository by nature: it concerns itself primarily with the revelation and establishment of material for the symphony; it ends in a different key from that in which it began; and it constructs an impressive and complex hierarchy of expositions within its own form. The second movement is inherently exploratory: it busies itself with the development and extension of ideas and material presented in the first movement and links itself harmonically with the ultimate key of the previous movement. Diversion seems to be the main purpose of the third movement for the reasons given above. With its return to previous material and concerns of the first two movements, the fourth movement reveals its recapitulatory nature, while the epilogue represents a culmination of the intense developmental activity of the entire work.

Taking the symphony as a whole, a broad pattern emerges in which the first movement represents exposition, the second development, the third diversion or digression, the fourth return, and the epilogue, a coda to the entire work. The very character and events of each movement function not so much to fulfill the expectations of a multi-movement work; rather, they operate together and relate in such a way to suggest the different facets and concerns of a single-movement composition.
CONCLUSION:

In light of the foregoing discussion, it is evident that Vaughan Williams's Symphony No. 4 in F Minor achieves tight musical unity by virtue of various networks of continuities throughout its duration and throughout its hierarchy of structural levels. Indeed, the fourth symphony is developed organically from the implications of only a small number of musical ideas and motives and is a model of the intensity that is capable of being produced via a process of this kind.

This concludes Part I with its detailed analysis of the fourth symphony. In the following chapters, the historical significance of the symphony, apparent influences on the work, and its relationship to streams of symphonic thought in the nineteenth and twentieth centuries will be investigated.
CHAPTER III:
AN INVESTIGATION OF INFLUENCES
ON THE FOURTH SYMPHONY

With the premiere of the fourth symphony on 10 April, 1935, the public (and Vaughan Williams's enthusiasts in particular) immediately recognized a surprising departure from the style of the composer's previous three symphonies and from his works in general. From the results of the analysis in chapters I and II, several issues have emerged as being specific and deliberate theses of the work. It is these central issues which differentiate the fourth from the first three symphonies and from most of Vaughan Williams's previous works.

What caused the dramatic change in Vaughan Williams's style in the fourth symphony and what evidence points to the change? In the present chapter, these questions will be addressed in the light of 1) certain seminal works in Vaughan Williams's output, 2) specific works by other composers, and 3) traditions and innovations in symphonic thought of the nineteenth and twentieth centuries. It is the intention here to investigate and to reveal specific influences on Vaughan Williams's conception and realization of the fourth symphony; to discern those features which follow traditional symphonic practice and those which are innovative; and to determine the composer's conception of the essential features and characteristics of a symphony, according to an interpretation of the evidence in the fourth symphony and the observations of other authors.
The Influence of Beethoven and the Nineteenth-Century Symphony:

It is evident that the nine symphonies by Beethoven presented a challenge to the symphonic developments not only of the nineteenth century, but to the design and essential conception of the "symphony" in the twentieth century. In spite of the many significant musical and symphonic developments of the nineteenth century and the numerous styles of musical expression in the twentieth, symphonists of the first half of the twentieth century were considering ideas of progression, dualism, sonata conflict and form in the non-programmatic symphony similar to those faced by Beethoven in his day. In his symphonies Vaughan Williams paid tribute to the tradition perpetuated by Beethoven and his successors. This observation is of particular interest in the light of Vaughan Williams's recorded opinion of Beethoven. In "A Musical Autobiography" written by the composer late in life, he writes that when he was a young student he hated Beethoven. "To this day the Beethoven idiom repels me, but I hope I have at last learnt to see the greatness that lies behind the idiom that I dislike. . ."¹ In addition, Vaughan Williams was known to express disdain for the Victorian "Beethovenites". Regardless of Vaughan Williams's dislike for Beethoven's style, the fourth symphony, more than any other in Vaughan Williams's symphonic output, reveals general associations with

the Beethovenian and late nineteenth-century symphonic pattern, and specific ties with Beethoven's fifth and ninth symphonies.

While the relationship to Beethoven is arguable, there are obvious parallels between the fourth symphony and nineteenth-century prototypes. The fourth is a lengthy, large-scale work of late nineteenth-century proportions, scope, size and orchestral forces, in the traditional four-movement scheme: 1) allegro, 2) a slow movement, followed by 3) a scherzo (and trio), and 4) a finale in a quick tempo. Similarly, following late nineteenth-century practice, the outer movements carry the weightiest matters. Moreover, the last movement is further enlarged by the incorporation of a fugal epilogue, a feature of symphonic writing most extensively employed and developed by Vaughan Williams. Within the movements, Vaughan Williams observes the traditional formal sonata designs with some flexibility.

**Vaughan Williams's Symphony No. 4 and Beethoven's Fifth:**

Several authors have drawn general and specific connections between the fifth symphony of Beethoven and Vaughan Williams's fourth.² The general shape of the work at the broad level of movement scheme, including the bridge passage which links the last two movements, closely resembles that of Beethoven's

---

fifth. Each work is unified (at least in part) by a brief, four-note motive which is itself divided into two components (See Ex. 23). Furthermore, the third movement of Beethoven's Symphony No. 5 and the scherzo of Vaughan Williams's symphony are noticeably similar in character. The upward arpeggiated sweep which opens both scherzos, in conjunction with Michael Kennedy's description of the Scherzo of Vaughan Williams's symphony as featuring the "brusque, noisy jests" characteristic of a Beethoven scherzo, clarifies the relationship between the movements.

Ex. 23. 4-Note Motives:

a) Beethoven, No. 5:

```
\begin{music}
\StaffOffset = 5
\score {
\newStaff \with {\ StaffSpace = 9 \NoteSpace = 12} {
   \key g \major 
   \time 4/4
   \mbox{
   \firstline \boxed{m3}\quad m3
   \secondline \boxed{m3}\quad m3}
   \mbox{
   \thirdline \boxed{m3}\quad m3
   \fourthline \boxed{m3}\quad m3}
}\StaffOffset = 5
\end{music}
```

b) Vaughan Williams, No. 4.

```
\begin{music}
\StaffOffset = 5
\score {
\newStaff \with {\ StaffSpace = 9 \NoteSpace = 12} {
   \key g \major 
   \time 4/4
   \mbox{
   \firstline \boxed{m2}\quad m2
   \secondline \boxed{m2}\quad m2}
   \StaffOffset = 5
\end{music}
```

Ex. 24. Trio Themes:

a) Beethoven, No. 5;

```
\begin{music}
\StaffOffset = 5
\score {
\newStaff \with {\ StaffSpace = 9 \NoteSpace = 12} {
   \key g \major 
   \time 4/4
   \mbox{
   \firstline \boxed{m2}\quad m2
   \secondline \boxed{m2}\quad m2}
   \StaffOffset = 5
\end{music}
```

b) Vaughan Williams, No. 4.

```
\begin{music}
\StaffOffset = 5
\score {
\newStaff \with {\ StaffSpace = 9 \NoteSpace = 12} {
   \key g \major 
   \time 4/4
   \mbox{
   \firstline \boxed{m2}\quad m2
   \secondline \boxed{m2}\quad m2}
   \StaffOffset = 5
\end{music}
```

More significant and clearer relationships can be found by comparing the trio of each scherzo and the bridge passages to the final movements in each of the symphonies. Both trios are fugal with similar subjects (cf. ex. 24a. Beethoven No. 5, III, m. 140ff with ex. 24b. Vaughan Williams No. 4, III, m. 149ff), each consisting of two parts and ending in a similar disjunct quarter-note pattern. The inter-movemental bridge passages are even more strikingly similar. Each begins ppp with a sustained note and an ostinato rhythmic pattern played by the timpani; previous material is gradually added, reformed and reduced over the ostinato sempre ppp. Only several bars before the final movement, there appears a crescendo with rapidly articulated material. This grandly ushers in the finale in each case, the two finales incidently, being similar in rhythm and character. Indeed, the similarities are so striking that there is a strong possibility that Beethoven's Symphony No. 5 was a model, in general design and in certain details, for the fourth symphony.

