The foundations of style in the early concert music of Don Banks

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Abstract

In this thesis I argue that the style of Don Banks's early concert music can be conceptualised in terms of a set of decision-making principles that guided his compositional choices, and that the forces that formed this decision-making framework are directly attributable to the influence of his three main composition teachers, Mátyás Seiber, Milton Babbitt, and Luigi Dallapiccola—influences that can be traced through the body of sketches and other related documents that Banks left after his death in 1980, and which are now held at the National Library of Australia.

I begin by reviewing pertinent literature that relates to the concept of style in the arts, as well as to the debates concerning the applicability of sketch studies to musical analysis. In chapters 3–6 I trace the studies that Banks undertook with Seiber, Babbitt, and Dallapiccola, in order to determine the principal aesthetic and technical influences that these teachers exerted over his development as a composer. In these chapters I also study the composition of both the *Duo for Violin and Cello* (1951) and *Psalm 70* (1953) since these works were written while Banks was a student of Seiber and Dallapiccola respectively. Then, in chapters 7–9, I continue to trace the development of his compositional style in the sketches for the *Three Studies for Violoncello and Piano* (1954), *Pezzo Dramatico* (1956), and the *Sonata da Camera* (1961). At certain points in between these chapters I pause to relate these analytical studies to Banks's own technical and aesthetic views on musical composition, which he articulated in his own written documents and in his analyses and critiques of the compositions of other composers.

I conclude that the specific direction in which Banks's style developed

during the 1950s was motivated by a process of reconciling the disparate and, at times, contradictory influences of his teachers, particularly of Seiber and Babbitt—a process that can be seen not in *what* he composed, but in *how* he composed his music.

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Not all ways of doing something pertain to style

but style always pertains to ways of doing something.[1]

[1]Peter Lamarque, "Style and Thought," *Journal of Literary Semantics* 21, no. 1 (April 1992): 47.

Chapter 1

Introduction

1.1 The aim of the study

The central argument of this thesis is that the *style* of the concert music that the composer Don Banks wrote during the early part of his career can be accounted for, and understood, in terms of the *way* in which he composed his music. To that end, this study aims to demonstrate that the reasons why Banks composed his music in the way that he did are directly attributable to the specific influences of Mátyás Seiber, his principal composition teacher, Milton Babbitt, whose seminars he attended in Salzburg during the summer of 1952, and Luigi Dallapiccola, with whom Banks went to study in 1953.

1.2 Scope and limits

In the first instance this study is limited to just the 'concert' music that Don Banks composed between the years 1950–61. It is likely that most of the music that Banks wrote during these years was commissioned for film, television, radio, and other commercial contexts, but the inclusion of this commercial music is not within the scope of this study. Furthermore, not all of the concert music that Banks wrote during this time frame is studied; only those pieces are included for which there is sufficient extant sketch material from which an understanding of the way in which Banks composed the music can be derived, and which demonstrate the progress of Banks's compositional method, techniques, and, hence, style. For that reason only the *Duo for Violin and Cello* (1951), *Psalm 70* (1953), *Three Studies for Violoncello and Piano* (1954), *Pezzo Dramatico* (1956), and the *Sonata da Camera* (1961) are studied in detail.

In the second instance none of these compositions are studied in their entirety. In all cases only the beginning of the compositions are studied in detail since the objective is to analyse and illustrate Banks's compositional techniques and methods—not to analyse the structural and other relationships found in the finished compositions *per se*. As will be shown, Banks concentrated most of his compositional activity on the beginning section(s) of each piece, and it is on these sections that the analyses within this study concentrate.

Finally, while Banks's sketches and other documents are a critical part of this study, they are not analysed in order to catalogue them or to specifically account for them in a chronological manner. Rather, the sketches are *interpreted* in relation to the emerging patterns and methods that Banks employed in his compositional practice. In that sense, this study presents a plausible reconstruction of Banks's compositional activity as documented by the sketches.

1.3 The Don Banks Collection

Most of the primary sources and all of the manuscript and sketch material used in this study were drawn from the Don Banks Collection held at the National Library of Australia. This collection, which was purchased by the Library from Don Banks's estate in 1985, not only includes the musical sketches, roughs, notes and autograph scores of most of his concert music, but it also includes his own collection of music-related books and journals, recordings, and more than thirty boxes of personal papers, letters, documents, notebooks and diaries.

The extent and variety of this collection resulted in the material being split into three main sections.[1]

1. The musical sketches and the boxes of personal papers, held in the Manuscript Section of the Library under the collection number MS6830;

2. Banks's personal collection of recordings, held by the Oral History section of the Library, and;

3. Banks's personal collection of books, serials, concert programs and other published material, held as a single 'special collection'.

The part of the collection with which this thesis is primarily concerned is the collection of sketches and related papers held in the Manuscript Section—collection number MS6830. This material is itself divided into two components. The first is a series of some thirty-seven manuscript boxes that contain documents such as personal correspondence, documentation relating to various committees and organisations with which Banks was associated, miscellaneous notes, catalogues and other paraphernalia, various notebooks and diaries, various flyers and reviews, and various notes on talks and lectures, and so on. Much of this material is restricted and is only accessible with permission from Banks's family.

The second part of the manuscript collection comprises twenty-six folio boxes of material. The first three of these folio boxes contain miscellaneous

[1] Professor Graham Hair, of the University of Glasgow, wrote a guide to the collection that includes a summary of the contents of all of the boxes, folios and recordings, as well a short biography and a chronological list of events and activities in Banks's life. (Graham Hair, *The Don Banks Collection: A Guide to Don Banks' Personal Papers and Scores, together with his Personal Library of Books, Serials, Recordings and Miscellanea, as housed in the Manuscript Section, the Music Collection and the Oral History Section of the National Library of Australia* (Canberra: National Library of Australia, 1999).)

material including notes, sketches, analyses, and other personal papers. The next eleven folio boxes contain the sketches and autograph scores and parts for Banks's compositions from 1951 through to 1979. The material in these folio boxes is used extensively in this thesis. Finally, the last nine folio boxes in this part of the collection contain scores and instrumental parts for some of Banks's commercial music—music that he wrote for film, television, and radio.

1.4 Terminology

1.4.1 The Don Banks Collection

The papers, letters and other documents that are contained in the first thirty-seven manuscript boxes are further divided into 'folders', such that each box may contain several folders of papers. Similarly the musical sketches and related material held in the folios are further separated into 'packs'. The terms 'box', 'folder', 'folio' and 'pack' are the terms used by the Library as well as in Hair's guide to the collection. For this reason they are also used in this thesis. For example the sketches for the *Three Studies for Violoncello and Piano* can be found at `MS6830 Folio 5, Pack 8`.[2]

The Library's system of cataloguing and its associated terminology for this collection stops at this point, however, and so falls short of being adequate for the specific identification of individual items contained within each folder or pack. In order to allow such specific identification the following system and terminology is used.

[2]All references in this thesis to the specific location of manuscript items are given in `teletype` font.

The contents of each folder or pack are referred to as 'items', which are identified numerically in the order in which they are found in the folder or pack. In the case of the boxes of papers each item is identified and numbered individually, whether it be a single piece of paper, a notebook, a diary, a newspaper cutting, and so on.

In the case of the musical sketches, however, further terminology, as follows, is used to identify the location of specific sketches.

Banks rarely made sketches in notebooks; he almost always worked on loose sheets of manuscript paper, which usually took one of two forms—it was either a single sheet of paper with two faces, or a large folded sheet giving four faces. The single sheet is referred to as a 'leaf' and the double (folded) sheet is referred to as a 'bifolium'. Each face is then identified by the use of roman numerals and the traditional *recto* and *verso* designation. A leaf therefore contains faces $\mathtt{I}^{\mathtt{r}}$ and $\mathtt{I}^{\mathtt{v}}$, and a bifolium contains faces designated $\mathtt{I}^{\mathtt{r}}$, $\mathtt{I}^{\mathtt{v}}$, $\mathtt{II}^{\mathtt{r}}$, and $\mathtt{II}^{\mathtt{v}}$. Frequently within the collection several bifolia and leaves are folded together as one item. These are referred to as 'bundles'. Figure 1.1 illustrates the principles.

A bundle is numbered as a single item but if the individual components of the bundle are clearly separate then those components are given a number which is combined with the item number by a decimal point. For example in the collection of sketches for the *Three Studies for Violoncello and Piano*, most of the rough sketches are combined into one bundle of twenty-five different components (leaves and bifolia). The bundle is item number 11 and so each component is numbered from `11.1` to `11.25`.

The full designation includes the folio or box, folder or pack numbers as

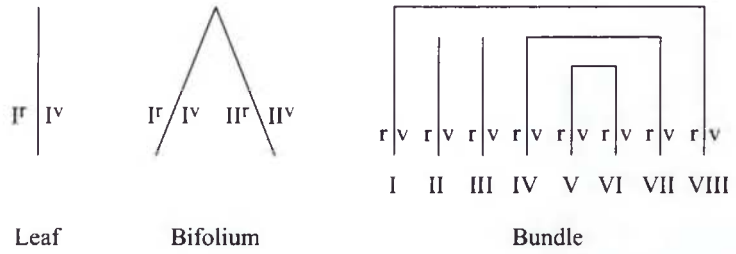

Figure 1.1: Labelling conventions

well, and these are abbreviated. Therefore the *recto* face of the second page of the bifolium in folio 3, pack 11, would be designated `f3p11i03/II`^{r} (folio 3, pack 11, item 3. page 2-recto). Or the fifth item in folder 105, kept in box number 22, would be designated `b22f105i05`. Throughout the discussion sketch items are often referred to by just their item number, where the rest of the designation is clear in the context (so `f3p11i03` might be referred to as simply 'item 3').

1.4.2 Twelve-tone terminology

Don Banks's own way of labelling twelve-tone row forms varied widely, particularly during the 1950s. In general, however, he used the letters 'B' or 'O' to refer to prime ('basic') rows, combined with a superscript or subscript to indicate the level of transposition of the row in semitones. However, Banks sometimes used the integer '1' to indicate a transposition of zero semitones, and sometimes it is not immediately clear what the reference point for his transposition levels is. He also used the letters 'R', 'I' and 'RI' to indicate rows in retrograde, inversion, and retrograde-inversion.

Because of the variability of Banks's labelling practices, in this thesis the terms and conventions that are used for referring to twelve-tone rows and

other pitch sets are summarised as follows:

- When integers are used to refer to pitch classes, C always equals zero (0), and all other pitch classes assume an integer with respect to C (e.g. C♯=1, D=2, etc.). Banks did not adopt this convention and so the labels in this thesis differ from those that Banks annotated on his sketches.

- Transpositions of set classes and twelve-tone rows are notated in the form T_n, which indicates transposition of n semitones.

- Similarly, the inversion and retrograde-inversion of ordered twelve-tone rows are notated in the form I_n and RI_n respectively.

- Unordered set classes are labelled according to the conventions adopted by John Rahn in his book *Basic Atonal Theory*.[3] For example, the set  is a member of the set class [0,1,6,7].

- Instead of using the integer 10 to refer to pitch class B♭, the lower-case letter t (for 'ten') is used instead to avoid the potential confusion between 10 and 1 0. Similarly, the lower-case letter e is used for pitch class 11 (B). (The exception to this is if the integer is used as a subscript, e.g. T_{11}.)

The pitch matrix for the complex of the forty-eight primary row forms derivable from the row $< 05e6874t9312 >$ is shown in figure 1.2 and illustrates the labelling conventions of twelve-tone rows.

[3] John Rahn, *Basic Atonal Theory* (New York: Schirmer Books, 1980).

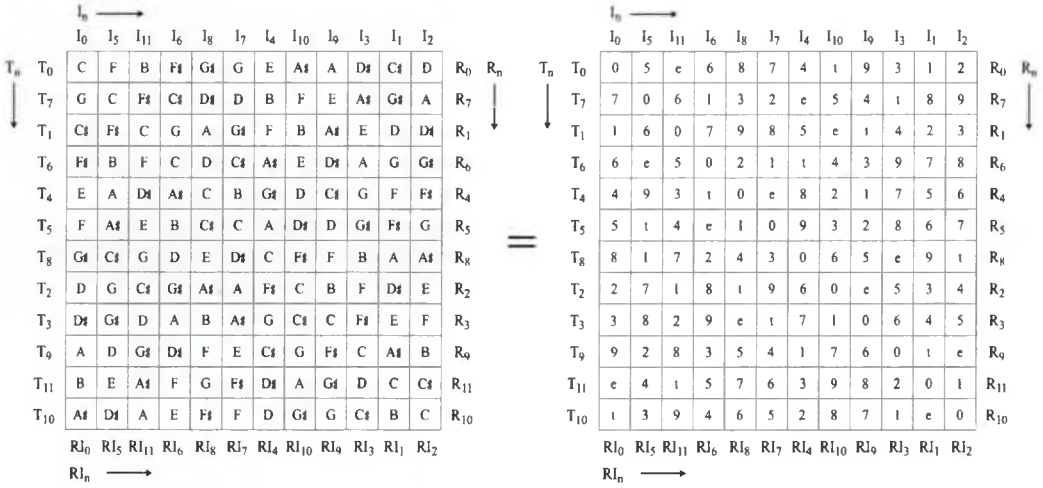

Figure 1.2: Illustration of the labelling conventions for twelve-tone rows.

1.5 Reading this thesis

Because this thesis makes constant reference to the sketch items and other documents held in the Don Banks Collection, sense can only be made of the text if the reader of this thesis also has access to the sketches and documents that are discussed in the chapters that follow. For that purpose a set of appendices have been included (in a separate volume) that contain copies of all of the relevant sketch materials for the compositions that are studied, as well as copies of the final, or published, scores of each composition, a brief catalogue and summary of the contents of each of the sketches for each composition, and a 'sketch map' for the sections of the compositions that are discussed. Furthermore, extensive annotated extracts from the sketch materials and other diagrams are included in the body of the text to help the reader navigate through the argument(s).

That said, the reader must refer constantly to the 'sketch maps' in order to know where the discussion is directed in terms of the 'topography' of

the compositional process of each piece—these 'maps' are an integral and necessary part of this thesis.[4]

[4]The sketch maps and descriptive catalogues are important tools to help the reader follow the discussion, but no attempt is made to account for the construction of these sketch maps or the interpretation of the content of individual sketch items. Such an account, written explicitly, would detract from the main argument of this thesis, and many of the reasons and interpretative decisions that such an account would entail are implicit in the discussions that follow.

Chapter 2

Sketch studies and the concept of style

2.1 Introduction

While this thesis is an account of the way in which Banks's compositional style developed over the course of the decade from 1950 to 1960 (approximately), the concept of *style* in this thesis is understood in specific relation to the *means* by which Banks wrote his music. In other words, style is here understood as an emergent property of *technique*. In other words, *style* and *technique* are understood as two sides of the same coin. This is a notion which is contrary to the widely held view that the two concepts are distinct and separate—that technique is a way of doing something while style is an attribute of the thing produced.[1] So the purpose of this chapter is to engage with some of the more influential arguments concerning the nature of style and its relationship to technique in order to explain why it is that this thesis is about a composer's individual style, yet the chapters that follow mainly concern compositional technique.

First, however, the chapter will begin by reviewing arguments concerning the role of sketch studies in musical analysis in general, since this thesis relies predominantly upon sketch studies as an analytical tool.

2.2 Sketch studies

The relationship between sketch studies and musical analysis has been the subject of debate, discussion, and controversy in numerous publications during the last thirty years, not only in the field of musicology but also in literary

[1]For one such example see David Cope, *Computers and Musical Style* (Oxford: Oxford University Press, 1991), 30: "For the purposes of this book, then, 'musical style' will mean:the identifiable characteristics of a composer's music which are recognizably similar from one work to another".

and art theory. For example, one corollary in literary theory is the history of debate over the relevance of 'authorial intention' to literary criticism and analysis, and similar issues have been raised in the visual arts as a result of the ability afforded by infrared technology to see under the surface of a painting at the different layers of activity by which artists create their work.[2] In musicology, the literature surrounding these discussions amounts to a questioning and re-evaluation of the assumptions at the heart of what is meant by the term 'analysis' and what it means to understand a musical composition.