Dissonance in Vaughan Williams's Fourth and Beethoven's Ninth:

The composer is reported to have said that he deliberately "cribbed" the opening from the finale of Beethoven's Choral Symphony. Like many other comments made by Vaughan Williams, this one must be understood in the light of his humour; however, there is some truth in it, and his comment points the way to certain factors which played a role in shaping the fourth symphony. Indeed, not least among the surprises at the
premiere of the fourth symphony was the extreme dissonance of
the work, a feature which is perhaps the most immediately
noticeable "modern" element. What could have influenced
Vaughan Williams to create such a dissonant work? From the
very opening of the symphony, a semitonal dissonance is heard
in the discord of D-flat against C and persists, in various
guises, as one of the main theses of the symphony.

The opening of No. 4 is not taken directly from the fourth
movement of Beethoven's ninth symphony, but there are some
points of contact. The first chord of the movement by
Beethoven (A F D B-flat) features a discord between B-flat and
A, which resolves directly to A. Similarly, Vaughan Williams's
symphony begins with an appoggiatura on D-flat over C,
resolving melodically to C, only to be pitted once more
against D-flat in the second measure. In general, the two
movements proceed in a similar fashion with a prolongation of
the initial dissonance.

Essentially, both Vaughan Williams's fourth symphony and
the final movement of Beethoven's ninth grow out of an opening
dissonance prolonged through the evasion of resolution. The
similarity is particularly interesting in the light of Vaughan
Williams's comment about "cribbing" the opening. However, the
comparison serves to illustrate the functional differences
between the two works and peculiar qualities of Vaughan
Williams's fourth symphony. From the opening of the fourth, it
is evident that the composer was most immediately concerned
with the germination and subsequent transformation of a
motive: that is, the melodic growth is most important in Vaughan Williams's scheme and occurs at a very quick pace. In the referenced passage of Beethoven's ninth symphony, it is evident that, after the initial dissonance, the harmonic scheme dominates the events and the pace. Also significant is the position of the compared passages in each work: the dissonance occurs at the outset and is carried thematically throughout Vaughan Williams's symphony; however, the discord is found in the instrumental introduction of the choral fourth movement of Beethoven's work and does not demonstrate the same degree of motivic significance. At all events, Vaughan Williams's comment regarding the genesis of the opening of the symphony reveals some significant features of the work, simultaneously pointing to the motivic dissonance of the symphony and to its traditional roots.

Beethoven's ninth cannot have been the only influence on the harmonic style of the symphony. Although the general attitude of the English audience toward continental developments was one of resistance in the early part of this century, Vaughan Williams could not have been isolated from innovations, as his studies with Max Bruch and Maurice Ravel indicate. Vaughan Williams openly expressed his tremendous dislike of the second Viennese school and of the attempts of young English composers to write music with the aim to impress the audience. However, he was not closed to legitimate and stimulating musical developments, as the fourth symphony reveals.
A common understanding of the harmonic and tonal changes of the twentieth century is that of the "emancipation of the dissonance". Indeed, the treatment and understanding of dissonance was a highly debated issue in the early decades of the twentieth century. No doubt, the fourth symphony is, to a degree, an essay on Vaughan Williams's thoughts on the matter of dissonance, the ways in which it can be created and powerfully exploited based on a traditional perception of consonance and dissonance.

The Fourth as a Reaction to Criticism of the "Pastoral":

In 1934, the year prior to the first performance of Vaughan Williams's fourth symphony, Constant Lambert's book, *Music Ho! A Study of Music in Decline* was published containing a rather negative but commonly held judgment of Vaughan Williams's "Pastoral Symphony" (see pp. 134-7). Lambert recognized the logical evolution of the form of the symphony from the material and the implications of the melody as the work's strongest feature, but also as its strongest restriction of appeal. He felt that the classical symphonic form was limited by the local colour and provinciality of the material. According to Lambert, Vaughan Williams rarely subjected his material to the kind of rigorous developmental treatment characteristic of Brahms, and his third symphony lacked the contrast and sense of progression essential to symphonic writing. He wrote, "the Pastoral Symphony not only raises the problem of how far it is wise for an artist to detach himself
from cosmopolitan tradition in order to reach individual and national expression: it also represents in acute fashion the clash between local colour and classical construction which is the main drawback to nationalism in music. "* Wilfrid Mellers also commented on the incongruity in the "Pastoral" between Vaughan Williams's modality and symphonic "drama": "... Vaughan Williams seemed to be relinquishing the attempt to reconcile incompatibles; for even though one may recognize groups of themes which can be equated with the conventional first and second subjects, there is no hint of sonata conflict."* However, Mellers does recognize the work's "symphonic scope".

The criticisms of No. 3 by Lambert and Mellers were not isolated judgments of the symphony but a common sentiment regarding much of Vaughan Williams's output to that point. The comments are particularly significant in the light of the subsequent fourth symphony, which seems to be a reaction against most judgments of the "Pastoral". Firstly, the fourth has been described as a more "cosmopolitan" symphony. * This characteristic is evident in the choice of material, most of it far removed from folksong, a feature which seemed uncharacteristic of Vaughan Williams at the time. Secondly,


contrast is very clearly embodied in the symphony by motives z and y, which represent very evident counterparts throughout the symphony. A sense of progression, so essential to symphonic form, is achieved through the systematic transformation of themes and through the ongoing and rigorous development of material which culminates in the fugal epilogue. Although unconventional in respect to "sonata conflict", the fourth does fulfill this apparently symphonic criterion through the initial proclamation and subsequent exploration, on various structural levels, of the semitonal conflict throughout the symphony.

It is evident that the fourth is an essay in a very different kind of symphonic thought from the "Pastoral", for the central issues of No. 4 (classical form, thematic transformation and progression, the terse, non-lyrical character of the main motives, the dissonance, and the expression of an essential conflict throughout the different structural levels) seem to be the very things that his critics felt were missing in the "Pastoral Symphony". The vast and essential differences between the two symphonies is likely due, in part, to the criticism received by the "Pastoral". However, Vaughan Williams's compositional activities between the third and fourth symphonies played a very significant role in determining the form and content of the fourth.
The Influence of Vaughan Williams's Interim Works:

Evidently, Vaughan Williams took the opportunity to develop his harmonic and melodic vocabulary, in addition to symphonic structure, between the composition of the third and fourth symphonies. Nine years elapsed between the premiere of the Pastoral Symphony in January of 1922 and the first sketches of No. 4 in 1931, a time in which Vaughan Williams produced some of his most important works and some which shaped his subsequent musical style: Sancta civitas (1923-5); a violin concerto (1924-5) and a piano concerto (1926-31); Flos campi (1925); Job (1927-30); and three operas - Hugh the Drover (1924), Sir John in Love (1924-8) and Riders to the Sea (1925-32). Naturally, the compositional developments of this period had an affect on the composition of his fourth symphony. Few authors have failed to observe the significance of Job (a masque for dancing first performed on 5 July, 1931 in London) as a turning point in the composer's harmonic practice, for present in this work are Vaughan Williams's familiar consonance (in the music for Job and his family) and an unprecedented angularity, dissonance and cacophony in the music depicting Satan. Indeed, a consideration of Job is revealing in a discussion of the fourth symphony, particularly with regard to motivic content and dissonance.
Ex. 25. Comparison between Motives in Job and Symphony No. 4.

a) Motive z

b) Motive y

In Job two motives are clearly associated with the character of Satan: 1) a terse, sharply articulated, four-note figure presented by woodwinds, celli and bass (see Ex. 25a) at the first appearance of Satan (Doppio più lento before rehearsal letter E in the score); and 2) a rising sequence of fourths (Ex. 25b) played by lower brass and bassoon as Satan approaches the throne of God (four bars after rehearsal letter H). One writer has drawn attention to the similarity between Ex. 25b and motive y of the fourth symphony, considering the progression of fourths (both perfect and diminished) as Vaughan Williams's symbolism for evil. Whether or not this connection can be made on the basis of one work is unimportant; however, the similarity between the two motives is significant. Equally striking is the resemblance between


the intervallic profile and character of two other motives—Ex. 25a (especially two bars after T in the score of Job) and motive z of the symphony. The motivic relationship between the works goes further than pitch content. The manner of presentation and the character of the motives are similar. Both Ex. 25b and motive y are presented (at least originally) by the lower brass and bassoon. The relationship between Ex. 25a and motive z depends not on instrumentation but on similarity of articulation: each is accented on every note, is repeated immediately, and subjected to some rhythmic diminution. None of the four motives in question has a stable harmonic character; rather, each serves to obscure the harmony by their internal intervallic relationships.

Another, more general point of contact existing between the two works is found in comparing the Scherzo of the symphony with "Satan's Dance of Triumph" in Scene II of Job. Each is rather sardonic in humour, and is characterized by a quick pace, rather short, abrupt and sharply articulated themes, metric irregularity, harmonic dissonance, and extremely terse and insistent ostinati.

Although the music representing the devil very clearly relates to the fourth symphony on the level of dissonance and represents an important stage in Vaughan Williams's harmonic development leading up to the symphony, the surprise of the first performance was in no way diminished thereby, and few people at the time drew a connection between the two works. This is understandable due to the different circumstances and
expectations connected with each work. In *Job* the dissonance was contained in specific sections of the work and, being associated with a certain character, was accepted in the context of the drama. In the symphony no such dramatic context exists (except for the unsubstantiated programmes provided by some critics at the time) and the dissonance is not confined but, in fact, permeates the entire work. A dramatic work such as *Job* allows a range of musical expression and experimentation on a small scale; however, the dissonance is intensified in the symphony by virtue of its length and scope, its concern with purely musical subjects, and by its divergence from the pattern of general consonance and of programmatic associations established in the composer's first three symphonies.

Another of Vaughan Williams's inter-war works, the Piano Concerto, illustrates the differences between No. 4 and the previous symphonies, and represents an important stage in the composer's harmonic and contrapuntal style. The Concerto, in its original form for one piano, was first performed February 1, 1933 by Harriet Cohen and the BBC Symphony Orchestra. The audience was struck by the aggressive nature of the concerto, mainly due to the percussive treatment of the piano and the chromaticism. It is the chromaticism of the final movement and its driving fugue ("Fuga Chromatica con Finale alla Tedesca") which most forecast the fourth symphony, especially the epilogo fugato of the latter work's finale. Not only are the fugue subjects of each work chromatic, but each is developed
in a similar manner through fragmentation and inversion after the main statement of the subject (see Ex. 26). In fact, the opening of the concerto's fugue bears a resemblance to motives of the fourth symphony, especially in its succession of minor seconds and minor thirds. The piano concerto, particularly its chromatic fugue, was certainly experimental ground for the fourth symphony, which was begun soon after the completion of the third movement of the concerto and premiered just two years after the 1933 performance of the latter.

Ex. 26. Fugue Subjects and Development:

a) Concerto for Piano, Movement III:

![Fugue Subject A](image)

b) Symphony No. 4: Fugal Epilogue:

![Fugue Subject B](image)
Vaughan Williams was likely influenced by the criticism received by the first three symphonies, the "Pastoral" in particular, and ready for a change in his well-known style, taking the years after the premiere of the third to determine and develop the changes he would make in his compositional practice. The fourth symphony ultimately represented a culmination of his musical activities of the 1920s and early 1930s. However, there remained certain artistic values and compositional concerns which would always manifest themselves, regardless of any stylistic changes in Vaughan Williams's music.

For example, although the F minor symphony has neither the aspect nor the programmatic implications of a "nationalist" symphony, and though its themes and motives are, for the most part, far removed in character and style from folk song, the long-term effects of Vaughan Williams's early research into folk music are evident in the fourth symphony as well as most of his other works. The influence is not of a specific style of material or idiom but of a deep and abiding concern with and focus on the thematic and motivic material of the symphony and the way in which it contributes to the work's structure, progression and unity. The very structural issues of the fourth are motivic and thematic, sometimes manifested as, or transformed into, harmonic or tonal issues, but always stemming from a particular motive, especially motives x and z of the opening. In his research into folk material and in his essays about musical composition, Vaughan Williams's concern
always rested on the "raw material" as he called it, the themes and motives that the composer had at his disposal. Naturally, thematic and motivic materials are a primary means of construction in most works. Traditionally (by the Classical symphonic standard) the principal interest or conflict in the sonata ideal (a principle extensively used to form the fourth symphony) has been essentially tonal; however, for Vaughan Williams, the primary interest is specifically thematic and motivic. Harmonic and tonal schemes play a subordinate role to the thematic scheme in the overall plan of the symphony. The composer's intense concern with thematic issues and structure in the fourth symphony is an indirect result of his involvement with English folk music, an activity which not only contributed to the formation of his melodic style in general but also directed his attention to the material as the most important component of construction in most of his symphonies, and most acutely in the fourth.

Vaughan Williams was not the only nationalist composer whose interest in the indigenous music of his country contributed to the formation of his ideas of symphonic writing. Sibelius was a nationalist composer and was intensely interested in the folk music of his own country. In addition, he was a symphonist and seemed to have shared similar concerns in symphonic construction with Vaughan Williams. Frank Howes sums up the significance of the network of thematic relationships of the fourth symphony very well in his book on Vaughan Williams's works: "... these cross references are no
mere mechanical contrivances for unity; . . . they are rather an explicit assertion of the inner connexion which subsists between all the thematic material of the symphony." This statement is remarkably similar to a comment made by Sibelius in a conversation with Mahler about what interested him in symphonic form: "the profound logic that created an inner connection between all the motives." The two statements point to an interesting similarity between Vaughan Williams's and Sibelius's symphonic concerns and ideals (at least as far as the evidence in the fourth symphony indicates).

It cannot be proven that Sibelius was a direct influence on Vaughan Williams; nevertheless, it is evident that the two composers knew and admired each other: they met at least once (apparently with mutual admiration) at a party in London in 1921; Vaughan Williams's fifth symphony was dedicated to Sibelius; and Vaughan Williams gave Karsh, the photographer, a score of his sixth symphony to give to Sibelius, who responded with a favourable letter. As nationalists, they shared modal tendencies, an affinity for tonal schemes based on thirds and an admiration for the polyphony of English Tudor composers.