2.2.1 The colloquium at Saint Germain-en-Laye

In September 1970 a colloquium was held at Saint Germain-en-Laye under the auspices of the International Musicological Society, at which one of the topics of discussion was entitled 'Problèmes de Création Musicale au XIXe siècle'.[3] Three papers were written for discussion at this colloquium, of which the first, written by Lewis Lockwood, was titled 'On Beethoven's Sketches and Autographs: Some Problems of Definition and Interpretation'.[4] In this paper Lockwood challenged what he considered to be the conventional dis-

[2]See, for example, William Wimsatt and Monroe C. Beardsley, "The Intentional Fallacy," in *The Verbal Icon* (Lexington: University of Kentucky Press, 1954), 3–18; William Wimsatt, "Genesis: A Fallacy Revisited," in *The Disciplines of Criticism: Essays in Literary Theory, Interpretation, and History*, ed. Peter Demetz et al. (New Haven: Yale University Press, 1968), 193–225; W. K. Wimsatt, "Genesis: An Argument Resumed," in *Day of the Leopards* (New Haven: Yale University Press, 1976), 11–39; E. D. Hirsch Jr., *The Aims of Interpretation* (Chicago: University of Chicago Press, 1976); Suresh Raval, "Intention and Contemporary Literary Theory," *Journal of Aesthetics and Art Criticism* 38, no. 3 (Spring 1980): 261–277. In relation to the visual arts, see, for example, Trudy E. Bell, "Seeing into the Past," *Connoisseur* 210, no. 844 (June 1982): 140–141.

[3]For a transcription of this discussion see Ursula Günther et al., "Papers of the Colloque at Saint Germain-en-Laye (September 1970): Problèmes de Création Musicale au XIXe Siècle," *Acta Musicologica* 43 (1971): 142–204.

[4]Lewis Lockwood, "On Beethoven's Sketches and Autographs: Some Problems of Definition and Interpretation," *Acta Musicologica* 42 (1970): 32–47.

tinction between a 'sketch' and an 'autograph' (the 'sketch' precedes the 'autograph') by drawing attention to instances in Beethoven's sketchbooks where this distinction could no longer be said to apply. He concluded his paper by suggesting that "the more we are able to see the autographs and sketches not as independent objects but as partial and detached segments of larger wholes, ... the more likely it is that we will be able to apprehend their content at its true level of significance."[5]

The study of composers' sketches was beginning to flourish both in Europe and America, and these remarks generated more than passing interest among scholars of sketch materials because they question the basic assumptions of sketch studies and of their relationship to the completed composition. What, for example, did Lockwood mean by the 'larger whole' of which sketches and autographs are a part, and what did he mean by the 'true level of significance' to which these studies evidently aspire?

Lockwood was not the only scholar to question the role of sketch studies in musicology: Professor Wolfgang Osthoff of the University of Würzburg questioned whether sketch studies is about understanding the "creative psychology" of the composer, or about understanding the finished composition:

> ... it remains open as to whether [the process of composition] primarily concerns the question of creative psychology (how did Beethoven compose?) or whether it concerns the question of the interpretation of the work with the goal of understanding it ... At the very least one should see these alternatives theoretically and confront them as such.[6]

[5]Ibid., 47.

[6]Günther et al., "Papers of the Colloque," 144. "Hierbei bleibt jedoch offen, ob es sich um eine primär schaffenspsychologische (wie hat Beethoven komponiert?) oder um eine auf das Verständnis des Werkes zielende, der Werkinterpretation dienende Frage handelt (es ist klar, daßdie Untersuchung der Skizzen auch der Klärung philologisch strittiger Stellen,

The issues that Lockwood and Osthoff raised were not new[7] but they were, in effect, asking for the assumptions underpinning sketch studies and musical analysis to be re-evaluated in the light of modern scholarship. While Lockwood recognised that both the study of 'biography' (of factors relating to the composer and the compositional process) and the study of the finished musical works each have a "certain autonomy," he advocated the unification of each of these areas ("an amalgam of the two") in order to interpret the "true level of significance" to which the autographs, the sketches, and the creative psychology of the composer all contribute. However, he pursued the matter no further until the end of the colloquium session when the issues were again raised by Fedele d'Amico when, after some fifty pages of intervening discussion, he put forward his own position.

D'Amico believed that "the chief aim of these researches must be biographical and psychological. [The study of sketches] remains a matter of biography. The structure of the work itself remains unchanged."[8] For him a structural understanding of the objectified musical work is the primary goal of sketch studies, and to this end "[e]verything beyond it is merely an aid."[9] In this respect his position was fundamentally different to Lockwood's, since he saw the role of sketch studies as marginal to the putatively autonomous work, whereas Lockwood saw it as potentially integral.

Philip Gossett also put forward his view, stating that it was not certain whether it was entirely possible to "differentiate [an] 'object' from a continual

Lesarten etc. dienen kann). Zumindest theoretisch sollte man diese Alternative sehen un sich ihr stellen."

[7]See, for example, the introduction to Gustav Nottebohm, *Zweite Beethoveniana* (Leipzig, 1887). An except is discussed on page 22.

[8]Günther et al., "Papers of the Colloque," 199.

[9]Ibid., 200.

process of 'objectification'."[10] He went on to say that:

> ...the more we seek to analyse the processes that give [various works] birth, the more we shall understand the finished products. To deny a relationship between studies of the genesis of a work and analyses of that work seems to me essentially wrong.[11]

A tension arises between his need for understanding the finished product and his doubts over the validity of distinguishing the object from its creation (objectification). If his concept of the 'finished product' is to be synonymous with what he called the 'object' then the question of the relevance of sketches to analysis can be reversed, so the problem becomes one of how it might be possible to understand the finished product *without* understanding the sketches, given that the finished product cannot be fully distinguished from its process of creation. However, this is a misrepresentation of Gossett's meaning because it is not a question of distinguishing the finished product from its process of creation, but of distinguishing the analysis of the finished product from the analysis of its context. Taken in this way, any tension in Gossett's position dissolves since the terms 'object' and 'finished product' are not to be understood as synonymous. The finished product is something that can be isolated and studied but the musical object cannot be inseparably distanced from its process of creation. The 'object', therefore, is an

[10]Ibid.

[11]Ibid., 201. A fourth point of view was also put forward by Frits Noske, who argued for a shift away from the conception of a work of art as an 'object' to that of a 'happening'. Conceived in these terms, Noske then stated that "[a musical work] is composed every time it is played" (202), thereby erasing any difference between musical composition and performance. D'Amico again took this opportunity to reiterate his own point of view: "No, the work of art is not a happening: it begins its life the moment a composer has delivered it. Sketches only interest us from a subsidiary angle." (202)

abstraction — a mode of understanding — through which the finished product is comprehended. This, I think, is also what Lockwood was referring to as the 'larger whole' of which the sketches and autographs are segments.

Lockwood re-entered the discussion in the final minutes of this very long discussion with comments which addressed the nature of the relationship between sketch studies and the analysis of the finished work. He sees the way in which the work is experienced as being in some way prepared, and the degree and type of preparation affects the way in which the listener, or analyst, approaches and experiences the music. The question of how such preparation is acquired is left unanswered, but the implication is that sketch material has an important role to play in such preparation.

> ...the sum total of our attitude towards the given object will depend indeed in great measure on the specific kind of preparation which we have. Consequently, from some points of view there will be ways of studying a work of art which are more nearly pure; and there are others which will be more nearly adulterated with biographical, historical, pre-compositional insights of one kind or another.[12]

His point is clear. The meaning of the work of art stems from the scholar (or listener) and will vary according to the 'preparation' and knowledge that they bring to the work; meaning is not intrinsic to the artwork itself. The question of the location of the source of textual meaning was posed by the literary theorist Stanley Fish: "Is the reader or the text the source of meaning?"[13] Lockwood, like Fish, argues for the reader.

[12]Ibid., 202–3.

[13]Stanley Fish, *Is There a Text in this Class?* (Cambridge, M.A.: Harvard University Press, 1980), 1.

Lockwood's conception of the 'larger whole,' to which he referred at the start of the colloquium, can then be understood as the network of relationships that result in an understanding of the musical work, and which can include, as part of that network, a knowledge of how the work came into being.

2.2.2 Analysis and biography

The different views held by d'Amico on the one hand, and Lockwood on the other, re-emerged in the late 1970s in response to Douglas Johnson's well known and often-cited article "Beethoven Scholars and Beethoven's Sketches."[14] Johnson argued that sketch material cannot provide insight of "purely musical significance" to the finished work because there is nothing in the sketches that the finished work does not contain. Johnson argued that "the process documented in the sketches becomes one in which undesirable alternatives yield to the appropriate solution. Since the latter is necessarily present in the completed work, the sketches can at best confirm what we find there."[15] He was also dismissive of the use of sketches in a confirmatory role, as his criticism of the ideas put forward by Philip Gossett in an article on the sketches for the first movement of Beethoven's Pastorale Symphony shows.[16]

In this article Gossett proposed three categories by which sketch stud-

[14]Douglas Johnson, "Beethoven Scholars and Beethoven's Sketches," *19th Century Music* 2, no. 1 (1978): 3–17. Responses to this article include Sieghard Brandenburg, William Drabkin, and Douglas Johnson, "Viewpoint: On Beethoven Scholars and Beethoven's Sketches," *19th Century Music* 2, no. 3 (1979): 270–279, as well as Taylor A. Greer, "Comment: The Relation Between Sketch Study and Analysis: A Reply to Johnson," *In Theory Only* 6, no. 7 (December 1982): 13–18, and Richard Kramer, "Comment and Chronicle," *19th Century Music* 3, no. 2 (November 1979): 187–188.

[15]Johnson, "Beethoven Scholars," 13.

[16]Philip Gossett, "Beethoven's Sixth Symphony: Sketches for the First Movement," *Journal of the American Musicological Society* 27, no. 2 (Summer 1974): 248–284.

ies might provide evidence of composers' intentions with the premise that the analyst "cannot remain indifferent" to the intentions of the composer.[17] Even though, as Gossett pointed out, the final version of the work may fail to support, or even contradict, the apparent intentions as revealed in the sketch material, they can, nonetheless, "directly alter the kinds of analytical questions we pose and answers we accept."[18] In stating this, Gossett approached Lockwood's emphasis on the amount and type of preparation that the analyst brings to bear on any given analytical act — preparation that can be directly influenced by a knowledge of the sketch materials for the work in question. Such 'preparation' (knowledge) is drawn upon by the analyst in order to accept or reject particular analytical 'answers'.

Gossett's three categories, which he admits are "somewhat arbitrary, since such categories are really points on a continuum," are:[19]

1. "confirmatory": relationships which are obvious in the final version are confirmed by the composer's intentions;

2. "suggestive": compositional intentions reveal relationships in the final version which may have been overlooked by the analyst; and

3. "conceptual": compositional intentions provide evidence for relationships which are obscure or remote in the final version.

Gossett always relates the evidence of the sketches to intentionality, and this point was taken by Douglas Johnson as fuel for his own argument:

[17]Ibid., 260.
[18]Ibid., 280.
[19]Ibid., 261.

> From the analyst's point of view, the first two categories are useless; if we have observed relationships in the piece, we hardly need the gratification of observing them in the sketches. ... Gossett's third category is a good deal more self-indulgent. To enhance conceptually a relationship that the composer has gradually weakened is to reverse the compositional process and substitute the sketches for the work—in short, to contradict his intentions.[20]

Thus, for Johnson, sketches have no direct relevance to analysis at all, but he did concede the relevance of sketch studies to the study of a composer's biography, and he made a clear distinction between biography and analysis in a way that echoed the views expressed by Fedele d'Amico. The wedge that Johnson drives between the finished product and its process of creation is based on the belief that a musical work is an autonomous structure, one which dictates its own terms of comprehension. The position was put quite succinctly by Richard Kramer in a response to Johnson's article when he wrote:

> It seems to me axiomatic that what in formal and substantive terms is excluded from the artifact (the finished work) is irrelevant to it and, necessarily, to the criticism of it ... [The sketches] cannot tell us anything about the relationships innate in and exclusive to the artifact itself.[21]

Kramer's response to Johnson further extends the discussion into the nature and role of musical criticism since Kramer included the concept of 'analysis' within the broader purview of 'criticism'. What Kramer meant by these terms was not explicitly defined, but he contrasted his view of criticism

[20] Johnson, "Beethoven Scholars," 16.

[21] Kramer, "Comment," 187. See also Johnson's reply on page 188.

with that of Johnson, who, he said, had a "tendency to dissociate the two."[22] Perhaps what Kramer meant by 'analysis', then, is the identification of the relationships that are "innate in and exclusive to" the finished work. Criticism then involves the extension of these previously identified relationships into the realm of interpretation—that is, of making sense or making meaning from them. While Kramer stated that he "does not mean to trivialise the task of the critic,"[23] he does, however, see it as a 'gloss' on the music which is 'expendable', and in so doing subordinates criticism to analysis. Kramer's views are therefore in accord with those of Johnson in that analysis is deemed a kernel activity which is essential to criticism but not, in turn, dependant upon it.

The dichotomy that Johnson establishes between the study of a work's genesis and the final product is in part supported by reference to the work of the nineteenth-century Beethoven scholar Gustav Nottebohm. Johnson, for example, asked why, if analytical problems relating to the finished works can be elucidated by the sketches, did "someone as capable as Nottebohm" not see the possibility.[24] Johnson quoted two lengthy passages from Nottebohm's work; one from *Ein Skizzenbuch von Beethoven*, and the other from the introduction to his posthumously published *Zweite Beethoveniana*. The first, from *Ein Skizzenbuch*, is as follows:

> If we perceive [the musical work] as an organic structure, then we must also assume that it came into being in an organic manner and developed from within into a unified whole. Now it is no

[22]Kramer, "Comment," 187: "Criticism—I include here, in spite of Johnson's tendency to dissociate the two—is, as an exponent of the text, as a gloss on it, expendable in a sense that the text itself is not."

[23]Ibid., 188.

[24]Johnson, "Beethoven Scholars," 13.

> doubt true that the sketch books, in which everything fixed and unalterable in the finished work appears hesitant and more or less labile, do reveal certain procedures relevant to the origins, invention, organisation, and the like. But in this regard we must accept that they also conceal a great deal, and that we learn least of all from them about those things we call organic. The impulse missing in them can be grasped only by abstraction. We seek it in the artist Beethoven himself—in the unity of his entire character and intellect, in the harmony of his spiritual powers.[25]

And the second, from *Zweite Beethoveniana*:

> This means that the sketches do not contribute to the understanding and actual enjoyment of a work. They are superfluous to the understanding of a work of art, certainly—but not the understanding of the artist, if this is to be complete and comprehensive. For they assert something that the finished work, where every trace of the past has been shed, suppresses. And this extra something that the sketches offer belongs to the history of his artistic development.[26]

The two assertions in this second extract, that sketch studies do not contribute to the understanding of a work, but are relevant to an understanding of the composer, are at first glance unequivocal in their support of the view held by Johnson, d'Amico and Kramer, but Thomas Whelan casts doubt on the matter by arguing that Nottebohm was trying to say something which is quite the opposite.[27]

In the first extract (from *Ein Skizzenbuch*) Nottebohm made it clear that he believed that sketches conceal at least as much as they reveal about the

[25]Gustav Nottebohm, *Ein Skizzenbuch*, (Leipzig, 1865), 7–8. As quoted in Johnson, "Beethoven Scholars," 5n4.

[26]Gustav Nottebohm, *Zweite Beethoveniana*, (Leipzig, 1887), viii–ix. As quoted in Johnson, "Beethoven Scholars," 5n5.

[27]Thomas More Whelan, "Towards a History and Theory of Sketch Studies" (Ph.D. thesis., Brandeis University, 1990), 128–133.

finished work. They reveal something about the "origins, inventions, organisation," but what they conceal relates to the very essence of the music as Nottebohm understands it; they conceal the "impulse" with which the music, as an organic entity, developed into a "unified whole." For this, according to Nottebohm, we must look to "the artist Beethoven himself." And this, according to the second extract quoted above, is precisely the role of sketch studies. In other words, what the sketches have to say about the finished work in terms of structure is superfluous, but to understand the essence of the music (Lockwood's "larger whole" and Gossett's "musical object") one needs to grasp the 'abstract impulse' behind the work by understanding Beethoven the artist.