However, more direct connections can be drawn, at least in principle if not so much in method, between Vaughan Williams's


11. Ibid., p. 188.
fourth and Sibelius's modal sixth symphony. According to Pike's analysis of the latter, the themes of Sibelius's symphony evolve gradually from the vague material of the opening bars of the work where the subsequent clearly defined themes are presented in a premature, amorphous state.\footnote{12} Similarly, it has been demonstrated the way in which the themes of Vaughan Williams's symphony ultimately relate to the opening bars and how motives z and s are stated not at the outset but are formed through the development of motive x of the opening bar. Also characteristic of the fourth is the logical transformation of themes one from another. In his discussion of the themes in Sibelius's symphony, Pike stresses that the themes grow from the first few bars of the symphony and that "the growth is a logical one, each motif being a clear development of some feature of a previous one."\footnote{13}

It must be understood that these symphonies certainly are not unique in their principles of thematic unity and growth. Nevertheless, it is interesting that two contemporary nationalist composers of different countries would demonstrate such kindred concerns with thematic issues of symphonic construction.

\footnote{12}{Pike, \textit{Profound Logic}, p. 18.}
\footnote{13}{Ibid., p. 20.}
Conclusion:

From the evidence of the foregoing discussion of the influence on Vaughan Williams's fourth symphony, it can be concluded 1) that the symphony was designed in the Beethovenian and later nineteenth-century traditional scheme of four movements, with the outer movements carrying the most weight, and that the work may have been loosely modelled on the fifth symphony of Beethoven; 2) that the dissonance of the fourth, superficially reminiscent of the beginning of the finale of Beethoven's "Choral" symphony, is an integral element of the symphony to the point of its incorporation throughout the work on different structural levels; 3) that the criticism given to the first three symphonies (particularly the "Pastoral") probably influenced the marked changes of style in the fourth; 4) that the symphony marked the culmination of the new stylistic and harmonic developments found in Job and other interim works; and 5) that the high degree of coherence and logic in the symphony by virtue of its thematic growth, development, and transformations is congruent with contemporaneous and nineteenth-century ideals in symphonic writing, especially those of Sibelius.

Chapter IV will continue the discussion with a consideration of the historical significance of Vaughan Williams's Symphony No.4 within his own symphonic output, within English symphonic developments, and the ways in which his symphonic oeuvre has contributed to twentieth-century symphonic thought.
CHAPTER IV:
AN INVESTIGATION OF THE HISTORICAL SIGNIFICANCE
OF VAUGHAN WILLIAMS'S FOURTH SYMPHONY

Each work of art, while being influenced and formed by various factors and ideals, also assumes an historical position among a broader body of works, within which its significance is determined. The Symphony in F Minor of Ralph Vaughan Williams is no exception, and in fact, due to its peculiar qualities, it is particularly relevant when considering the composer's total output. Furthermore, the symphony raises a number of questions regarding directions of symphonic development in the twentieth century, in England and elsewhere.

Chapter IV will be divided into three parts, each investigating the importance of the fourth symphony within a particular context. First, it is the intention to discover the significance of Vaughan Williams's fourth symphony in the context of his complete output, but more specifically among his symphonic works. Secondly, the present chapter incorporates a concise consideration of the English symphony in the twentieth century and in the final decades of the nineteenth century; for it is important to understand the milieu in which Vaughan Williams worked in order to appreciate more fully the historical place of his symphonies, specifically the fourth. Also presented is a brief investigation of symphonic developments of the twentieth century insofar as they relate to and help define the place of Vaughan Williams's symphonies, and
his fourth in particular, in the symphonic repertoire of this century.

The fourth symphony, having been completed in 1934 in the middle of Vaughan Williams's symphonic career, represents a turning point in Vaughan Williams's symphonic output and takes its place as the first of the middle group of symphonies. In addition, it was the first non-programmatic symphony, although some associated the work with the rise of Fascism in Europe at the time. The first three symphonies - "A Sea Symphony", "A London Symphony", and "A Pastoral Symphony" - are grouped together because of their programmatic nature and because of their nationalistic content, both musical and spiritual: they document the three geographical elements of English life (the sea, the city, and the countryside) and their melodic content reveals a folk-music inspiration. Moreover, the prevailing consonant style of the first three symphonies differentiates them from the subsequent fourth. In the light of the close relationship between the first three symphonies, the fourth stands out in sharp contrast. What, in fact, constituted the difference with the F minor symphony?

At the time of its premiere, it was evident that the symphony had a new, unfamiliar character: it was harsh and severe in sound and in its methods of construction. Its "new" sound was primarily due to the degree of its dissonance, which so permeates the work and which was uncharacteristic of Vaughan Williams's previous symphonies and most of his works to that point. The fourth symphony had a new complexity of thematic
structure and harmonic practice, which was to affect his later output, and an intellectuality of construction not found in his earlier symphonies. Hugh Ottaway observes, "the fourth symphony . . . achieves a structural power that is intellectually and emotionally challenging in a way quite new to Vaughan Williams's music."¹ The "structural power" to which Ottaway refers is a result, no doubt, of the intensity and pervasiveness of the counterpoint and to the remarkable network of motivic and thematic transformations (discussed in chapter II).

The fourth is thought by some to be the first true symphony by Vaughan Williams; that is, the first three symphonies are not considered to be essentially symphonic. Constant Lambert criticized the "Pastoral" for the conflict between its materials and symphonic form (see chapter III). Similarly, Christopher Ballantine considers the "Pastoral" to be rhapsodic and owing its climaxes not to sonata conflict; whereas, in his judgment, the "Sea Symphony" belongs more to the tradition of the oratorio than to the symphonic tradition, and that the symphonic forms of the "London Symphony" only serve to arrange the folk themes.²

Indeed, the fourth symphony is considered a turning point due to its very strict and disciplined symphonic thought,


largely in comparison with the three previous symphonies discussed above. Vaughan Williams's attention turned from folk music materials and external matters of English society and poetic content to purely musical matters of unique interpretations of traditional symphonic conflict and structure: in fact, motivic possibilities on different structural levels, an exploration of dissonance and its implications, and the manipulation of thematic material appear to be the composer's main concern in No. 4.

In the fourth symphony, in its first and last movements in particular, is found the most compelling and convincing use of sonata principles in Vaughan Williams's symphonies. Ottaway notes the strong dynamic structure which emerges from the contrast between motives z and y and the long melodic line of theme A. Furthermore, both contrast and an underlying connection are discovered between motives z and y, an ingenious interpretation of the "Anlage" of classical sonata ideals. In the finale, Ottaway notes that the sonata plan is purposefully modified and the movement's centre of gravity is shifted to the fugal epilogue through the interpolation in the development of a passage from the coda of the first movement (IV, mm. 177-188).

The fourth employs unique methods of unification. It is the only symphony in the composer's output which so clearly and deliberately isolates specific material, here two short

motives, treating them cyclically throughout the movements of the symphony to bind the work together. In addition, the symphony is unique in the formation of its thematic material. None of the other symphonies is so systematic in its thematic transformations and interrelationships. The economy in the generation of thematic material in the fourth, whereby all of the many themes and motives are derived both directly and indirectly from only a few essential motives, is unique among Vaughan Williams's symphonic output. In the other symphonies, especially the "Pastoral", the thematic relationships are a matter more of kinship between the basic characters of their materials. Indeed, after all the criticism of the previous symphonies' not following truly symphonic and sonata principles, Vaughan Williams proved that he could write an intensely symphonic work, which fulfilled traditional expectations of the sonata ideal and which treated intellectual matters of structure, conflict, unity, and progression.

Paradoxically, in spite of its "new" character, the Symphony No. 4 is, formally, the most traditional of Vaughan Williams's symphonic output. As far as scheme and types of movements, instrumentation, and magnitude of the work are concerned, the fourth is undoubtedly the most strictly traditional, as the comparison with Beethoven's fifth in chapter III demonstrates (See pp. 72-74). Indeed, some of Vaughan Williams's most "progressive" works are at the same time the most traditional in some respects. The very dissonance of the fourth, the feature which gave the work its modern, "up-to-date" character,
would not be effective were it not for its treatment based on a traditional foundation of harmonic thought and perception. That is, the work is not merely filled with dissonance, but composed of it, exploiting the traditional conception of consonance and dissonance on all levels in order to create tension throughout.

Significantly, it is in Vaughan Williams's non-programmatic works, such as the fourth, that he is most apt to express himself in the more dissonant and harsh style. In the May 1935 review of the fourth symphony in the *Musical Times*, William McNaught noted that the preference by some of Vaughan Williams's "progressive" admirers for the composer's non-programmatic music was evident earlier in the reaction to the piano concerto (premiered in February, 1933), the first of the composer's works to acquire a reputation for its progressive tendencies. The concerto's percussive nature, chromaticism, and the intensity of its contrapuntal technique won the acclaim of the progressive among Vaughan Williams's admirers and the hisses of the more traditional. McNaught wrote, "according to [the modernists], the Piano Concerto was a work worthy of [Vaughan Williams's] mind and muscle and a proof that he was getting down to business." McNaught further defines the division between the representative styles of his programmatic and non-programmatic works: "In the Symphony [No. 4], as in the Concerto, Vaughan Williams is more uncompromising and unrelenting in his modernisms . . . than he has usually been in
his programme music."

The generally restricted character of Vaughan Williams's programmatic works undoubtedly relates to the nature of the chosen inspirational material, usually a passage of literature or poetry. It follows that those works not bound by an extra-musical theme were free to take on a more diverse range of expression, often of a more complex, harsh nature.

There is definitely a connection between the absence of a programme and the presence of a more dissonant, aggressive style in Vaughan Williams's music. The Piano Concerto and the fourth symphony are not the only works of Vaughan Williams to exemplify this connection: the sixth and ninth symphonies share the more complex, dissonant style and neither carries a programme. Indeed, their kinship with No. 4 is evident for several reasons: 1) the fourth, sixth, and ninth symphonies share a sophistication of structure, no doubt due to the fact that they are the most contrapuntal of the symphonies, a feature which sets them apart as a group; 2) each is in a minor key (the fourth being in F minor, the sixth and ninth in E minor); 3) the exploitation of dissonance is greater than in the other symphonies; 4) none of the three symphonies is programmatic in any way; and 5) they share a similar pervasive melodic inflection, juxtaposing the major and minor third over a common root. Thus the fourth symphony belongs to a group of three symphonies with similar character, which share similar

structural concerns. The trend is clear in Vaughan Williams's non-programmatic works, such as the fourth, sixth, and ninth symphonies, and the Piano Concerto, towards more sophisticated structure and harshness of character generally not found in the programmatic works. In the light of this observation, the fourth is significant as the introduction into his symphonic repertoire of a purely musical inspiration, a new complexity of form, and of a new level of dissonance.

**Vaughan Williams's Role in the English Symphonic Renaissance:**

In his assessment of Vaughan Williams's significance, Percy Young writes "[Vaughan Williams's] place in musical history depends . . . on his place in British music." At all events, any investigation of Vaughan Williams's historical significance should begin with a consideration of his place in British musical history. It is true that the English musical environment and tradition contributed in shaping Vaughan Williams's musical style; however, he in turn made a substantial contribution to English music of the twentieth century and nowhere is this more apparent than in the symphony.

In the introduction to his study of Vaughan Williams's symphonies, Hugh Ottaway asserts, "the English symphony is almost entirely a twentieth-century creation." Indeed, as

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Ottaway claims, Elgar's first symphony (1908) was the earliest symphony by an English composer in the permanent repertory (it was performed almost one hundred times in just over one year). Furthermore, it is true that the English have enjoyed a long tradition of the oratorio, which, until the beginning of the twentieth century, had remained the most important and popular indigenous musical genre. In the first decade of the twentieth century, however, after the valiant attempt of Parry, Stanford and other Victorians to establish a standard of symphonic writing in England independent of the German tradition, and with the success of Elgar's two symphonies at home and abroad, the English symphony became one of the most important genres in the country's far-reaching musical renaissance, and gained popularity and acceptance. Indeed, the English were finally convinced that their composers could write symphonies.

There were several factors which made the first half of the twentieth century ideal for the composition of symphonies in England. First, there was the establishment of several good orchestras (such as the London Symphony Orchestra) and of regular concert series (the Promenades, for example) in the first decade of the century, and the founding of the BBC orchestra in 1930 and the London Philharmonic in 1932. In addition, orchestras were to be found in many smaller communities outside the major centres. Second, the 1920s ushered in the public radio (the BBC) and the gramophone. Another inter-war development which contributed to public awareness and interest in symphonic music was the advancement
Throughout Vaughan Williams's symphonic career, which began in 1903 with the first sketches of the "Sea Symphony" and ended in April, 1958 with the premiere of his ninth symphony, England was experiencing a remarkable growth in the number of orchestras, of opportunities for good performances by professional musicians, in the number of symphonies written by many English composers, and in public appetite for indigenous symphonic works. Truly, the first half of the twentieth century was an exciting time in the history of the English symphony.

Almost all of Vaughan Williams's contemporaries were involved in the composition of symphonies. Bax, who wrote seven symphonies, and Havergal Brian with thirty-two symphonies, as well as Walton, Rubbra, Randle, Jacob, Berkeley, Benjamin, Searle, and Alwyn, were among those who contributed to the English symphonic repertoire of the first half of the century. Nevertheless, Vaughan Williams's nine symphonies may be considered one of the best and most significant bodies of symphonic works (beside those of Elgar and Walton) due to the sheer number of works added to the repertoire, the long period of time over which they were written (about fifty-five years), and the diversity and quality of the symphonies. In fact, it has been claimed that, with his output of symphonic works, Vaughan Williams played a significant role in establishing the

English symphony as a central form in the musical revival of this century.  

His first three symphonies were well received by the English public, despite some criticism of their structural methods. With the premiere of Vaughan Williams's fourth symphony, however, there was something recognizably different and new with respect to his general output, his symphonic output, and to the English symphony to date. The fourth symphony is probably the most historically significant of his symphonies due to the fact that it was considered a "modern" symphony by the English critics and public at the time. The ever-traditional Vaughan Williams had seemingly abandoned his traditional style. Indeed, after listening to a rehearsal of the work, Vaughan Williams is said to have remarked, "If this is modern music, I don't like it." This humorous comment, as with so many others by the composer inspired by commonly held opinions of his music, reflects to what extent the symphony was considered progressive. Why, indeed, was the symphony perceived as new and modern? An interpretation of contemporaneous reviews of the fourth, in conjunction with an understanding of the taste and artistic temperament of the British concert-goer at the time, will shed light on this question and on the consideration of Vaughan Williams's place, and the place of his


fourth symphony, in the history of the British symphony.