As Whelan observed, Nottebohm did not distinguish analysis from the interpretation or understanding of music—in fact, he did not use the word 'analysis' [*analysieren*] in his writings about Beethoven at all. Whelan argued that the distinction that Nottebohm made between "the understanding and actual enjoyment of a work" and the "biography of Beethoven the artist" does not necessarily parallel the distinction that Johnson made between 'biography' and 'analysis'. Whelan wrote:

> ... there are clear nineteenth-century precedents for claiming that understanding the biography, and the external circumstances of the creation of a work, can be important for an understanding of the work. Secondly, the role of analysis in nineteenth-century writing about music is different from the role analysis has today.[28]

Johnson's recourse to Nottebohm to support the biography/analysis dichotomy, in which analysis presupposes an autonomous finished product, is

[28]Ibid., 128.

not as stable as it might at first have appeared, and Nottebohm's writings can only support the position of Johnson, d'Amico and Kramer if the distinction between the criticism (interpretation; broader understanding) of the work and the (structural) analysis of the finished product can be maintained. Whelan argues that it cannot. So, too, does Joseph Kerman, who saw the biography/analysis dichotomy as a microcosm of the more general question of the relevance of musicology to the understanding of musical works themselves.[29] Furthermore, if 'analysis' is separated from its critical context, it is left open to the criticism expressed by Fish that it "[cuts] off from [its] animating source, banks of data that are unattached to anything but their own formal categories, and are therefore, quite literally, meaningless."[30]

2.2.3 Analysis and the "epistemological *tabula rasa*"

Both Sighard Brandenburg and Joseph Kerman were critical of what they thought was the unacceptably narrow definition of analysis that was adopted by Douglas Johnson.[31] Brandenburg interpreted Johnson's definition of analysis as the establishment of relationships among the musical elements internal to the work itself.[32] Consequently, Brandenburg argued, such activity can only result in description since no external considerations can, by definition,

[29]Joseph Kerman, "Sketch Studies," in *Musicology in the 1980s: Methods, Goals, Opportunities*, ed. D. Kern Holoman and Claude V. Palisca (New York: Da Capo Press, 1982), 61.

[30]Fish, *Is There a Text*, 84.

[31]Brandenburg, Drabkin, and Johnson, "Viewpoint," 272: "For Johnson [musical analysis] is as narrow as that of 'biography' is broad." And Kerman, "Sketch Studies," 61: "For of course if analysis is defined as narrowly as Johnson ..."

[32]Brandenburg, Drabkin, and Johnson, "Viewpoint," 272. Johnson did not specifically define his conception of analysis in his article, so Brandenburg's reading of his position was probably derived from Johnson's statement: "The great growth of analytical technique in our century ... has led to a far more sophisticated discussion of internal relationships than was hitherto possible ..." (Johnson, "Beethoven Scholars," 13.)

be included, and it is these external, contextual considerations that allow analysis to move beyond description. In other words, without a contextual framework for understanding the significance of the relationships that are found within a musical work, it is not possible to do anything but describe the work. Brandenburg's response draws attention to the apparent aporia in Johnson's position, given that it is clear from Johnson's own words that he does not equate description with analysis.[33] However, Brandenburg's response might itself be a misreading of Johnson's views (and, by extension, those expressed by Kramer and d'Amico), in that Brandenburg assigned the internal/external dichotomy in Johnson's article to the process of analysis as well as to the object of analysis, yet nowhere in his article does Johnson equate the two. But the question remains as to what Johnson meant by analysis, and on what do the differences between the two perspectives, exemplified by Johnson on the one hand and by Brandenburg on the other, hinge?

One possibility is that the differences are purely semantic; Johnson and Brandenburg each mean different things by the term 'analysis', and their respective meanings need not be mutually exclusive despite the rhetoric of their polemics. While Johnson considers the domain of analysis to be the elucidation of those relationships that are internal to the finished musical work, Brandenburg advocates the inclusion of extra-musical considerations within the ambit of analysis. "Biography and musical analysis," wrote Brandenburg, "cannot be sharply distinguished from one another."[34] And the reason that they cannot be sharply distinguished is that the "criteria for the

[33]Johnson, "Beethoven Scholars," 16–17: "... tolerating description and explanation where they serve no real critical goals."

[34]Brandenburg, Drabkin, and Johnson, "Viewpoint," 272.

interpretation and appreciation of a particular work's musical structure must be derived from a consideration of the stylistic and biographical situation in which that work was written."[35] But the means by which decision-making criteria for any given analysis are derived does not need to affect Johnson's choice to limit the object of those decisions to the relationships found within the finished product. Brandenburg, however, wants the study of the means by which decision-making criteria are established to be included in the meaning of the word 'analysis', without which he sees the analytical endeavour as incomplete. As Joseph Kerman put it, "... analysis seems too occupied with its own inner techniques, too fascinated by its own "logic," and too sorely tempted by its own private pedantries, to confront the work of art in its proper aesthetic terms."[36]

Extending the work of analysis from intra-musical to inter-musical and other external considerations is to extend the notion of musical understanding to include its significance (Lockwood's "true significance"). Drawing on the work of Lucien Goldmann, the literary theorist E. D. Hirsch makes the distinction between meaning and significance clear:

> ... the term 'meaning' refers to the whole verbal meaning of a text, and 'significance' to textual meaning in relation to a larger context, i.e., another mind, another era, a wider subject matter, an alien system of values, and so on.[37]

The distinction between meaning and significance equates to the distinc-

[35]Ibid.

[36]Joseph Kerman, "A Profile for American Musicology," *Journal of the American Musicological Society* 18, no. 1 (Spring 1965): 65.

[37]Hirsch, *Aims*, 2–3.

tion between analysis and interpretation,[38] although the distinction is not as clear in music as it might be in literature because music does not have the same stability of semantic content or grammar, and consequently the widely understood conventions by which language communicates meaning cannot be said to apply in the same way to music.

This distinction between meaning and significance is what separates Johnson's 'internalist' attitude to analysis and Brandenburg's 'externalist' one. Johnson views analysis as the examination of a musical work in order to find out how the musical elements function together in order to create the meaning that is tacitly understood and experienced by the analyst. Brandenburg's position, by contrast, differs in that he is concerned with exploring the realm of significance—the way the music relates to "some context, indeed any context beyond itself" (to quote Hirsch).[39]

To refer again to literary theory, Jonathan Culler points out that this distinction precisely constitutes the difference between two modes of literary criticism, poetics and hermeneutics.

> Poetics starts with attested meanings or effects and asks how they are achieved. ... Hermeneutics, on the other hand, starts with texts and asks what they mean, seeking to discover new and better interpretations.[40]

[38] See also, Mark Sagoff, "Historical Authenticity," *Erkenntnis* 12 (1978): 83–93: "Notice that an *interpretation*, in so far as it can be said to differ from a *description*, differs in emphasis or purpose. It not only describes relational features of an object ... but it tends to go outside entrenched reference classes in order to focus attention on aesthetically interesting relations between the object and others with which it is not usually associated." (page 88, original italics.)

[39] Hirsch, *Aims*, 3.

[40] Jonathan Culler, *Literary Theory: A Very Short Introduction* (Oxford: Oxford University Press, 1997), 58.

In terms of musical scholarship, the differences between these two modes of analysis can be made quite clear by considering examples which emphasise each of these modes. The first, pointed out by Ian Bent in the preface to his book *Musical Analysis in the Nineteenth Century*, is Berlioz's analysis of Meyerbeer's *Les Huguenots*:

> ... when, confronted by 'bold and imposing' effects in the Act V trio of *Les Huguenots*, Berlioz pleads for 'time to reflect on my impressions', who are we to disparage his intention, which is 'to analyze them and discover their causes'. ... He was seeking ... to determine precisely how the terrifying and blood-curdling effect that he had observed came about. To take apart, and uncover the prime causes—is that not a type of analytical procedure?[41]

This illustrates the notion of poetics very clearly. In this case meaning was experienced by Berlioz in terms of the emotional impact of the music and this served as the point from which his analytical endeavour proceeded.

A contrasting example is Lawrence Kramer's study of the introduction to Haydn's *Creation*.[42] In this paper, Kramer, who "[contests] the formalist attitude on behalf of what has come to be called musical hermeneutics,"[43] states, with reference to the use of metaphor, that listeners are "empowered to find likenesses between the details, textures, or processes of the music and the designated object(s) of representation."[44] According to Kramer the representational metaphor, when "common in certain discourses," facilitates—

[41]Ian Bent (ed.), *Music Analysis in the Nineteenth Century*, vol. 1 (Cambridge: Cambridge University Press, 1994), xii–xi.

[42]Lawrence Kramer, "Music and Representation: The Instance of Haydn's 'Creation'," in *Music and Text: Critical Inquiries*, ed. Steven Paul Scher (Cambridge: Cambridge University Press, 1992), 139–162.

[43]Ibid., 139–140.

[44]Ibid., 141.

indeed, triggers—interpretation on the part of the listener, thereby inviting the listener to "[investigate] the discursive field in which the enabling metaphor is situated."[45] While the 'representational metaphor' functions both as a part of musical structure and as a cue for interpretation, music as a cultural 'trope' does not remain mimetic in function; rather it participates in cultural discourse because "[t]he music and the discourse do not enter into a text-context relationship, but rather into a relationship of dialogical exchange."[46]

Kramer's subsequent interpretation of the ways in which Haydn's *Creation* engages with different 'discursive fields' is, to refer again to Hirsch, to search out the significance of the music. The meaning of the music *qua* music is extended into a study of its relationships to both its own and to other cultural tropes, and these relationships create the context by which the music derives its significance. Kramer states that the music and the discursive field do not function as text and context, but the interpretation necessarily treats the music and its place within different cultural tropes as a text and a context.

Kramer's study is explicitly hermeneutic but he makes a distinction between music as likeness and music as structure, tacitly acknowledging the difference between the poetic and hermeneutic modes of musical analysis. His study alternates between the two, discussing the ways in which the musical elements define the structure of the music, as well as the ways in which the dominant cultural tropes can be seen to be represented or reflected in this structure. In doing so, Kramer demonstrates that the two are not necessarily

[45]Ibid.
[46]Ibid.

mutually exclusive.

The occurrence of similar shifts in analytical mode within any given analysis or interpretation was also pointed out by Christopher Butler with reference, again, to literary interpretation:

> There is ultimately no logically coherent or reasonable way of legislating in favour of one of these modes of interpretation to the permanent detriment of the other. What is at issue is the pragmatic ends which interpretation may serve ... In fact, almost all modes of interpretation inevitably move to and fro between the two.[47]

This alternation, or at least the recognition that the internal and external modes of analysis can each be co-participants in the same dialectic, is witnessed by two apparently irreconcilable comments in two contiguous paragraphs in the well-known book, *Analysis*, by Ian Bent:

> The primary impulse of analysis is an empirical one: to get to grips with something on its own terms rather than in terms of other things.
>
> [The central activity of analysis] is comparison ... Comparison is common to all kinds of musical analysis ... whether within a single work, or between two works, or between the work and an abstract 'model' such as sonata form or a recognised style. The central analytical act is thus the test for identity.[48]

If the central task of analysis relates to the establishment of identity, then external factors, or "other things" are a critical and integral element of analytical work because without them the concept of identity can have

[47]Christopher Butler, *Interpretation, Deconstruction, and Ideology* (Oxford: Oxford University Press, 1984), 54.

[48]Ian Bent, *Analysis* (New York: W. W. Norton, 1987), 4–5.

no meaning. The point here is not to criticise Bent's comments but rather to suggest that when he refers to getting to grips with something "on its own terms," he means limiting the object of the analysis to the score (or the finished product) in much the same way that I suggest was meant by both Fedele d'Amico and Douglas Johnson.

The differences between the view of analysis held by the 'internalists' and the view held by their counterparts, the 'externalists', need not be mutually exclusive. In practical terms, the differences reside in the scope of allowable relationships within the analyst's self-imposed limits of inquiry, and whether the 'pragmatic ends' (to refer to Butler) are aimed at establishing how meaning is created by the organisation and function of the musical materials themselves, or in the significance that music has in broader contexts. In practice the two intersect. If, however, the different points of view are placed in terms of the ideological convictions of autonomy versus heteronomy, then the two cannot be reconciled and made to intersect, and the number and type of contributions to the debate concerning the relationship between the sketch material and an analysis of the finished product is hardly warranted if the differences of opinion were not perceived to be manifestations of underlying ideological differences.

Brandenburg's response to Johnson is clearly based on his conviction that Johnson's ideas are essentially ideological, that Johnson subscribes to the belief that the finished musical work is phenomenologically autonomous and must be understood in accordance with terms which are innate to, and dictated by the work itself.

> Johnson's whole idea of musical analysis ... appears to stem from a romantically coloured concept of 'absolute music' ... the

> work—the Gestalt—is to be understood on its own terms ... since it follows generally accepted and eternally valid laws of composition ...[49]

This ideology of autonomy—that the music articulates "eternally valid laws of composition" that somehow transcend individual human experience and are therefore independent of human agency—carries no credibility for Brandenburg who, in turn, argues that "the specifically relational aspect of certain definite morphological characteristics of the work exists not in and through the work itself, but in the analyst's image of the work ... [The analyst] decides that certain definite morphological characteristics are in fact to be taken as relationships."[50] William Drabkin, in his response to Johnson, made the same point in the form of a rhetorical question: "... are not the analytical concepts we use when discussing single pieces formed in great part by our general knowledge of the composer's musical language and his techniques of composition?"[51]

Both of these responses explicitly reject the notion of the autonomous artwork which they believe underpins Johnson's thinking, although the real nature of his ideology in this regard is not made clear either in this article or in the subsequent reply to the responses that it prompted. There is no shortage, however, of other examples in musicology, as well as in other disciplines, where the ideology of the autonomous work prevails. For example, Allen Forte wrote:

> If I were to approach the study of a new repertory of music, one quite unfamiliar to me, I would adopt as an epistemological

[49]Brandenburg, Drabkin, and Johnson, "Viewpoint," 272.
[50]Ibid., 273.
[51]Ibid., 274.

> strategy a stance of 'phenomenological virginity' ... because it is the best way to start out. The *tabula rasa* ... still offers ... a clean slate upon which to draft new ideas.[52]

In this context, Brandenburg's denial of autonomy as ideology is understandable, especially considering that, according to Janet Wolff, the ideology of autonomy still occupies a position of hegemony in musicological discourse:

> The idea of aesthetic autonomy, constructed in specific historical and social circumstances, and reinforced by the critical and ideological practices of certain academic disciplines, is beginning to disintegrate ... The striking exception to all this, until recently, has been music.[53]

Since Wolff made this observation in 1987, a significant amount of scholarly writing has emerged which challenges the prevailing view of the autonomy of musical comprehension exemplified by Forte's epistemological *tabula rasa*. Ethan Haimo, for example, has shown the way in which one of Forte's own analyses contradicts his axiom that evidence external to the notes on

[52]Allen Forte, "Letter to the Editor in Reply to Richard Taruskin," *Music Analysis* 5, no. 2–3 (July/October 1986): 335. Many examples of this ideology of autonomy can found in musicology as well as other disciplines. For example, see Martin Joos, "Linguistic Prospects in the United States," in *Trends in European and American Linguistics*, ed. Christine Mohrmann (Utrecht: Spectrum, 1961), 17–18: "... the most troublesome rule of neo-Bloomfeldian methodology [was that] 'text signals its own structure' ... For if a language has a phonological structure, then by the axiom it has an autonomous phonological structure, namely all that structure (and nothing more) which may be described by stating what combinations of purely phonological elements are allowable and what combinations of them are forbidden in relation to each other (never in relation to anything outside the phonology, for example any part of the grammar of the same language)." And, in art criticism, see for example Clive Bell, *Art* (London: Chatto and Windus, 1947 [1914]), 25: "... to appreciate a work of art we need bring with us nothing from life, no knowledge of its ideas and affairs, no familiarity with its emotions."

[53]Janet Wolff, "The Ideology of Autonomous Art," in *Music and Society: The Politics of Composition, Performance and Reception*, ed. Richard Leppert and Susan McClary (Cambridge: Cambridge University Press, 1987), 8.

the score is irrelevant to the analysis of the music. After suggesting that choices of segmentation made by Forte in his pitch-class analysis of Schoenberg's op. 11 no. 1[54] are not the choices that other experienced analysts would have made, he then points out that Forte's criteria for segmentation is not based on caprice but on "those sets that have a special kind of significance (Schoenberg's signature (set class 6–Z44: Es–C–H–B–E–G), its complement, other favoured sets that appear in many of his works, and so forth). The rationale for the exclusion of sets is similarly consistent (chromatic lines, whole-tone scales, sets that properly belong to the repertoire of tonal music)."[55] And this, as Haimo points out, contradicts Forte's statement that knowledge of compositional intentions "to validate an analysis is an empty pursuit."[56] Haimo's critique of Forte's own analytical activity clearly casts doubt on the viability of Forte's '*tabula rasa*' and re-emphasises the contingent nature of musical analysis. As Leonard Meyer observes, "what we know literally changes our responses to a work of art."[57]

2.2.4 Summary

The debate in the 1970s and 1980s over the role that sketch studies might play in musical analysis stems in large part from the formalistic trends in analytical discourse prevalent in the mid to latter part of the twentieth century (particularly in North America), in which factors external to the 'finished

[54]Allen Forte, "The Magical Kaleidoscope: Schoenberg's First Atonal Masterwork, Opus 11, No. 1," *Journal of the Arnold Schoenberg Institute* 5 (1981): 127–168.

[55]Ethan Haimo, "Atonality, Analysis, and the Intentional Fallacy," *Music Theory Spectrum* 18, no. 2 (Fall 1996): 189.

[56]Allen Forte, "Letter to the Editor in Reply to Richard Taruskin," *Music Analysis* 5, nos. 2–3 (July/October 1986): 335.

[57]Leonard B. Meyer, "Forgery and the Anthropology of Art," in *The Forger's Art*, ed. Denis Dutton (Berkeley: University of California Press, 1983), 81.

product' were deemed irrelevant to its analysis. This isolation of the finished musical product from its various contexts allowed a conceptual distinction to be made between 'biography' and 'analysis', where Johnson, d'Amico and Kramer argued that the real role of sketch studies was in the domain of biography. Counter to this, Brandenburg and others argued that 'biography' (context) is ultimately inseparable from analytical work and therefore sketch studies are relevant to the analysis and understanding of a musical composition.

If the formalism that distinguishes the finished product from its context is based upon an ideology of autonomy, in which the finished product "signals its own structure" (to quote Martin Joos), then Forte's *tabula rasa* is the inevitable result—one which, as Haimo illustrated, can be readily challenged and shown to be ultimately untenable. However, if the term 'analysis' refers to the limits of the sorts of relationships that are considered (i.e., limited to 'internal' relationships or not), then the two positions expressed by Johnson, on the one hand, and Brandenburg on the other, are not mutually exclusive. Indeed, the very disposition to study 'internal' relationships independent of other contexts is itself a contingent aesthetic position.

At the colloquium at Saint Germain-en-Laye, Osthoff questioned whether sketch studies are primarily about understanding the creative psychology of the composer—of understanding how the composer worked—or about understanding the finished product. I suggest that it is both, and the concept that links the two is style.

2.3 Style

That style is an elusive, sometimes ambiguous, and consequently problematic concept to understand is a point that has been made many times by theorists in disciplines such as music, literature and the visual arts. Jenefer Robinson, for example, observed that "something can be an element of style in the work of one author and not in another," and Kendall Walton wrote that "we seem unable to make our minds up about what sorts of things have style."[58] These difficulties are further compounded by the realisation that, as Seymour Chatman pointed out, "many different things are often referred to by [the word] 'style'," thus adding the dilemma of polysemy to the list of difficulties that must be confronted when addressing issues of style.[59]

Stephen Ullmann, in his book *Style in the French Novel*, identified two main branches of stylistics (in this case linguistic stylistics) that emerged in the twentieth century.[60] The first evolved out of Ferdinand de Saussure's

[58]Jenefer Robinson, "Style and Personality in the Literary Work," *The Philosophical Review* 94, no. 2 (April 1985): 227; Kendall L. Walton, "Style and the Products and Processes of Art," in *The Concept of Style*, ed. Berel Lang (Ithaca, N.Y.: Cornell University Press, 1987), 72.

[59]See Seymour Chatman, "The Semantics of Style," *Social Science Information* 6, no. 4 (August 1967): 78. "Elusive" was the word used to describe the concept of style in papers written by Jenefer Robinson and jointly by John Spencer and Michael Gregory (Jenefer Robinson, "Style and Personality in the Literary Work," *The Philosophical Review* 94, no. 2 (April 1985): 227: "If we look at a literary style in the way I suggest, it will explain many of the problems that surround this elusive concept"; John Spencer and Michael Gregory, "An Approach to the Study of Style," in *Linguistics and Style*, ed. John Spencer (London: Oxford University Press, 1964), 59: "Style in literature is a recognizably elusive phenomenon"). Seymour Chatman also wrote that, "as everyone knows, 'style' is an ambiguous term" (Seymour Chatman (ed.), *Literary Style: A Symposium* (London: Oxford University Press, 1971), xi) and Stephen Ullmann started a paper on stylistics by pointing out that, "opinions differ as to what constitutes the essence of style" (Stephen Ullmann, "Stylistics and Semantics," in *Literary Style: A Symposium*, ed. Seymour Chatman (London: Oxford University Press, 1971) 133).

[60]Stephen Ullmann, *Style in the French Novel*, 2nd edition (Oxford: Basil Blackwell, 1964).

model of structural linguistics and was developed by his student Charles Bally.

Bally saw stylistics as the study of the expressive resources that can be found in language, an approach to style that was summarised by Ullmann as follows:

> The choice between two or more alternatives may be dictated by a variety of motives. If there are several words, several constructions, several grammatical forms, or even several ways of pronunciation, conveying the same meaning, we shall choose the one which is best suited to the emotions we wish to express or to arouse, to the tone at which we aim, to the kind of language—formal, colloquial, familiar etc.—which is appropriate to the occasion. ... At the risk of oversimplification, one might say that everything which, in language, transcends pure communication belongs to the province of style.[61]

The second branch of stylistics that Ullmann identified stems from the work of the Italian philosopher Benedetto Croce and is exemplified by the work of Leo Spitzer.[62] In this model style is conceived as the supervenience of individual expression upon artistic forms. Style then, according to this model, is individual expression manifested through the habitual use of characteristic traits and is identifiable in the artwork itself.

With regard to Bally's branch of stylistics, Ullmann made the following comment:

> The pivot of the whole theory of expressiveness is the concept of choice. There can be no question of style unless the speaker or writer has the possibility of choosing between alternative forms

[61] Ibid., 6.
[62] Ibid., 4.

> of expression. Synonymy, in the widest sense of the term, lies at the root of the whole problem of style.[63]

Even though he made this comment in the context of Bally's school of stylistics, it is equally applicable to that of Spitzer since, as Ullmann himself pointed out, the two are not necessarily mutually exclusive.[64] Individual choices, in the sense of Spitzer, draw upon the range of expressive options studied by Bally. The work of Spitzer can then be seen to nest within the wider domain of Bally's work rather than stand in opposition to it. This being so, Ullmann's observation that synonymy is central to the understanding of style can be taken as a statement of general validity irrespective of the individual strands of stylistics that he isolated.

If the possibility of synonymy in written or spoken expression is taken as axiomatic, then it is possible to say the same thing in more than one way, and, conversely, the same written or spoken form may be used to express different ideas.[65] The distinction between the form of an expression and its content is the fundamental premise of stylistics, and it is a result of this premiss that the choice of expressive form has come to be understood as style, while the content of the expression is understood as the idea, the thought, or the meaning of the expression.

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[63]Ibid., 6.

[64]Ibid., 4.

[65]As Nelson Goodman observed, perfect symmetry is not even required, "... only that what is said may vary nonconcomitantly with ways of saying." (Nelson Goodman, "The Status of Style," *Critical Inquiry* 1, no. 4 (June 1975): 800.)

2.3.1 Paul Mies

Paul Mies's study of Beethoven's sketchbooks adopts a view of style in which the musical idea and the form of its expression are distinct—the relationship between the two concepts is not isomorphic.[66] Mies's view was that Beethoven 'struggled' to find the right expression for the initial musical idea, he struggled to find the particular form which expressed the musical idea in a way that "corresponded to the spirit of Beethoven."[67]

> The basic idea had to find its suitable expression-motive, and the motive had to have the necessary adaptability to correspond to the idea. It is possible to explain Beethoven's rejection of so many themes only on the supposition that in such cases he found it impossible to get the required unity of expression and form.[68]

For Mies, the "expression-motive" is a specific musical motive that "the composer receives from his imagination as his reaction to some experience, and hastily entrusted by him to his sketch-books."[69] But the basic 'idea' for which the appropriate expression-motive was sought, remained undefined by Mies, although he hinted at its ineffability when he wrote that "the more 'special' the idea—I might even say, the less it belonged to the domain of music—the more difficult it must have been to effect this unity."[70] In Mies's study, however, he was concerned with the relationship between the expression-motive as manifested in the final version of the music since "it is

[66]Paul Mies, *Beethoven's Sketches: An Analysis of his Style based on a Study of his Sketch-books*, trans. Doris L. Mackinnon (London: Oxford University Press, 1929).
[67]Ibid., 151.
[68]Ibid., 152.
[69]Ibid., 150.
[70]Ibid., 152.

in the final selection that the individual features of [Beethoven's] style [are] most fully expressed."[71]

Mies's study was aimed at revealing what he referred to as 'style determinants', which are the rules, laws, or principles upon which the decisions about the best possible form of expression are based. By using the sketches, Mies traced the decision-making process and attempted to extract these principles and thereby understand the reasons why certain expressive forms were chosen over others, which, "in themselves ... do not seem inferior to many that he used."[72] In Mies's work there is a clear separation between the idea and its expression, and in support of this, at times antagonistic, dichotomy between expression and idea, Mies drew upon the work of Ernst Meumann, in particular his book *System der Ästhetik*. According to Mies, Meumann identified the following three aspects of artistic creation:

1. some experience that affects the artist in a greater or less degree and stimulates his mental life;

2. the urge compelling the artist to express what he has experienced (the expression-motive); and

3. the making of it something permanent by putting it in a concrete form appreciable by the senses through the medium of some definite art (representation- or work-motive, form-motive).[73]

Mies associated style with the factors that "unify" the basic ideas with the particular forms that Beethoven chose (work-motives). These factors,

[71] Ibid., 3.
[72] Ibid., 152.
[73] Ibid., 150.

determined by the "spirit of Beethoven," are what Mies conceptualised as style determinants. If Beethoven were to have assembled a range of options which accomplished the same musical function, and then selected one by some random process, then there would be no question of style in Mies's sense because the most suitable one was not selected in accordance with the "spirit of Beethoven." The element of choice is therefore incongruent in Mies's model of style because, in fact, there is no choice—only a *search* for the form which is the most suitable for the purpose. The search stops when the form matches the idea in a manner determined by Beethoven's individual style determinants. In this way, in terms of style, the musical idea and its form are not separable at all; style unifies the two. Synonymity as an axiom of style is therefore called into question in Mies's work.

2.3.2 Arnold Schoenberg

Like Paul Mies, Arnold Schoenberg also discussed style as an essence which is distinct and separable from the musical idea. In his essay "New Music, Outmoded Music, Style and Idea," he wrote that "[the composer] will never start from a preconceived image of a style; he will be ceaselessly occupied with doing justice to the idea. He is sure that, everything done which the idea demands, the external appearance will be adequate."[74] In this extract Schoenberg equates the external appearance of the music with its style, and this appearance, or style, emerges as a natural consequence of meeting the 'demands' of the idea. Schoenberg also wrote:

[74]Arnold Schoenberg, "New Music, Outmoded Music, Style and Idea," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein (London: Faber and Faber, 1975), 121.

> Every man has fingerprints of his own, and every craftsman's hand has its personality; out of such subjectivity grow the traits which comprise the style of the finished product. Every craftsman is limited by the shortcomings of his hands but is furthered by their particular abilities. On his natural conditions depends the style of everything he does ...[75]

The 'fingerprints' and 'personality' of the craftsman's hands, their abilities and shortcomings—their 'natural conditions'—stand as a metaphor for what Mies called the style determinants of the particular composer, and so that which the idea 'demands', according to Schoenberg, is its particular expression in accordance with the 'fingerprints' or personality of the composer—an expression which is a function of the composer's 'natural conditions'. Unlike Mies, however, Schoenberg leaves the concept of style with the particular dressing that the idea assumes and does not include the 'natural conditions' from which the stylistic traits emerge as an integral part of his concept of style.

The separation of style from idea in the case of Schoenberg, as was the case for Mies, is questionable and it is this very point that Naomi Cumming discussed in a paper titled 'What is Style?'[76] Cumming referred to another of Schoenberg's essays, "Criteria for the Evaluation of Music," in which, to evaluate a composition, he asks whether "the material [is] adequate with respect to the medium, and vice versa?," whether "heroic themes [are] ascribed to unheroic instruments such as flute, guitar and mandolin," and so on.[77] Cumming responded to this as follows:

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[75]Ibid., 121.

[76]Naomi Cumming, "What is Style?" *Studies in Music (Australia)* 19 (1985): 1–13.

[77]Arnold Schoenberg, "Criteria for the Evaluation of Music," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein (London: Faber and Faber, 1975), 124–

> Specific qualities or characters are ascribed both to the ideas of a work and to the orchestral instruments that could present them. Style is found in the matching of these qualities, and Schoenberg places critical aesthetic value on its efficacy although the quality is somehow peripheral to the idea. Would an idea be adequately communicated if it were ill-matched with an instrument? Apparently not. But if this is so, how can the quality be separated from the essence?[78]

For both Mies and Schoenberg it is the personality of the individual artist which links the idea with the form of its expression, and so becomes integral to their notions of what style is. Mies's work specifically acknowledges, and to some extent theorises, the role of the decision-making process (style determinants) in the concept of style, whereas Schoenberg does not associate style with process, only with the result of the process—with the external appearance of the music.

2.3.3 Hirsch and Goodman on synonymity

If synonymy is to be applicable to both Mies's and Schoenberg's conception of style, then the style determinants or the natural conditions of the artist must be sufficiently flexible to allow for alternatives which are equally suited to the adequate expression of the idea. In other words, the search for the most suitable expression in accordance with the personality of the artist must be replaced with a choice of equally suitable alternatives.

E. D. Hirsch defended the "variability of the relations between 'form' and 'content'," with particular reference to literary theory, in his paper titled

136.

[78]Cumming, "What is Style?," 2.

"Stylistics and Synonymity."[79] Hirsch addressed the problem of why certain literary traits are considered stylistic and others are not, depending on the context, and the solution that he proposed is that (linguistic) traits may be either aspects of style or aspects of content depending on the hierarchical level of the analysis.

> A linguistic phenomenon, it seems to me, can be called form or style when it is itself conceived as a vehicle for some further meaning. But that very same phenomenon can be called content when it is conceived as the representamen of a still lower-level phenomenon. ... Form and content are essential distinctions that are entirely relative to a level of linguistic description.[80]

Thus, Hirsch argued, the two words 'dogs' and 'cats' each end with different linguistic phonemes, *z* and *s* respectively, yet as morphemes they are identical since they both indicate the concept of plural: "their two different final phonemes are vehicles for the self-same morpheme. In other words, the style of the final sounds is different, but their meaning is the same."[81] This example is a microcosm of Hirsch's larger argument: the same idea, that of 'plural,' is expressed equally in two different ways by using two different phonemes and therefore, in Hirsch's terms, in two different styles. Thus, any given linguistic trait may be an element of style only with respect to the higher level of meaning for which the trait acts as a carrier. However, not all traits affect higher level meanings, and this was illustrated by an experiment that Hirsch conducted in which a prose passage used the terms 'bachelors'

[79]E. D. Hirsch Jr., "Stylistics and Synonymity," *Critical Inquiry* 1, no. 3 (March 1975): 559–579.

[80]Ibid., 565.

[81]Ibid., 566.

and 'unmarried men' in equal numbers. Native English speakers, Hirsch reported, identify the two terms in the given context as perfectly synonymous. In other words, the two different linguistic phenomena—the two different styles—both express exactly the same meaning.

While Hirsch's defense of synonymity is perfectly cogent, its connection with the concept of style is less convincing. His argument is based on the premiss that style is "the linguistic form of an utterance considered apart from its meaning,"[82] and as long as the linguistic form participates in the conveyance of 'higher level' meaning (with which it is not isomorphically bound) it can be considered an element of style. This conception of style, however, totally eliminates the element of individuality, which was so prominent in the work of Mies. If, to take Hirsch's example, a writer expresses the plural of 'dog' by writing 'dogs', it is difficult to understand how this might be considered an element of style (irrespective of its relationship to meaning). If, however, the writer chose to express the same idea by writing 'more than one dog' then it is more likely to be considered a feature of style because the writer evidently decided that the common, and simplest, form of expressing plural was not adequate to his or her expressive needs. The form did not match the idea in accordance with the individual 'style determinants' of the writer, and it is those features of an artwork that allow the identification of style and its attribution to an individual artist.

In contrast to Hirsch, one scholar who finds the idea of synonymity to be suspect is Nelson Goodman. In his article "The Status of Style," Goodman systematically destroyed the notion that style is the form of how something is said (and therefore a function of choices between synonyms) and argued

[82]Ibid., 564.

that "style consists of those features of the symbolic functioning of a work that are characteristic of author, place, period, or school."[83] His definition neatly avoids locating style as a feature of content or of form since it can be both, provided it is part of the 'symbolic function' of the work, and this symbolic function, as a feature of style, "may be a feature of what is said, of what is exemplified, or of what is expressed."[84] Identifying the symbolic function, however, presents its own sets of problems and in this regard it is unclear as to whether any progress is made with the problem of locating style since Goodman defers the problem of identifying stylistic features to the problem of identifying symbolic functions.