As far as the English audience was concerned, the fourth symphony did indeed represent a modern work; not in comparison perhaps with many of the developments on the continent, but in its experience with English symphonic works up to that time (1935). It was truly Vaughan Williams's most stimulating symphony, perhaps his most stimulating work, as far as his public was concerned.

The fourth symphony was, generally, well received by the critics, few of whom failed to notice its modern elements. Eric Blom reported in the Birmingham Post: "His latest work is as harshly and grimly uncompromising in its clashing, dissonant polyphony as anything the youngest adventurer would dare to fling down on music paper. That the symphony is a tremendously strong, convincing and wonderfully devised work cannot be questioned." From Blom's remarks, we may infer that the dissonance, and particularly its connection with the polyphony of the work, was the feature which most impressed the informed English public at the time of its premiere.

Henry Colles, who was at the premiere on 10 April, 1935, ran a very favourable review in The Times the following day. The critic very astutely observed the new elements embodied in the symphony, particularly the opening bars: "Its opening indeed may sound almost shockingly sophisticated to those who have

thought of the 'Pastoral' as typical of Vaughan Williams." In addition, Colles noted the clear germination of new material from the opening motive and that the folk-inspired idiom of Vaughan Williams's previous works was missing: "What the hearer cannot miss is that the symphony begins with excited harmonic gestures from which presently a great variety of tunes emerge, few of which suggest either the tonality or rhythm of English folk-song." However, Colles did not perceive the significance and prominence of the two motives z and y as building blocks of the symphony. "... [motives z and y] are just canti firmi; the listener need not note them, perhaps would not, if it were not for the composer's programme note." The preceding observation is particularly enlightening regarding the extent to which the sophisticated methods of unification were audible on a first encounter with the work. Probably the most significant remark by Colles is his calling into question the newness of the symphony's character. He asks, "but is [sic] its daring and its gaiety really new, or does it hark back to something which Vaughan Williams left on one side with the works of the pre-War [World War I] days, an old impulse newly revised?" To a degree, Colles's question cannot be answered (perhaps he expected no answer). Nevertheless, it is an indication of the recognition that the fourth was not without forerunners. Indeed, the representative style of the fourth symphony had already been

11. Henry Cope Colles, "Vaughan Williams's New Symphony" The Times 36 no. 47 (Thursday, 11 April, 1935): 12. All the subsequent quotations by Colles are taken from this article and page.
observed at least in isolated passages of *Job* and in the first and particularly the last movement of the Piano Concerto (see Chapter III).

William McNaught also recognized the modernity of the symphony in his review the following month and summed up its quality in a word: "It is masterly," he wrote. In addition, he qualifies the modernism: "... the modernism is never of the darksome, fourth-dimensional, understand-me-if-you-can order. It is daylight modernism, done with a clear brain and a sure hand." In his description of Vaughan Williams's modernisms, McNaught was probably making a comparison with the musical developments on the continent, reflecting a common sentiment among Englishmen regarding the avant-garde movement in Germany and France.

Looking in retrospect at the fourth symphony in relation to its time and environment and with the wealth of historical experience this retrospect brings, it may be puzzling the degree to which the fourth symphony was considered modern.

The English had acquired a certain reputation for resistance to artistic innovations, which ultimately had an affect on their musical development. This artistic aversion was a symptom of a broader resistance to the threat from the continent to the British established order, a struggle which manifested itself to some degree in the First World War between German "Kultur"

and the British tradition and legacy.\textsuperscript{13} Due to the opposition to artistic developments in the early part of the century, the English lagged behind somewhat in the arts and consequently became conscious of the difference. Indeed, shocking works of art had been coming from the continent already for a couple of decades, with Stravinsky and the "ballets russes" of Diaghilev, and with the new discoveries of the second Viennese school, among others. The English public had witnessed and experienced the changes, and by the 1930s, the English audience was changing its attitude toward the new and the unconventional in the musical arts. The previous resistance, the awakened consciousness and the growing acceptance of new developments had an affect on the English conception of what was "modern", which was different from that of the continent.

In consideration of the changes in the English temperament and the coincidental developments in Vaughan Williams's style, it is no wonder that Vaughan Williams's enthusiasts were divided into two camps: one admired his traditional, pastoral-like mode of expression; the other, his "new" style, represented by the F minor symphony. The second group, the "modernists" as they were called, were particularly pleased with the fourth symphony due to its harmonic "modernisms", especially the dominance and treatment of its dissonance and Vaughan Williams's seeming divergence from his accustomed

harmonic style.

In the eyes of the English, No. 4 was a modern work; but in the broader context of European and even American musical developments, it was not a particularly progressive or modern composition. However, the symphony itself and the favourable responses it received for its "modernisms" reflected the change in the English artistic milieu from one of conservatism to one which would begin and continue to embrace innovations.

In addition to the effects of the English artistic resistance, there were established expectations on the part of the English public regarding Vaughan Williams's symphonic style, which affected the perception at the time of the fourth symphony's historical significance. The composer, in the eyes of the audience, had established a pattern with his first three symphonies. When the audience gathered to witness the premiere of the fourth symphony, they had certain ideas of a "typical Vaughan Williams symphony". To their surprise (for some pleasant, for others unpleasant), their expectations were not met by the fourth. Therefore, in contrast to their preconceived ideas, the fourth symphony appeared "modern".

Vaughan Williams's Fourth and the Twentieth-Century Symphony:

It has been demonstrated so far how Vaughan Williams was a leader and played an important part in fostering the composition of symphonies in England by the number, variety, and quality of his symphonic works. Nevertheless, his symphonies have a relevant historical place outside England.
In the twentieth century, the symphony, in whatever form it takes, has still been considered a test of a composer's ability. With the legacy of Beethoven's nine symphonies, Schubert declared, "What more can be done?" Many musicians, for example, Debussy and Wagner, believed that Beethoven's Ninth was the last symphony and everything which followed was merely imitative and repetitive. Symphonic developments of the nineteenth century were, largely, a response to Schubert's question and to the challenge of Beethoven's symphonies. Subsequently, symphonists of the twentieth century have experienced the problem of how to expand on established symphonic thought, especially those composers with a firm traditional background. Indeed, an understanding of the symphony in the twentieth century distinguishes between an attempt to preserve and develop the symphonic tradition of the nineteenth century, and a strong reaction against this tradition, resulting ultimately in a great diversity of compositions found under the title "symphony." Josef Häusler, in his survey of the symphony in the twentieth century, makes these observations: 1) that there is a great diversity of symphonic concepts (p. 287) due to the variety of stylistic tendencies; 2) that the symphonic form has been pursued mainly by the older generation of composers in this century (p. 286) among whom 3) traditional symphonic form and tonality have not

been discarded (p. 280); 4) that symphonic activity is least common in circles where aleatoric music is composed (p. 286); 5) that there is generally one common feature among most twentieth-century symphonies, "an intact concept of motive and theme" (p. 286); and 6) that the traditional essence of the symphony is the sonata form or sonata principles (p. 288).

With all the stylistic and aesthetic changes of the twentieth century, symphonists have been challenged to define and redefine their conception of the symphony. As a result, it is possible to isolate four streams of symphonic developments in the early part of this century: 1) Some symphonists have maintained the traditional understanding and form of the symphony with few alterations; 2) for others, the meaning of the term has broadened to encompass almost anything; 3) some avant-garde composers (e.g., Milhaud) wrote so-called symphonies which deliberately went against all symphonic standards; and 4) others, after having considered the stylistic and aesthetic diversity of the twentieth century, have discovered an essentially symphonic quality, expressed in many different ways, that has been preserved since the birth of the classical symphony.