> Now admittedly, while what is or is not exemplified by a tailor's swatch is evident enough, just which properties are exemplified by a work of art or a performance is often difficult to determine.[85]

Goodman's contribution, however, is significant because he showed that form and content do not equate to style and idea. "The distinction," Goodman wrote, "between stylistic and nonstylistic features has to be drawn on other grounds."[86]

2.3.4 Leonard Meyer

Leonard Meyer was also critical of the view that synonymity is an axiom of style. In his book *Style and Music* he wrote that "... were style dependant upon synonymity, then nonsemantic arts such as music, architecture,

[83]Goodman, "The Status of Style," 808.
[84]Ibid., 806.
[85]Ibid., 809.
[86]Ibid., 802.

and abstract design could not be thought to be in identifiable, describable styles—as they obviously are."[87] For Meyer, the equation of style with formal characteristics is to confuse the means by which styles can be identified and classified with their explanation or analysis. Meyer, however, retains the element of choice in his formulation of what style is, but he argues that artistic choices are not predicated on the existence of synonymous means of expressing the same idea, rather on the choice of alternatives that are established by sets of constraints within a system. In this regard, Meyer's work is comparable to the work of Charles Bally, but where Bally limited his range of expressive resources to those afforded by language—by the artistic medium—Meyer saw the range of expressive options available to composers to be in a constant state of flux, subject to changing socio-cultural, aesthetic, and intellectual paradigms.

Meyer's theory is based on a hierarchy of layers that separate the types (and functions) of constraints that are in place in any given time and context. His highest level, 'laws', are universal and transcultural, and relate to the psychology and physiology of human perception—of human cognition generally—and thus limit the range of expressive options to those which are humanly possible. His second level is that of 'rules': the different rules in effect in any one time and place are what differentiate the periods of art history such as medieval, renaissance, and baroque.[88] The last level is 'strategies', which are the particular manifestations of the stylistic rules—the particular ways in which the rules are employed in specific compositions and schools of composition. A large part of his book is devoted to the exploration of these

[87]Leonard B. Meyer, *Style and Music: Theory, History, and Ideology* (Chicago: University of Chicago Press, 1989), 7.
[88]Ibid., 17.

three layers of style in the range of constraints that characterise the music of the romantic period.

Meyer, then, defines style as "a replication of patterning, whether in human behaviour or in the artifacts produced by human behaviour, that results from a series of choices made within some set of constraints."[89] In this definition Meyer allows for the occurrence of style features in human behaviour as well as in the formal features of the artwork itself, and in so doing opens the possibility of locating style in the activities of the artist as much as in the artworks themselves. The relocation of the boundaries of style from the artwork alone to include the artist is not unique to Meyer since it is also part of Paul Mies's conception of Beethoven's style, but Meyer understood style determinants in terms of socio-aesthetic phenomena rather than as individual manifestations of an independent artistic personality, which was essentially Mies's view.

In Meyer's theory of stylistic levels, the most complex relationships occur between the levels of rules and strategies—between the available expressive resources and the particular ways in which they are used. Understood in this way, style is a dialectic between different levels of generalisation of systems of constraints. Thus for Meyer, style determinants are not the result of the transcendental *geist* of the individual, but are phenomena which exist within a broader set of determinants within which the individual artist works. This is not to exclude the role of individual personality, but to situate it dialectically between the individual and his or her temporal and cultural space.

[89]Ibid., 3.

2.3.5 Richard Wollheim

Richard Wollheim distinguishes between the individual and the context (or system of conventions) in his article 'Pictorial Style: Two Views' when, in the first paragraph, he claims that there are two types of style: 'general' and 'individual'.[90] Meyer makes use of hierarchical structures to explain style as a single phenomenon which comprises several layers of reference, and for him the distinction between the work of an individual and the collective works of a school or period are explained by reference to the particular hierarchical levels. Wollheim, on the other hand, uses the same concept of hierarchy (although he refers to different 'forms' rather than levels) only with reference to 'general' style. For him this type of style is conceptually distinct from the style of individuals and so the latter cannot be adequately explained by reference to the former, and Wollheim's paper focusses primarily on the nature of individual style.

Individual style, according to Wollheim, has three characteristics:

1. it is a precondition of aesthetic interest;

2. it is a precondition of expressiveness; and

3. it has psychological reality.

The essence of the first characteristic is that the artwork, for it to be of aesthetic interest (and here Wollheim refers specifically to paintings), must be the product of "someone with a formed style," a claim that is supported by Kendall Walton's argument that for something to have style it must be

[90]Richard Wollheim, "Pictorial Style: Two Views," in *The Concept of Style*, rev. and enl., ed. Berel Lang (Ithaca, N.Y.: Cornell University Press, 1987 [1979]), 183.

the product of human activity.[91] Here, Wollheim takes it a step further with the assertion that the presence of style in such a product is a precondition for aesthetic interest.

Wollheim's third criterion, that individual style has "psychological reality," is the focal point of Wollheim's argument since it is the primary characteristic for defining individual style as well as the reason why individual style cannot be subsumed into the hierarchy of general style. Wollheim argues that if an artwork is to have a connection to the psychology of an individual (c.f. Mies's style determinants) then it must contain elements which are "dependant upon processes or operations" which characterise the actions of the artist or the means by which the artwork was created.[92] A description of individual style then "groups these elements into stylistic features ... according to the processes or operations that they are dependant upon."[93] Wollheim refers to this as the "generative" conception of style, and he contrasts it to the "taxonomic" conception, which is essentially a list of features that are commonly present in the object, or outcome, of an artist's work.

Wollheim argues in support of the generative conception of style, in which style processes comprise three parts:[94]

1. a schema;

2. a set of rules; and

3. a disposition to act upon the rules.

[91]Ibid., 188. See also Walton, "Products and Processes."
[92]Wollheim, "Pictorial Style," 190
[93]Ibid.
[94]Ibid., 191.

By 'schema', Wollheim refers to the set of expressive resources upon which the artist can draw. This, too, has a strong resonance with the linguistic stylistics of Charles Bally, but Wollheim makes it clear that the two are different when he wrote:

> ... sometimes what is most distinctive about a style is the way in which it segments—that is, the particular way in which it either conjoins or isolates items in—the pictorial resources. So, for instance, in the work of one artist (Leonardo), line and shading might be taken together as forming a single resource, whereas in the work if another (Raphael) they might be separately exploited so that they come to make distinct contributions to the whole.[95]

The second part of Wollheim's conception of individual style—rules—then define how an artist utilises the resources of the schema, according to that artist's individual disposition. This disposition is his third element of individual style. Wollheim regards 'disposition' as the difference between having a style and working in a style. Artistic disposition and the formation of the style rules act as a single process such that the style rules might be said to be the result of artistic disposition. For general styles to be identifiable there must exist a body of work by individual artists (with individual styles) from which the characteristics of the general style can be discerned—characteristics which, as Leonard Meyer demonstrates, are not to be considered intrinsic to art but are more generally in concert with the paradigms and practices which prevail in other areas of the culture, under whose aegis general style resides. On the other hand, individual style presupposes the existence of general style, which is the means by which any individual style

[95]Ibid., 191–2.

can be recognised as unique. Both modes of style derive their significance from the other, yet the two are distinct, and it is this distinction that allows an individual artist to occupy space 'within' a style while also 'having' style (that is, individual style). Both individual and general style results from this dialectic: an individual artist's style is defined in relation to the set of normative conventions within which the artist works.

The musicologist Christoph Wolff approached this notion of style when he said that "the abstract definition of musical style as the combination of distinctive features characteristic of a certain musical object disregards the dialectic tensions inherent in the term, namely the tensions between variability and invariability, normalisation and individualisation, as contrasting but interrelated poles."[96] For Wolff the defining characteristic of the normative is invariability, and it is clear that he was thinking of invariability in terms of the constancy of the ways in which various musical elements are used—constancies which serve to discern and define general styles. The work of Leonard Meyer and others suggests, however, that it is not only the constancy of the ways in which musical elements are used but, more significantly, the constancy of the reasons why musical elements are used the way they are in any given style.

Wolff's paper is short and only briefly touches on these ideas as he attempts to place the notion of style in the context of the history or etymology of the word. His aim, however, is to suggest a framework for a methodology of style analysis which is based on understanding style as a dialect between

[96]Christoph Wolff, "Towards a Methodology of Dialectic Style Consideration: Preliminary Terminological and Historical Considerations," in *International Musicological Society: Report of the Eleventh Congress Copenhagen 1972*, vol. 1, ed. Henrik Glahn, Søren Sørensen, and Peter Ryom (Coopenhagen: Willhelm Hansen, 1974), 77.

the normative and the individual. He refers to the normative aspect as "style criticism", and to the relationship that the individual has with the normative, or general, as "style analysis."[97]

Wollheim's separation of individual from general style is a significant contribution to discourse about style and draws together many of the threads that constitute the manifold approaches to style over the course of the past century. In Wollheim's theory, individual style is recognised as related to, but distinct from, general style, of which the latter can be characterised taxonomically, but not the former. It explains the relationship between style, aesthetic value and human action, and provides a concrete answer to the question of what style might be if it is not the 'form' of expression. That his theory has been influential is indicated by the subsequent work on style by people such as Jenefer Robinson and Peter Lamarque.

2.3.6 Jenefer Robinson and Peter Lamarque

Jenefer Robinson engaged with Wollheim's theory of style in a manner that both defended and extended it in a series of articles that she wrote between 1981 and 1985.[98] In the first of these articles, Robinson addressed the nature of the relationship between an art historian and an art critic, and argued that the keystone of this relationship is the respective role that style plays in each of their activities—a relationship that she summarised as follows:

[97] Ibid., 78–9.

[98] Jenefer M. Robinson, "Style and Significance in Art History and Art Criticism," *Journal of Aesthetics and Art Criticism* 40, no. 1 (Fall 1981): 5–14; Jenefer Robinson, "General and Individual Style in Literature," *Journal of Aesthetics and Art Criticism* 43, no. 2 (Winter 1984): 147–158; Jenefer Robinson, "Style and Personality in the Literary Work," *The Philosophical Review* 94, no. 2 (April 1985): 227–247. Robinson engaged in particular with Wollheim's, articles "Expression" (1973), "Style Now" (1974), and "Pictorial Style: Two Views" (1979).

> It is impossible to figure out the style of a painting unless we know that it has aesthetic significance and what that significance is. Insofar, therefore, as the art historian seeks to know the style of a work, he relies essentially upon the art critic whose job it is to analyze its significance.[99]

In positing this relationship Robinson argues that 'style' is the link between matters of fact and matters of value, paralleling the dichotomy over which Johnson and Brandenburg argued in relation to sketch studies. Robinson's thesis is that:

> In his search for historical facts about art works, the art historian relies on various kinds of data, ranging from documents contemporary with the art work to the results of present-day chemical analysis. One of the most important pieces of data which he considers, however, is the style of the work in question. It is largely in virtue of the style of a work that the art historian is able to "place" it in history. ... However, what style a work is in is an interpretative question; it is not a matter of fact which can be determined by solely empirical means. This is because the style of a work cannot be determined independently of its "meaning" or "significance" ... In determining what a painting means, the art critic is in turn dependent upon the work of the art historian, since frequently it is impossible to determine what a painting expresses or what it represents unless one knows something about the history of the painting and in particular its place in the history of style ...[100]

The relationship between the facts and the interpretation or significance of those facts is, according to Robinson, a symbiotic one, and this was the point that Lockwood tried to make at the I. M. S. colloquium when he referred to

[99]Robinson, "Style and Significance," 10.
[100]Ibid., 6.

the role that sketch studies have in understanding the "larger whole" of the musical work.

Robinson's conception of style expressed in this article is adapted from Wollheim's notion of individual style. For Robinson, an artist's style is found in the *way* the artist treats the elements of the artwork: "What matters to the style of a painter is not the mere fact that he employs perspective but the way in which he uses it and the way in which it contributes to the aesthetic significance of his work."[101] And this is an argument that she maintains throughout her subsequent articles.

Her article "General and Individual Style in Literature" is an explicit attempt to defend Wollheim's theory that the distinction between individual and general style hinges on the presence and absence, respectively, of his concept of psychological reality. Robinson argues that general style can be understood taxonomically as a set of perceptible characteristics that can be extracted from many different artworks. Individual style, however, is based on characteristic *ways* that individual artists use the conventions that are available to them. On this hinges the further distinction between those artists who have individual style and those who do not. As Robinson wrote, "the minor poet of this period style may adopt the 'right' conventions but he does not *use* them to convey his own concerns, views and attitudes: his poems do not express anything of his own individuality."[102]

Once again, in "Style and Personality in the Literary Work," Robinson further defended the thesis that "style is essentially a way of doing something and that it is expressive of personality ... [and what counts as] elements

[101]Ibid., 9.
[102]Robinson, "General and Individual Style," 152 (original italics).

of style are precisely those elements which contribute to the expression of personality."[103]

Robinson's adaptation of Wollheim's theory was taken one step further by Peter Lamarque, who argued that individual style is not only the way in which general style characteristics are used to express individuality, but it is also the *reason* that artists use the elements of their medium in the way that they do. As Lamarque expressed it, "to imitate a style at this deeper level it is necessary to reproduce as far as possible the conditions that explain and make sense of surface features."[104] In other words, Lamarque argues that it is not just *how* artistic attributes are used, but *why*.

To argue his position, Lamarque considered two cases: parody and forgery. In the first case—a very clever parody of Henry James's writing style by Max Beerbohm—Lamarque suggested that the parodist "must recognise not only *how* the subjects express themselves but also, in a sense, *why* they express themselves in that way."[105] Lamarque suggests that the reason that we laugh at the parody but not at the original is because of the different intentions of the writers, both of which are known. So the reasons for the surface characteristics of each are different, and therefore they are stylistically different, permitting quite different responses to each.

Lamarque's second example is taken from Van Meegeren's celebrated forgeries of Vermeer. Lamarque stated that in the end "the forgery fails, and it is precisely a failure in style."[106]

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[103]Robinson, "Style and Personality," 228.

[104]Peter Lamarque, "Imitating Style," in *Aesthetic Matters: Essays Presented to Göran Sörbom on his 60th Birthday*, ed. Lars-Olof Åhlberg, and Tommie Zaine (Uppsala: Enheten för Kulturstudier, Uppsala Universitet, 1994), 85.

[105]Ibid., 82.

[106]Ibid., 84.

> When Vermeer used the *pointillé* effect in *The Milkmaid* he was experimenting and innovating in an attempt to depict the way that sunlight surrounded by shadows is transformed visually into patches and spots of pure light ... Van Meegeren's concern is less to give a naturalistic depiction of light as a convincing imitation of Vermeer. To explain what Van Meegeren is doing, and how well he succeeds, we must make essential reference to his desire for effective deception. To explain what Vermeer is doing we must invoke his aesthetic intentions with respect to the depiction of light ... In this regard their actions fall under quite different descriptions even though the observed outcome is similar in both cases.[107]

The different intentions of Van Meegeren and Vermeer are the reasons why their work "falls under quite different descriptions," and this is the essence of Lamarque's extension of the Wollheim/Robinson theory of individual style. According to Lamarque, "stylistic features ... are emergent properties that apply to an object only *under a description*, relative to facts about expressive purpose, aesthetic function, and artistic category."[108]

Igor Douven, in his article 'Style and Supervenience' endorses Lamarque's argument, and expressed it in the following way:

> To identify a style we must also ask what *underlies* or *explains* these features ... Applied to our example, we can say that, although it is no characteristic of Mozart's style *that* he begins a final movement with the second violins only, *why* he does so in the case of his Symphony no. 31 *is* characteristic.[109]

[107]Ibid., 84.

[108]Ibid., 84 (original italics).

[109]Igor Douven, "Style and Supervenience," *British Journal of Aesthetics* 39, no. 3 (July 1999): 262n9. (Original italics.)

2.4 Conclusion

Professor Osthoff queried whether studies of compositional sketches primarily concern the "creative psychology" of the composer, or whether they concern the understanding and interpretation of the music—the finished product of the compositional process. He posed the question in terms of an 'either/or' dichotomy (sketch studies is *either* about the composer *or* about the music) but research into the nature of artistic style suggests that such a dichotomy is unwarranted since Osthoff's two options are both integral to understanding the music and its significance in broader terms. Lewis Lockwood hinted at this very point at the same time that Osthoff made his comments, but he did not relate the "true significance" of the music, or the position of sketch studies in terms of an abstract "larger whole," to the concept of style.[110]

Theories about style are divided, in the first instance, by those that consider synonymy as a central element of style and those that do not. E. D. Hirsh Jr. defended the role of synonymy by constructing a theory in which an element of style is contingent upon its relationship to higher (or lower) levels of meaning. However, as Leonard Meyer suggested, such a concept of style is difficult to defend in relation to the non-semantic arts such as music, where determinations of specific levels of meaning are problematic at best.

[110]Perhaps this is partly attributable to the questionable status of 'style analysis' in musicology in the 1970s, a view articulated by Peter Westergaard: "I must confess that when our chairman asked me to contribute to a panel on "Stylistic Analysis" I was somewhat alarmed. In my business "stylistic" and "style" are dirty words. Of course we use them, but rarely with serious intent, and if in print, well insulated by quotation marks." (Peter Westergaard, "On the Notion of Style," in *International Musicological Society: Report of the Eleventh Congress Copenhagen 1972*, vol. 1, ed. Henrik Glahn, Søren Sørensen, and Peter Ryom (Coopenhagen: Willhelm Hansen, 1974), 71.)

Paul Mies's conception of style was not based on synonymy, but on the relationship between what he called "style determinants" and "expression-motives." The style determinants were the factors that determined the way in which the expression motives were worked into the final form of the music (the work motive). Mies's concept of style determinants rejects the applicability of synonymy since the options that Beethoven rejected were *not* equal. This determination of what to reject and what to retain was the function of Beethoven's style determinants, a concept that parallels Wollheim's notion of the 'psychological reality' of style.

Wollheim's 'generative' theory of individual style, and its subsequent extensions by Robinson and Lamarque (in turn summarised by Douven), present a concept of style which is characterised by the *means* by which the artwork was created, by the reasons that particular decisions are made in the creation of the work, and not on the characteristics of the finished artwork alone. In this sense, "style" is the abstract "larger whole" to which Lockwood referred, and in the understanding of which musical sketch studies have a critical role to play.

In relation to Banks's music, an understanding of his style, then, necessarily means understanding *what* he did in order to create his music. It is to that end that the subsequent chapters of this thesis are directed, but not only to understand what he did but also to account for the *reasons* that he wrote music in the way that he did in terms of the specific influences of his main composition teachers.

Chapter 3

The studies with Seiber

3.1 Introduction

There is no question that the studies that Banks undertook with Mátyás Seiber in 1950–51 were influential in the development of his skills as a composer; the fact that this period of study saw the composition of the piece that was to launch his career (the *Duo for Violin and Cello*) as well as the composition of his first published work (the *Sonata for Violin and Piano*), is alone enough to indicate that it could not have been otherwise. What is in question, however, is the exact nature of that influence and its significance in terms of the ongoing development of his compositional style. To that end, this chapter offers an account of Banks's studies with Seiber in 1950 in order to address the specific questions of what Seiber taught, how he taught it, and of how his teaching method and practice were exemplified in the work that Banks did with Seiber during this time. The purpose of this account is to clarify the principal aesthetic and technical goals that Seiber encouraged, and to relate those goals to the compositional methods and techniques that Banks adopted under Seiber's tutelage, and upon which Banks continued to build throughout the 1950s.

3.2 Background

The necessity to leave Australia in order to continue his musical education, and to pursue a potential career as a composer, was impressed upon Banks by A. E. H. (Arthur Ernest Howard) Nickson, his first composition teacher at the Melbourne Conservatorium of Music in the late 1940s. Banks recalled that as he approached the end of his diploma Nickson asked him to "think

seriously" about going overseas to further his studies instead of continuing on to a degree course in Melbourne.[1] Banks specifically acknowledged Nickson's influence on his decision to leave Australia, but the influence of his second composition teacher at the Conservatorium, Dorian Le Gallienne, would have been equally significant since it was Le Gallienne whom Banks took to be a "model of a working composer."[2]

Banks lamented the fact that there were no such models available to him in his youth in the 1930s, and went so far as to suggest that this was a contributing factor to the loss of interest in music that he experienced while he was a teenager—a loss that was eventually countered by the emergence of his interest in jazz music.

> ...I think what disturbed me ...is that there was no model for me as a composer. ...I remember Arthur Benjamin telling me this in London, that as a young man, I think, when he was actually working in a piano store demonstrating pianola rolls, that he was firmly convinced that all composers were dead and there were no live composers. I felt the same way, I felt the lack of a model. You see, I think a composer does need a model in his early days, he does need the experience of knowing that people are actually writing and composing music. My frustration came that eventually I tired of being a performer ...therefore I lost interest in musical studies ...[3]

Although Banks was later to claim that he had no specific arrangements in place for the continuation of his musical studies when he travelled to England in February 1950,[4] it was not because he had made no attempt to make such

[1]Donald Banks, Transcript of interview by Hazel De Bergcite, 12 August 1972, Oral History Collection, National Library of Australia, Canberra, 7707.
[2]Ibid., 7706.
[3]Ibid., 7701–2.
[4]Ibid., 7708.

arrangements. In 1949 Banks wrote to Sir George Dyson, who was then the director of the Royal College of Music in London, asking for admission to the college to study composition with Herbert Howells and orchestration with Gordon Jacob.[5] That it was the Royal College of Music where Le Gallienne had gone to study less than a decade earlier, and to where he returned himself for further studies in 1951, and that it was Gordon Jacob with whom he studied on both occasions, is a clear illustration of the influence that Le Gallienne had on Banks.[6]

As part of his application to the Royal College of Music, Banks enclosed copies of the scores of two of his compositions: a 'Piano Sonatina' (referred to as the 'Piano Sonata' in his application) and a 'Fantasy for String Orchestra', but the application was rejected on the grounds that these compositions demonstrated that he was already too advanced for them to be able to offer him the continued education that he sought. Despite this rejection, however, within a few months of completing his diploma in Melbourne, Banks and two of his fellow students, Ian Pearce and Ivan Sutherland, arrived in England and prepared themselves for the next stage of their musical eduction.

After settling in to a house in Surrey, Banks sought the advice of Arthur Benjamin, an expatriate Australian composer living in London whom Banks referred to as the "doyen of Australian composers."[7] In his interview with De Berg, Banks recounted how Benjamin, after looking at some of his early compositions, suggested that he approach Mátyás Seiber for private lessons.[8]

[5] A draft of this letter can be found in the Don Banks Collection, `f1p1i4`.

[6] Thérèse Radic, "Le Gallienne, Dorian Leon Marlois," in *The Oxford Companion to Australian Music*, ed. Warren Bebbington (Melbourne: Oxford University Press, 1997), 333–4.

[7] Banks, Interview, 7708.

[8] Ibid.

Banks did not act upon this advice immediately, but on the 27th of April 1950 he heard the first broadcast performance of Seiber's cantata, *Ulysses*, at the BBC studios at Maida Vale,[9] and the impression that it made upon him prompted Banks to make the initial contact with Seiber. Within three weeks of hearing this performance, Banks had started his studies with Seiber.[10]

3.3 Seiber's teaching philosophy

Seiber gave a clear account of his approach to teaching composition in a talk that he gave at an I. C. A. Composer's Concourse in London on the 23rd of May 1955.[11] The two main elements of his approach are what he referred to as the "essential things" combined with "basic principles."

3.3.1 Essential things

Seiber both started and ended this talk by referring to the fact that he relied upon no 'system' of teaching or of composing because every student differed in what he or she knew and in the skills that he or she already had, and since

[9]Ibid., 7708–9. This performance took place on 27th of April 1950 and was broadcast on the BBC Third Programme as part of a series entitled 'Contemporary Music'. (Confirmed by personal communication with the BBC Written Archives Centre (9th of July 2002): "... the first broadcast performance of [*Ulysses*] took place on the 27th April 1950 (9.35–10.20pm) on the BBC Third Programme as part of a series entitled 'Contemporary Music'. The performance was indeed broadcast from the Maida Vale studios and was arranged in co-operation with the London Contemporary Music Centre. The performers were Trefor Jones (tenor), Joseph Cooper (piano), London Philharmonic Choir, BBC Symphony Orchestra, Jean England and Eileen McLoughlin (sopranos) and the concert was conducted by Sir Adrian Boult.")

[10]This timing is determined by the known date of the performance and the first dated sketches of Banks's studies with Seiber. See page 72.

[11]A transcript of this talk can be found in the Don Banks Collection, `b4f33`. All subsequent quotations of Seiber in this chapter refer to this transcript, unless otherwise indicated.

Seiber's objective was to teach the student what he or she did not know, the teaching strategy adopted for each student was necessarily different and no system of teaching could accommodate those differences. By way of example, Seiber described three generalised student types that he had encountered and commented on how his teaching varied to accommodate the strengths and weaknesses of each student type. In the first example, the student is unable to extend an initial idea beyond the first two bars of a composition. "In cases like this," Seiber stated, "I would give him several exercises for motif-development and variation; show him how many possibilities are inherent in his initial idea, and make him develop it in many different ways." The second student type has the opposite problem in that he or she "rambles on, gets loquacious, repetitive, and hounds to death his slender ideas." In this case Seiber's strategy was to impress upon the student a "greater degree of self-criticism" in order that the student might better realise "when an idea has given out all there is in it ... and that it is time to change the subject." And the third student type is one who gets stuck by repeating a single idea, ostinato, or texture. In these cases the objective for Seiber was to "loosen up" the student's writing in order to encourage variety, and, if too loose, to "show him how by unifying principles he might get greater coherence and solidity."

In all three of these generalised instances, Seiber was concerned with what he called the "essential things"—with the way the student worked with the initial compositional idea in order to draw from it all of its implications, and to balance them with appropriate variety.

The type of discourse that Seiber adopted in his outline of the "essential

things" embodied what amounts to an ethical responsibility on the part of the composer toward the compositional materials—a responsibility to draw out the implications of the material while avoiding stagnancy caused by lack of variety. For example, the idea that musical ideas might be 'hounded' implies unfairness toward the idea, which is a transgression of the ethical responsibilities of the composer. Or that the material can "give out" all that it has despite its "slender" stature implies a certain respect that must be adopted toward the materials as a consequence of them effectively giving their lives to the composer. Similarly there is the suggestion that if one fails to draw out all of the compositional implications of the idea then those implications will remain latent within the idea, never to be realised and therefore wasted, which is a another transgression of the responsibilities of the composer toward the ideas.

Behind the ethical overtones of Seiber's choice of words is an aesthetic position that had a long-term impact on Banks's work, which will be more fully explored in subsequent chapters, but an indication of the importance of this influence can be seen in the way Banks adopted the expression "obligation of the motive" in his own description of the concept of the "essential things" in a set of notes that he made for a talk on his own works and life as a composer:

> So I've established that I believe I'm a composer—I have a certain attitude to my craft which perhaps I can best express as "respect for your musical material." In the same way as Schoenberg refers to the "obligations of the motif" i.e. the tendency or inclination of the motif to develop in a certain way—then I would refer to the "obligation of the composer" not to sell his material short—to see that these "cells" of musical material are developed and brought

into a fruitful existence as a living piece of music.[12]

3.3.2 Basic principles

In his talk Seiber outlined two basic principles to which he adhered, and together these two principles accounted for, and justified, a teaching method that was based primarily upon the analysis and imitation of model compositions from selected past masterworks of Bach, Haydn, and Brahms.[13]

The first of Seiber's basic principles was that "learning or teaching composition is a purely practical matter ... which can be best learned by imitation, like other crafts." In an analogy that Banks himself later used, Seiber likened composition to making shoes: "Just as a shoemaker learns step-by-step how to cut the right size of uppers so as not to pinch, how to make joints which don't creak etc., so the student must learn how to present ideas, how to lead from one to the other, how to join etc." And just as a shoemaker learns his craft by being apprenticed to a master shoemaker and learning on the job by imitation, Seiber likewise believed that the best way of learning composition is by imitating the work of master composers. He thought that "the composition student should be a kind of apprentice who could be given small tasks, small details in the master's work, and then corrected by the master

[12]Don Banks Collection, `f2p6i12`. These notes are appended to a set of analytical notes that Banks prepared on his composition *Pezzo Dramatico*. These notes are hereafter referred to as the 'Pezzo notes'.

[13]The difference between 'systems' of teaching, of which he spoke in the negative, and his 'method', based on analysis and imitation, was not made clear by Seiber. It appears, however, that by 'system' Seiber referred to prescriptive compositional theories such as those of Paul Hindemith and Joseph Schillinger. See the transcript of Seiber's talk, Don Banks Collection `b4f33`: "I don't believe in 'systems'—in fact I think they might be harmful, and to prescribe, as Hindemith does, that after a chord of such-and-such a class you must take a chord of the next class etc., produces just as much rigidity as any academic 'degree-work'."

and shown how he would have done it—and to do the same sort of thing until finally he gets proficient in it."

The second of Seiber's principles was the understanding that "composition is an entirely traditional discipline" in which the techniques of master composers need to be learnt because "these are the entire foundation for our present-day techniques." Seiber makes it quite clear, therefore, that his students must be prepared to immerse themselves in the music and the techniques of the recognised past masters, whose work, according to Seiber, formed the very basis of even the most modern music. To ignore it was to risk "[remaining] an amateur with no foundation."[14]

Seiber recognised that one of the main problems with students who completed studies at universities and other institutions was that they had a textbook knowledge of musical concepts, "but no idea of the essential things", which he defined as the ability "to see how a motif might have various features (Gestalt), both rhythmic and melodic, which are taken up, developed, varied, changed, and can undergo mutations and fusions with other features; how some are gradually eliminated and others condensed—in other words how a kind of life-process goes on like in any living tissue." And the only way to acquire this ability, the only way to acquire the essential things, was through detailed analysis of the techniques that master composers used to manipulate their compositional ideas in order to achieve variety and development, after which the students must practice the techniques using their

[14]Banks himself reiterated this same point in 'Lecture on C20 music,' b34f252, Don Banks Collection: "Get a firm, well-developed technical background in composition ... To my knowledge very few of the young composers in [Australia] have sufficient technical foundations to guarantee their ability to continue ... I do fear for certain of those who are achieving some kind of reputation now, as they could be in trouble in the near future having no support troops, as it were, to fall back upon."

own compositional ideas.

This method of teaching based upon analysis and imitation, together with the philosophy behind it, was not only borne out in the work that Banks did with Seiber, but also in Banks's own talks, speeches, and writings. These materials suggest that not only did Seiber teach Banks in accordance with this method, but also that Banks adopted the principles for himself in his own work and future teaching endeavours. For example, in the draft of the talk that Banks prepared relating to his 1956 composition *Pezzo Dramatico*, he wrote that:

> ... the greatest stress should be placed on a minute and detailed analysis of music of all periods in the training of a composer. One just can't get enough of it, I think it was Ravel who said something about "you can never hope to know your own technique until you know the technique of others" and this is certainly true.[15]

This pencilled, draft copy of the *Pezzo Dramatico* talk contains the most specific comments that Banks himself made regarding what he actually studied with Seiber, and, in general, these comments correspond to the outline of the teaching method that Seiber gave in 1955:

> ... after a year or so I was promoted to 2 part inventions, then 3 part, on to the Art of Fugue etc., then Purcell, Haydn quartets and symphonies, on to Brahms and in every case the technique was the same, analyse the piece in as detailed a form as possible; break it up into its components and then using it as a model write various exercises in the style of the period involved (for example if it was Bach the use of auxiliary and passing notes, pedals and suspensions would have to proceed in as authentic a fashion as

[15] Pezzo notes, `f5p10i16`, Don Banks Collection.

> possible), then finally write a piece in your own idiom. So if we were studying ground bass, the system would be:– go through say Bach organ passacaglia, a Purcell chaconne, perhaps a passacaglia from one of the Handel suites, the last movement of the Brahms 4th symphony, a Hindemith chaconne, Webern's passacaglia op. 1 in D—and having studied all these styles finally you had to write a piece in your own idiom. The idea of the method is not to alter your own personal way of expression, that's sacred, but to develop the technical background so you can eventually express yourself fully and coherently.[16]

Although Banks mentioned several composers whose works were studied, Seiber claimed that the main sources of compositional models that he used were the *Inventions* of Bach because "it is incredible what variety of compositional techniques can be found in these short pieces, how each of them is different and how an amazing amount of development and possibilities are drawn in them from the simplest material." Haydn's music was also used "because of the variety of formal devices, the inventiveness and the incredible amount of combinations and variations which he can develop from any initial motif." In his reference to just these two composers, Seiber's teaching concerns and, to some extent, his aesthetic disposition towards musical composition, can be seen at work in that the choice of both sources of models, Bach and Haydn, are predicated on the ability of the music to demonstrate the drawing out of possibilities, of development, variations, and combinations from an "initial motif" or the "simplest of material", further reflecting his concern that his students learn these "essential things" from these composers.

[16]Pezzo notes, `f5p10i16`, Don Banks Collection.

3.4 Seiber's teaching method in practice

3.4.1 Two-part inventions

The earliest dated document from Banks's studies with Seiber is a draft of a two-part invention in G minor (`f2p8i21/I`^{r}–`II`^{r}), dated the 15th of May 1950—less than three weeks after the first broadcast performance of *Ulysses*. The draft takes one and a third pages of manuscript paper, and on the lower two thirds of the second page Banks wrote a "plan", shown in figure 3.1, which illustrates the tonal and thematic structure of the music.