Christopher Ballantine has observed the last of these tendencies in his book *Twentieth Century Symphony*, where he concludes that the symphony is and always has been about "musical dualism". He writes, "... the symphony ... first came to life as the large-scale incarnation and exploration of musical dualism [italics mine], and developed as such in its
Ballantine goes on to explain that dualism is a feature associated with sonata principles and that it has been redefined in numerous ways by the symphonists of this century. However, regardless of the extent of symphonic developments in this century, Ballantine observes one constant: "a concern for dualism and its musical exploration as the essential preoccupation of symphonic composition."  

Vaughan Williams has often been understood as an anachronistic character, "a nineteenth-century figure who carried the best qualities of the age in which he was born into the twentieth century." Indeed, Preston Stedman, in his survey of the twentieth-century symphony, writes "the line of development reveals Elgar, Sibelius and Vaughan Williams picking up the thread of the traditional symphony after the death of Mahler." The truth of these statements cannot be denied; however, in order to accurately understand Vaughan Williams's historical place, it is important to consider not only whence he received his symphonic foundation, but more so, the ways and degrees to which he extended the symphony beyond traditional lines of development. Undoubtedly, Vaughan Williams made meaningful contributions to the interpretation of symphonic structure based on nineteenth-century lines of

16. Ibid., p. 111.
Although he adopted the traditional plan of the symphony, Vaughan Williams was not altogether conventional in his treatment of it. In fact, Vaughan Williams was a major participant in conservative innovations of structure (i.e., maintaining essential, traditional principles). He was active among twentieth-century symphonists, such as Mahler and Shostakovich, in an ongoing experiment in merging thereunto distinct formal principles and categories, a practice not without nineteenth-century precedents (Schubert and Bruckner). The first example of this technique is the incorporation of sonata principles into the scherzo, a device featured in the fourth symphony, in which the first scherzo section contains a full sonata cycle of exposition, development, and recapitulation. Similar examples of the compounding of sonata and scherzo are found in the second and sixth symphonies. The first movement of Vaughan Williams's eighth symphony displays a particularly interesting and complex fusion of sonata and variation structures. Ballantine provides an interesting discussion of the implications and complications of this synthesis, having to do mainly with the movement's thematic ambiguity in the absence of a defined theme ("variazioni senza tema").

Vaughan Williams's most individual contribution to a twentieth-century interpretation of symphonic form is the

epilogue, which involves a re-interpretation of symphonic proportions and the redefining of symphonic resolution or conclusion. Ballantine writes, "the modification here seems to have been almost exclusively - or at least very largely - the prerogative of Vaughan Williams; and so unmistakable is the change that the new descriptive term 'epilogue' was invoked by the composer to cope with it." The epilogue is a device in keeping with the late nineteenth-century tendency to shift the goal and the weight of the symphony toward the end of the work, and its use is forecast by certain works of that period, such as Brahms's Symphony No. 3.

In essence, all of Vaughan Williams's symphonies incorporate some form of the epilogue, although the term appears in only four of them (Nos. 2, 4, 6, and 7). Notwithstanding differences in character and method, each epilogue is significant as a coda, a "last word", to the entire work, not just to the final movement. Generally, Vaughan Williams integrates the epilogue into the final movement, either at the end of the movement or somewhere near it, but the epilogues of the sixth and seventh symphonies comprise their final movement, an indication of the independence of the form.

The "epilogo fugato" of the fourth symphony is unlike those of the other symphonies because it has a completely different character and it takes the form of a fugue based on the two main motives of the work presented at the outset of the first

20. Ibid., p. 104.
movement. While the other epilogues share a mood of tranquility and resignation, the epilogue of the fourth carries on the fury and dissonance characteristic of the work. In addition, the "epilogo fugato" represents a resolution and fulfilment of the whole work through the intensification of the counterpoint and of the development of the two main motives, z and y, which appear throughout the first three movements in clear and sometimes slightly obscured guise. Although the epilogue is interpolated within, and shares thematic material with the fourth movement, it does represent an independent section formed through fugal techniques (Some writers go to the point of calling it the fifth movement).

With the sixth symphony, the epilogue gains independence as the final, fourth movement and becomes a fusion of all the thematic ideas of the entire symphony. The epilogue of the "Sinfonia Antartica" is the independent fifth movement of the work, governed by the literary associations (Captain Scott's journal) and incorporating passages of material from previous movements.

The epilogue of the Symphony No. 5 returns to and finally resolves the initial struggle from the opening bars of the symphony, which persists throughout the work as an unresolved dissonance. The conflict between the french horn line, clearly outlining a D major chord, and the C ostinato of the bass line at the very outset of the work becomes the central, underlying conflict of the work, taking precedence over the formal tensions inherent in the sonata structure. Ballantine reveals
the anomaly represented in the fifth symphony, which is not uncommon in works by other composers (e.g., Sibelius and Prokofiev): the presence of "traditional 'dualistic' structure in a movement where duality does not rest on that structure."\(^\text{21}\)

That is, the fifth symphony is formed through sonata techniques, but its dualism or essential conflict lies outside traditional methods of establishing conflict and resolving it. In this respect, the fifth symphony recalls the basic issues of Vaughan Williams's fourth, although the content and peculiarities of the issues are different. In each, the main conflict of the work is established in the opening bars, explored and manifested in different ways throughout the movements, and addressed finally at the very end of the work, where the struggle is clarified and, in some sense, resolved. Indeed, the thought that went into the conception of the fourth symphony contributed to the formation of symphonic conflict in the fifth. Furthermore, the fourth and fifth symphonies represent two solutions by Vaughan Williams's of the common twentieth-century problem of mediating between traditional sonata design and new concepts of symphonic conflict.

**Conclusion:**

In summary, the Symphony No. 4 acted as a catalyst upon Vaughan Williams's symphonic style, toward a more sophisticated approach to harmonic, motivic, thematic, and formal structure.

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\(^{21}\) Ballantine, *20th-Century Symphony*, p. 152.
than that found in the first three symphonies. Moreover, the fourth symphony represented a modern work in comparison with Vaughan Williams's previous symphonic works and was perceived as progressive by the English audience due mainly to its level of dissonance and because of the peculiar history of symphonic and other musical developments in England. In the light of twentieth-century musical developments, Vaughan Williams's symphonies comprise a conservative, albeit important, contribution to the redefinition of traditional symphonic ideals and conflicts, in a realm of symphonic thought occupied by such composers as Sibelius and Prokoviev. Indeed, the fourth symphony is worthy of study, not only for its own sake, but in order to shed light on more far-reaching historical considerations of the English symphony and on twentieth-century symphonic developments.
Sources Concerning Vaughan Williams's Music:


A comprehensive overview of the symphonies with a descriptive analysis of each.


A favourable review of the premiere of the symphony, in which Colles recognizes the modernism and sophistication of the work.


A brief, critical consideration of the first six symphonies, emphasizing the spirit and character of each and the thematic and characteristic parallels between the symphonies.


Dickinson stresses: Vaughan Williams's symphonies as the genre in which his achievements were most progressive; his almost consistent adherence to traditional structural devices and scheme of movements; and the influence of Vaughan Williams's research on his material.


A thorough analysis of the symphony No.4, especially regarding the identity of themes and their distribution.


The guide documents some critical commentary and notes by the composer on the fourth symphony, among other symphonies in the established repertory.

Rudimentary study of Vaughan Williams's harmonic vocabulary evident in symphonies 1 to 8, including chord classification, root movement, tonality, modulation and other harmonic devices.


Contained in this survey of Vaughan Williams's works is a consideration of the first seven symphonies which emphasizes the difference in character between the symphonies and the stylistic similarity to Hardy's novels.


Once more Foss stresses the unique character of each symphony (nos. 1 to 4) and the similarity to Hardy. He comments that the piano concerto and the fourth symphony employ a "weaving method" (the texture of a fugue) and that the symphonies show strong traces of English dialect.


A comprehensive work including background, biography, overview of the works by genre, personal stylistic traits, more detailed analysis of several works and some essays by Vaughan Williams.


Howes points out the similarity to Brahms's Symphony in F Major and includes a very useful chapter dealing mainly with themes and the organic unity achieved in the symphony through cross-reference and through the "inner connexion . . . between all the thematic material of the symphony."


Kennedy discusses the stage of Vaughan Williams's compositional technique at the time of the fourth symphony in comparison with immediately preceding works; provides a brief descriptive analysis of themes; and proposes possible influences of other composers on the symphony (Beethoven, Sibelius, Holst, and Brahms).

Long's article includes a very useful analysis of the structural elements in the fourth symphony (form, counterpoint, themes, development, rhythm and orchestration) and concludes with a consideration of the symphony's social and emotional implications.


A brief but favourable review of the fourth symphony (based on the premiere) especially in comparison with most modern music of the "understand-me-if-you-can order."


A brief article tracing the important developments and influences in Vaughan Williams's compositional practices.


After discussing *Hugh the Drover*, Ottaway describes the first performance of the fourth symphony as a "direct negation of that romantic afterglow" and speculates on the meaning of the symphony.


Ottaway discusses the Epilogue both technically and philosophically and gives examples from Vaughan Williams's symphonies.


A retrospective view of the symphony, shedding light on some of its historical and unique features.


In this short guide Ottaway describes the nature and gives a basic analysis of each symphony initiated by a response to one or two critical comments at the beginning of each discussion. This book is more valuable for its discussion of the fourth symphony in relation to the previous works than for its discussion of the symphony itself.

This book is intended for amateurs and the discussion of the fourth symphony deals with public and personal reactions to it, provides a descriptive analysis of the symphony's themes and character, and is most valuable for comments by the composer and others regarding the work.


The article discusses Vaughan Williams's different techniques of orchestration and melodic writing and the influence of his studies with Ravel.


A philosophical consideration and objective criticism of symphonies 1 to 7, including their triumphs and failures and relationships with other works by Vaughan Williams. Raynor is particularly critical of the fourth symphony ("his greatest failings as a symphonist.")


This is primarily a discussion of Vaughan Williams's harmonic language and includes classification and examples of chords, triads, melodic intervals and rhythms.


The publication of Schwartz's dissertation. It provides a detailed and thorough analysis of each symphony, a general consideration of structural elements in the symphonies (including useful charts), and a general background of Vaughan Williams's musical education.


A compilation of the composers' personal letters and occasional lectures and essays put together by Ursula Vaughan Williams and Imogen Holst.
Vaughan Williams discusses several different topics from folk music and national music to film scores, Beethoven's Choral Symphony, and an autobiography.


Provides brief but concise structural analysis of the symphony and some background to the composition of the work.


This biography is helpful for information regarding the background and inspiration for works, reactions to them, and for comments made by the composer.


Young discusses the first seven symphonies separately in the book, emphasizing the severe character of the material and development in his consideration of the fourth symphony.

Sources Concerning the Symphony in the Twentieth Century:


Ballantine addresses questions raised by the interaction of contemporary musical developments with the symphonic genre by discussing four symphonies (Hamilton, Sinfonia for Two Orchestras; Goehr, Little Symphony; Sibelius, Symphony No. 7; Gerhard, Symphony No. 1) which illustrate problems regarding their relationship with the traditional symphony. He demonstrates that each of these works fulfills the principles of dualism inherent in the symphonic tradition.
Through detailed yet relevant discussion and analysis of works labelled "Symphony", Ballantine considers radical and conservative innovations and demonstrates the ways in which twentieth-century symphonies manifest traditional symphonic principles (esp. dualism) and ways in which they have been extended or reconsidered in new terms.


Cuyler's short book traces the history of the symphony by considering the works of specific composers, including Vaughan Williams.


Ecksteins draws relevant and insightful comparisons between sociology, culture and war in the early decades of the twentieth century.


Essentially a survey of twentieth-century symphonic works within the various streams of stylistic developments, emphasizing the quantity and diversity resulting from the many and divergent stylistic tendencies since Mahler.


A study of the phenomenon of indigenous musical rebirth in England in the late nineteenth and early twentieth centuries.


A comprehensive chronological survey of symphonic activity in Britain between 1900 and 1950, including mention of memorable performances and recordings.

A critical response to Martin Cooper's statement that sonata "is essentially tonal." Keller shows through the later string quartets of Shoenberg that "the large-scale integration of thematic contrasts" is in fact the essence of sonata form. He agrees that there is a symphonic crisis and, in the next issue, pursues "the development of symphonic thought at its purest - in the quartet."


Keys traces the history of the term "symphony", dramatizing the evolution of the concept associated with the term from a musical interval to a short name for symphony orchestra.


Lambert addresses critically the conflict between nationalism and formal construction (esp. symphonic) with some discussion of Vaughan Williams's Pastoral Symphony. He distinguishes between nationalism and provinciality, reducing the former to an exoticism.


Mellers addresses the problems, successes and failures of reconciliation between "dramatic" conflict inherent in the symphony and vocal modality in Vaughan Williams's symphonies, while attention is drawn to No. 5 as the most successful.


Not intended as a survey or reference, this book examines the symphonies of Sibelius and Beethoven to gain insight into the nature of symphonic thought and the meaning and manifestation of the "profound logic".


Pirie explores the so-called progressive influence of Mahler, Bruckner and Wagner on twentieth-century symphonists, while Sibelius and other traditional symphonists are considered retrogressive and of little value. He sees the intention of a symphony — a large-scale work (in form or intensity) for a "post-baroque" orchestra — as the only constant feature.

With the help of several detailed analyses, Reti exposes the profound significance of thematic structures and relationships, which he feels has been neglected in traditional approaches to musical analysis.


Simpson attempts to show the origins of the symphony and to define its essence in five points. Worthy of note is his view of tonality as essential to the characteristic comprehensiveness of a symphony. Because of his belief in an inherent "body of principles, standards," he excludes consideration of some symphonies, regardless of title.


Stedman provides a concise survey of the symphony and includes an insightful and significant investigation of Vaughan Williams's symphonies, which he considers to be an important body of twentieth-century symphonic works.


Walsh sees the first decade of the twentieth century as bringing the Beethovenian symphony "to its full maturity and also effectively to its end. Not until then did the purely formal attempt to cast a Romantic symphony in a Classical mould give way once more to symphonic forms arising from the nature of their materials." Walsh surveys the consequences in various countries.


A historical study of English music from the beginning of recorded musical history to modern times. The book includes an interesting consideration of Vaughan Williams's significance to the English musical renaissance (pp. 544-553).
## APPENDIX:

### REFERENCE CHART OF THEMES AND MOTIVES

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