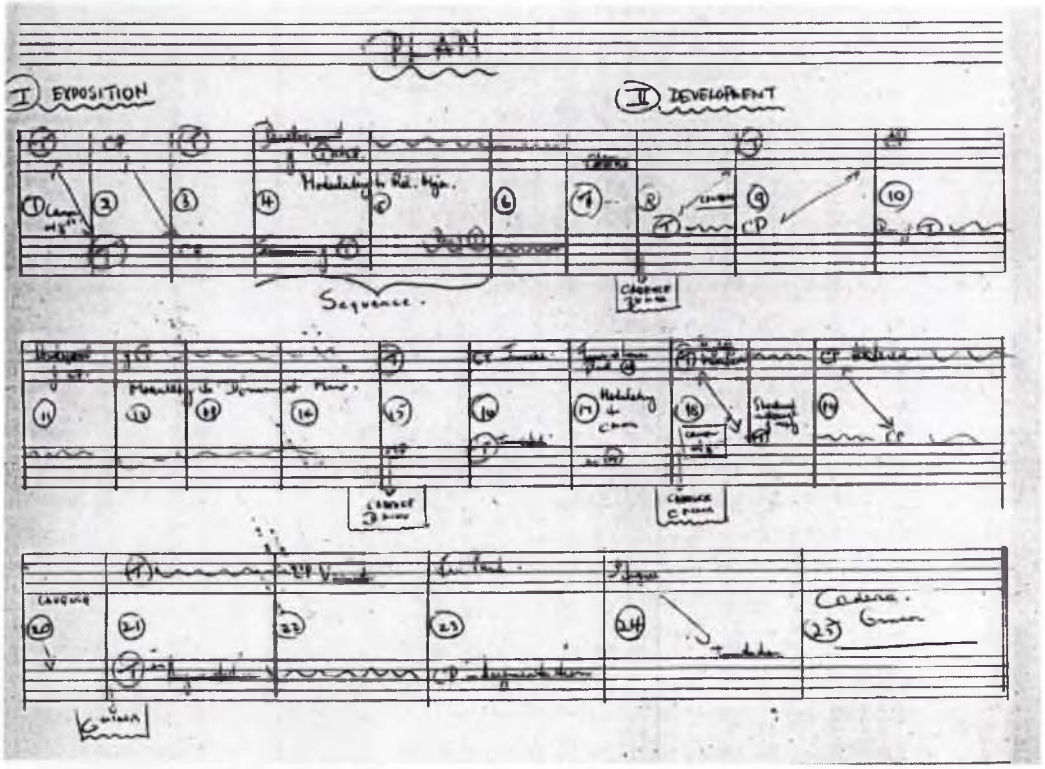
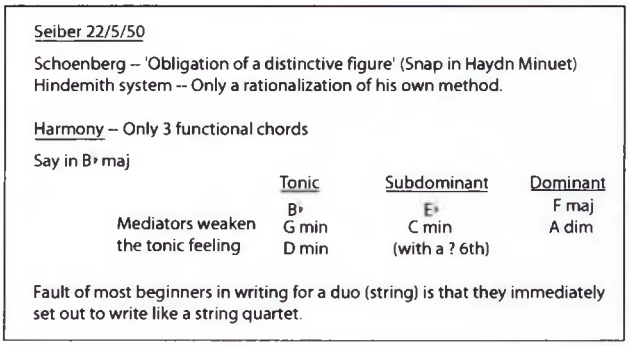


Figure 3.1: Banks's plan of his original G-minor invention.

This plan is presented in an identical manner to a collection of thirteen analyses that Banks prepared of J. S. Bach's two-part inventions. These

thirteen analyses were sketched out in a small notebook, at the end of which was appended the note shown in figure 3.2, dated one week later on the 22nd of May 1950, making it clear that Banks prepared these analyses over the same period of time that he wrote his draft of the G minor invention.[17]


Seiber 22/5/50

Schoenberg – 'Obligation of a distinctive figure' (Snap in Haydn Minuet)
Hindemith system -- Only a rationalization of his own method.

Harmony – Only 3 functional chords

Say in B♭ maj

	Tonic	Subdominant	Dominant
	B♭	E♭	F maj
Mediators weaken the tonic feeling	G min	C min	A dim
	D min	(with a ? 6th)	

Fault of most beginners in writing for a duo (string) is that they immediately set out to write like a string quartet.

Figure 3.2: Notes appended at the end of Banks's analyses [f2p8i01].

An example of one of Banks's analyses of Bach's two-part inventions is shown in figure 3.3. The analysis divides the composition into three main sections, an 'exposition', 'development', and a 'final section', and plots the occurrences and variations of the initial theme ('T') and countertheme ('CP') within these three sections, as well as in relation to an overall 'key plan', which Banks wrote underneath the diagram.

The plan for Banks's G-minor invention is generically identical to those of the Bach models, in that it shows the way in which the themes, counterthemes, tonal centres, cadential points, and types of textures, such as imitation and canon, are used, but the design itself is not a direct copy of any of the Bach models. Rather, it adopts the general principles that the

[17]These notes summarise the views that Seiber put forward in his 1955 I. C. A. talk: an emphasis on the motivic "atoms and cells" of the music and the composer's responsibility towards this material, and a distrust of systems, indicated here by reference to the prescriptive nature of Hindemith's theory of harmony.

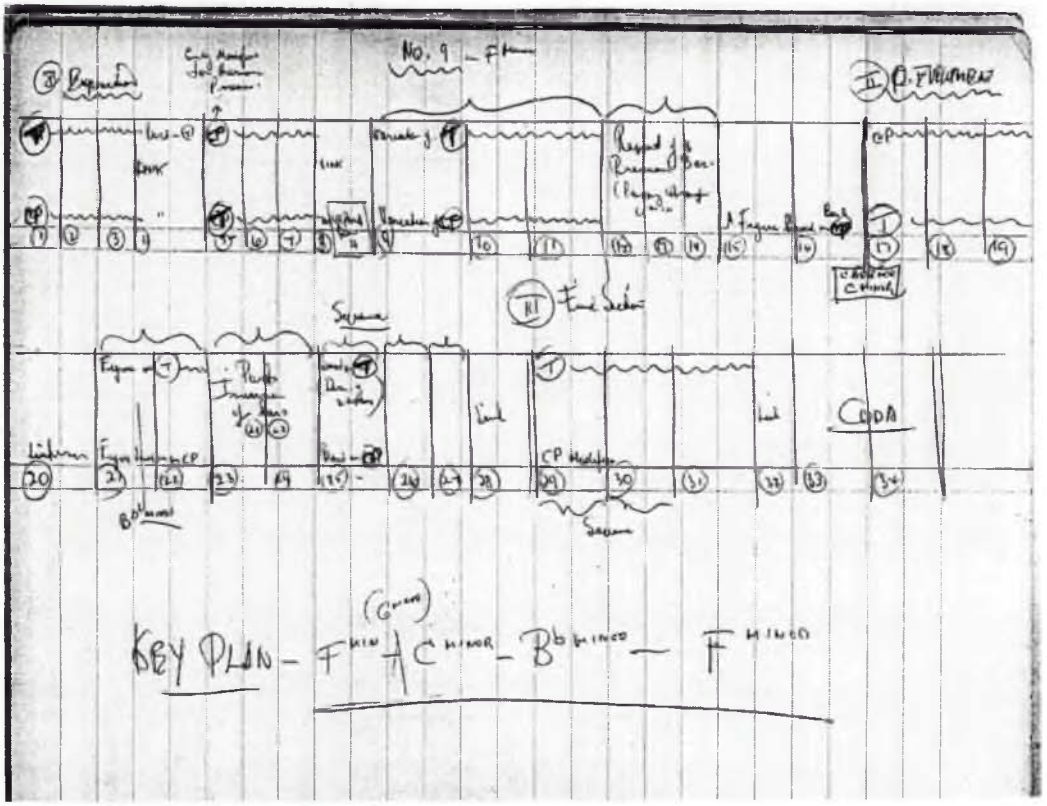


Figure 3.3: Banks's analysis of Bach's two-part invention no. 9 in F minor.

Bach models exemplify, such as the imitation, transposition, and inversion of themes, harmonic motion through related key areas, and so on, and applies them in an original design that intended to show an understanding of the conventions and the underlying principles of the models, and which are not verbatim copies of individual compositions.

The draft itself was written in a relatively straight forward tonal idiom and Seiber's three written annotations in bars 6, 7 and 17 point to conventional voice-leading and tonal considerations: "too many 8ves and 5ths", "stronger mod[ulation] to B♭", and "mod!" (shown in figure 3.4).

Banks addressed Seiber's annotations in a second draft, written out neatly

in black ink, and dated a week later on the 22nd of May 1950 [f2p8i17/I^{v} and II^{r}]. In this second draft Banks attempted to correct the problems that Seiber indicated on the first one, but, in so doing, he introduced further problems, which in turn solicited further annotations from Seiber. On the first draft Seiber suggested that the first note of the second bar should be changed to B♭ to avoid repeating the note C across the barline, and the same for the note A at the beginning of the third bar (see bar 2 of the first draft, top of figure 3.4). In the second draft (at the bottom of figure 3.4) both occurrences of these repeated notes were removed, and the series of octaves and fifths in bars 4–6 were also removed. The "stronger modulation to B♭" in bars 6–7 was addressed by holding F in the lower voice for the last two beats of the sixth bar, thereby intensifying its function as a dominant leading to B♭ in bar 7.

The annotations that Seiber wrote on the second draft indicate that the subdominant 'region' of B♭ should be stated on the third beat of the sixth bar by placing C or E♭ in the lower voice, thereby strengthening the modulation to B♭ major by effectively outlining a full IV–V–I cadence. The comment that Seiber wrote across bars 4–5 ("directly to B♭") also suggests that the tonality of the music in these first few bars, as it progresses from G minor to B♭ major, should proceed directly without hinting at the subdominant key, C minor, which is suggested by the presence of B♮ and A♭ in bar 4.

These two drafts show that Seiber's annotations and Banks's subsequent revisions were all directed toward an adherence to the stylistic norms of Bach's tonal idiom. The repeated notes across the barlines compromise the flow, or the momentum, of the melodic line at stylistically inappropriate

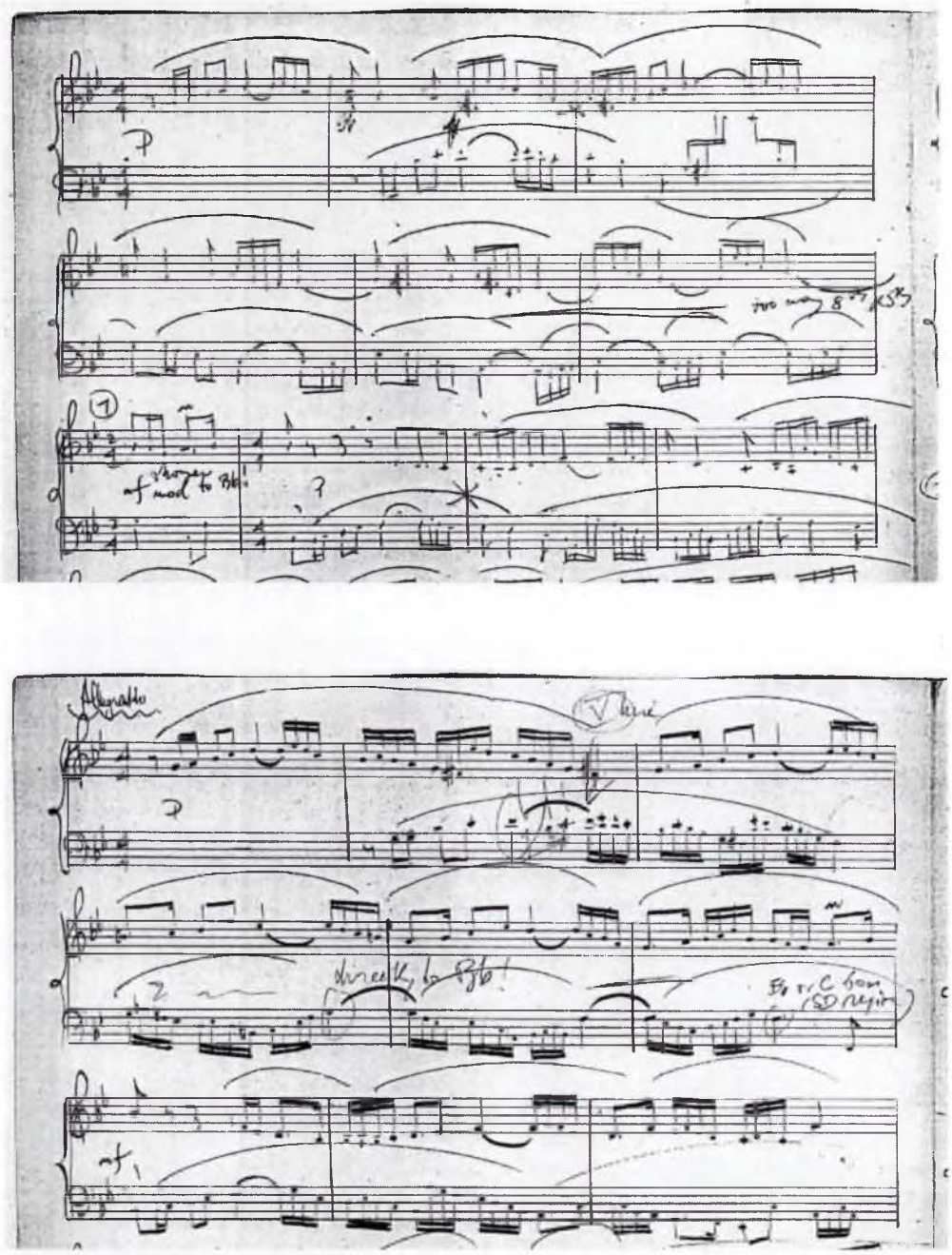


Figure 3.4: Bars 1–6 of the first two drafts of Banks's G-minor invention.

places and a definitive move to the relative major key, B♭, is encouraged in order to affirm a conventional modulation rather than challenge it.

The remaining annotations on the second draft mark places where accented dissonances occur, or where an entire bar proceeds in parallel sixths (bar 12), or where the intervallic distance between the two lines becomes too great (bars 17–18), or where the return to the key of G minor in bar 21 is too sudden—all of which are conventional errors.

Banks addressed these annotations in a third, undated draft, written out neatly in blue biro with some corrections in pencil, but with no further annotations added by Seiber [f2p8i20].[18] This time the cadence to B♭ in bars 6–7 outlines the chord progression ii–V–I, and the suggestion of a C minor region in bars 4–5 has been removed altogether.

These three drafts of the G minor exercise along with the thirteen analyses of Bach's two-part inventions offer a clear picture of how Banks's studies with Seiber started, and they illustrate a practical adherence to the teaching method that Seiber outlined at the I. C. A. meeting five years later, a teaching method consisting of work that Banks later described as "[breaking a composition] up into its components and then using it as a model [to] write various exercises in the style of the period involved ..."[19] These first drafts of the G-minor invention confirm that this was indeed the way Banks's studies with Seiber began.

The initial emphasis that Seiber placed on two-part inventions was not limited to just one exercise, as the existence of a second original two-part invention in D major shows [f2p8i16]. The first draft of this second inven-

[18]Rough sketches of sections of it were written on the outer faces of the bifolium that contains the second draft.

[19]Pezzo notes, f5p10i16, Don Banks Collection.

tion was also dated the 22nd of May 1950 and shows that Banks worked concurrently on at least two different two-part inventions.

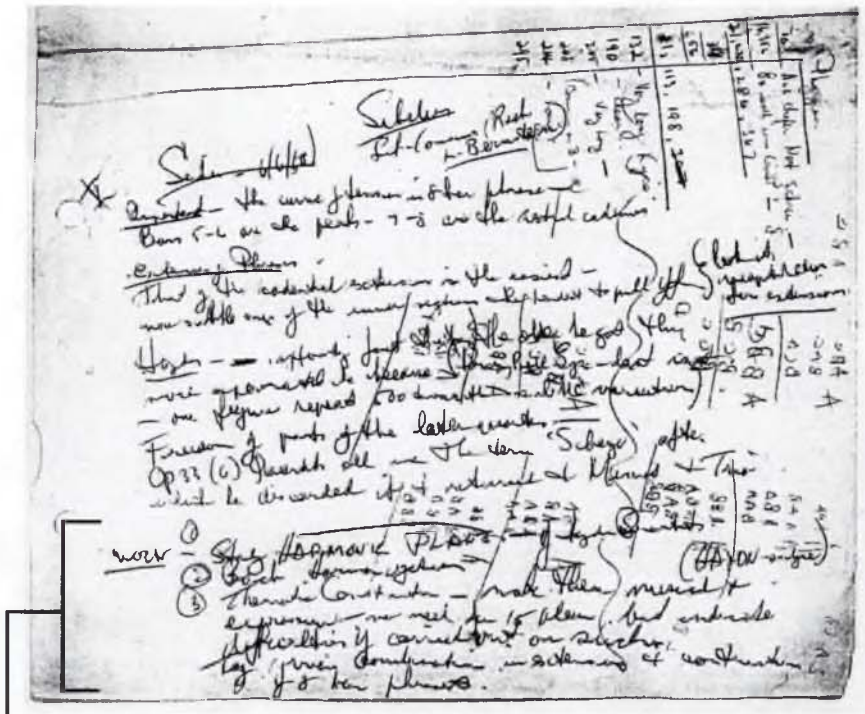
The study of two-part inventions continued if not constantly, then at least periodically through the rest of 1950 since there are at least three other two-part exercises that Banks worked on during the succeeding months: a second G-minor invention, dated the 8th of August 1950 [`f2p8i21`]; an undated two-part invention in D minor [`f2p8i22`]; and one in E♭ major dated the 12th of December 1950 [`f1p3i19`]. These drafts show that the emphasis on these studies was maintained from May to December 1950, but after the initial attention that was given to them in May, the studies were broadened to include other technical exercises as well as the study of music by other composers.

3.4.2 Know "*all* of the possibilities"

Systematic construction of phrases

The first document to indicate this broadening of Banks's studies is a single sheet of typing paper, over part of which is a set of notes dated the 6th of June 1950 (figure 3.5). The notes on this page concern the construction of eight-bar phrases, techniques for extending phrases, and some general notes on the music of Haydn. This is followed by a list of three things to do under the heading "work."

On the opposite side of the same page upon which these notes were written are annotations that relate to the third of these listed tasks—the exercise in thematic construction. The annotations take the form of a list of fifteen sequences of four letters as shown in figure 3.6 (some of which are still visible



Work –
(1) Study harmonic plans – of Haydn Quartets
(2) Bach harmonizations
(3) Thematic construction - make them musical and expressive – … Try … combinations … and construction of 8 bar phrases.

Figure 3.5: Banks's notes, dated 6th of June 1950 [f1p4i15].

A	A	A	A
	A	A	B
	A	B	A
	B	A	A
A	A	B	B
	B	A	B
	B	B	A
	B	B	B
A	A	B	C
	B	A	C
	B	C	A
A	B	B	C
	B	C	B
	B	C	C
A	B	C	D

Figure 3.6: Banks's list of fifteen combinations of units.

on figure 3.5).

Each letter in this table represents one of four two-bar thematic fragments or ideas, A, B, C, and D, and the table lists a systematic way of combining these fragments to produce a variety of different eight-bar phrases. This list corresponds to the fifteen numbered eight-bar phrases that Banks sketched out on manuscript item `f1p4i09` (figure 3.7).

All of the possible combinations of each two-bar thematic fragment were systematically assembled, allowing Banks to assess every possibility for the construction of his eight-bar phrases. That Seiber stressed the importance of knowing every possibility before making any compositional decisions is entirely consistent with his emphasis on the responsibility that the composer has to the latent potential of the materials of the composition, and this practice was further reinforced by the second task on Banks's list, the harmonisation of chorale melodies.

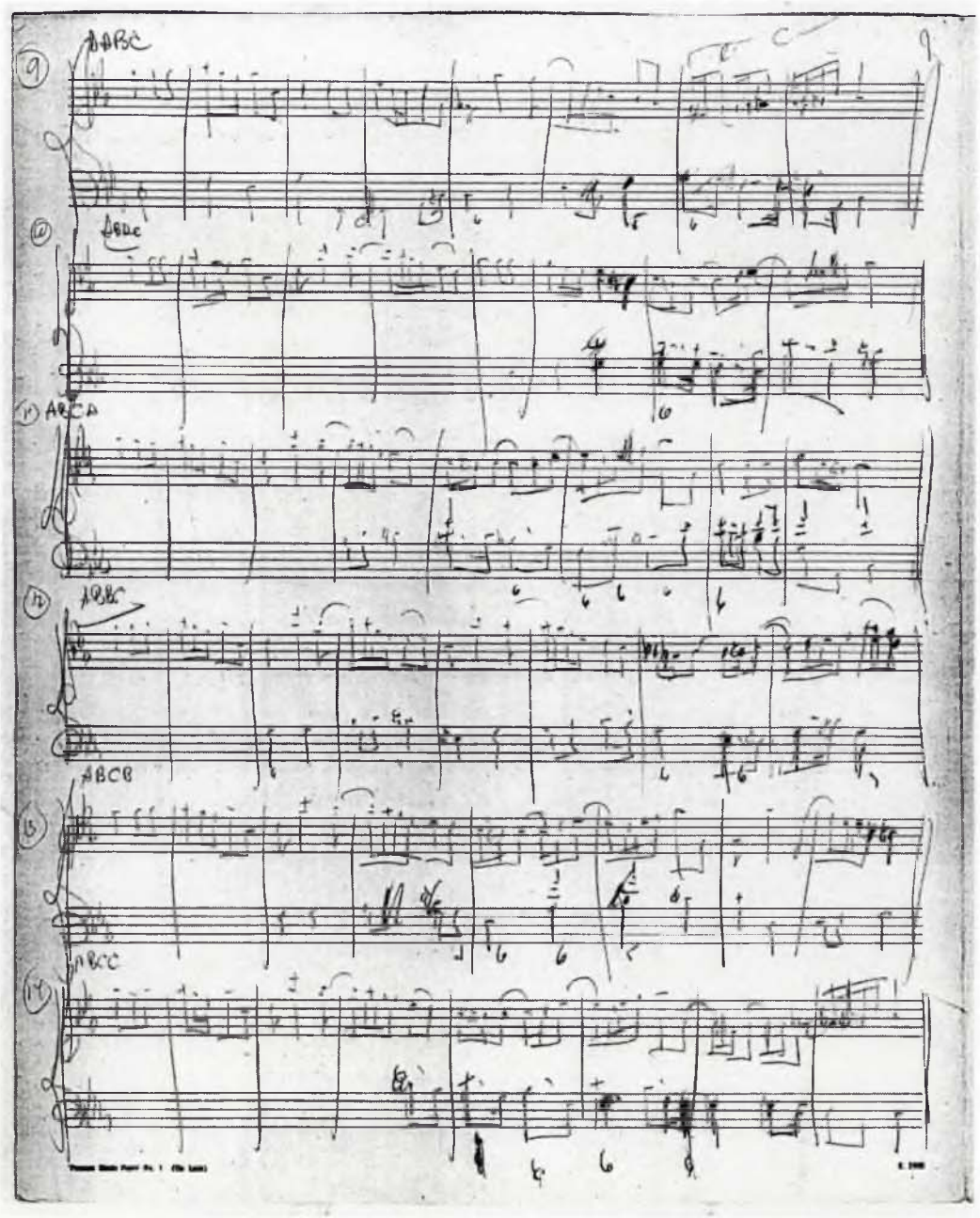


Figure 3.7: Systematic construction of eight-bar phrases from combinations of two-bar units [f1p4i09].

Chorale harmonisation

Banks showed Seiber many of the chorale harmonisations that he did as a student in Melbourne, to which Seiber responded that it was not sufficient

to harmonise the chorales in one way only, and that he should "go away and harmonise one, twenty different times, because until you can see all of the possibilities, all the harmonic possibilities, how can you select the best?"[20]

Once again it was Bach who provided the model for analysis for this exercise because Bach himself harmonised the same chorale melody in many different ways, and Banks studied these different harmonisations as well as preparing his own.

Figure 3.8 shows Banks's roman-numeral harmonic analysis of Bach's harmonisations of chorales 29, 64, 76, 254 and 67, which all have near-identical melodies but which Bach harmonised in different ways.

In turn Banks wrote out the melody of chorale no. 292 and harmonised it in four different ways (figure 3.9), and each attempt was annotated to highlight some of the conventional voice-leading errors, such as parallel fifths and octaves.[21]

Haydn's string quartets

The remaining item on the list of tasks that Banks was set at the beginning of June 1950 was to study the "harmonic plans" of Haydn's string quartets. To that end Banks filled three pages of foolscap paper with analytical notes on Haydn's string quartet op. 76 no. 6 in E♭ major (`fip3i09`). At the top of the first page Banks noted the sorts of things that he was looking for in his study:

> Look for—Constructional, Harmonic & Contrapuntal devices + Rhythmic ones.

[20] Banks, Interview, 7710.

[21] Only the first half of the chorale is shown—the continuation being on the next page of the bifolium.

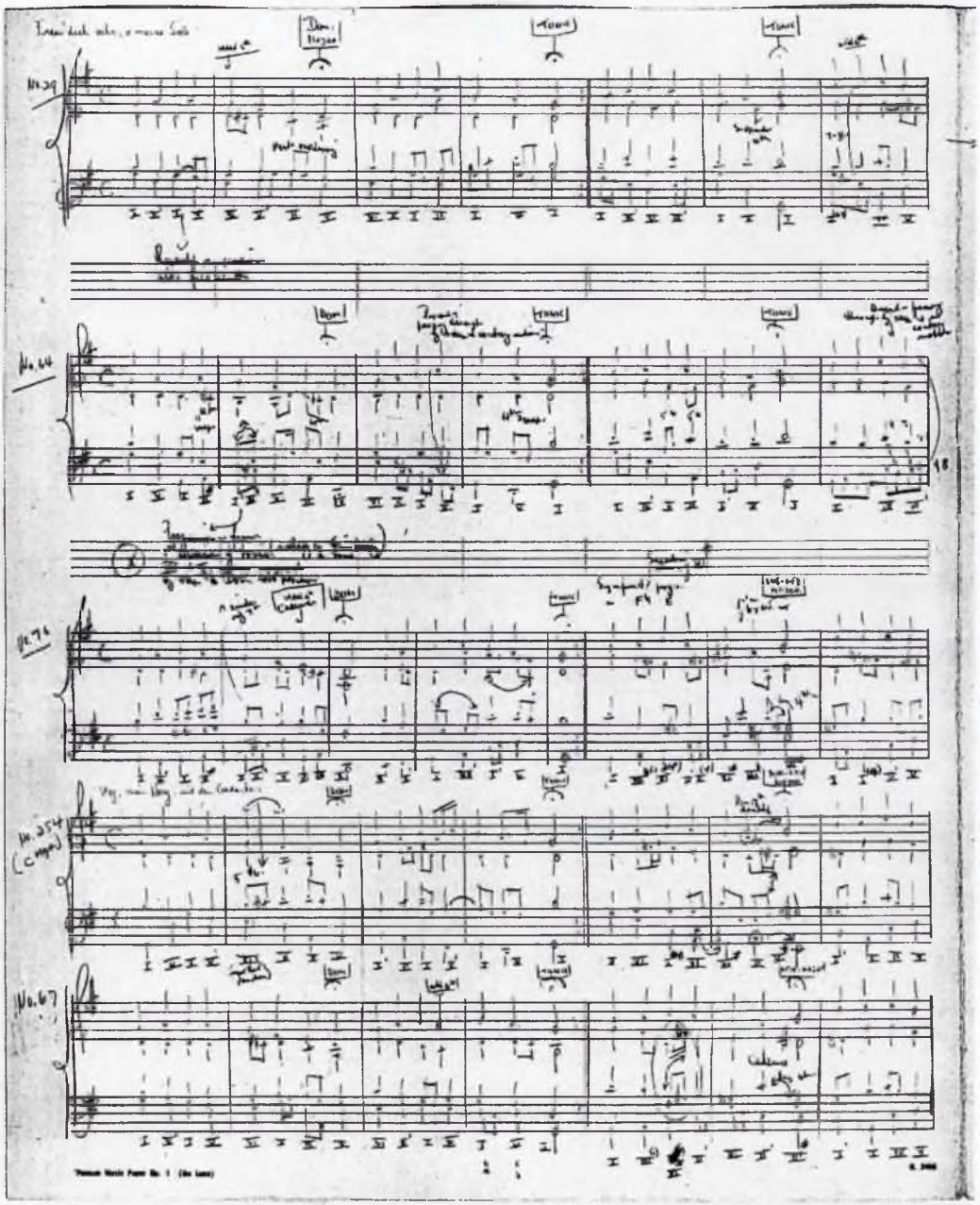


Figure 3.8: Banks's analysis of Bach's different harmonisations of the same chorale melody [f2p8i35/I^{v}].

Banks sectionalised the movement into an opening section followed by four variation sections. With each of these he further subdivided them

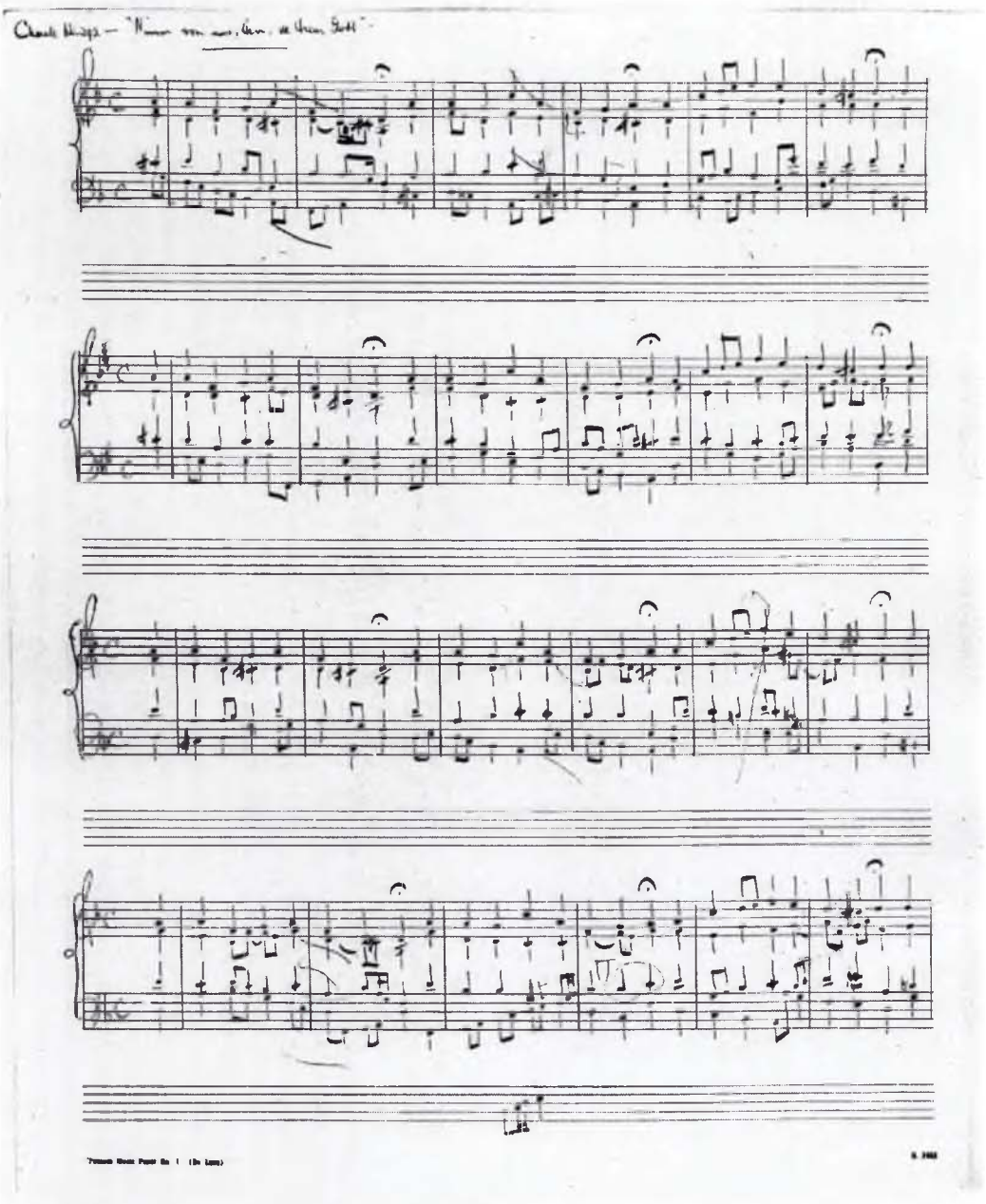


Figure 3.9: Banks's four harmonisations of chorale no. 292 [f2p8i40/I^v].

into subsections A, B, C, and a coda. He then further divided these subsections into units of between two and eight bars for which he wrote de-

scriptions of their features and characteristics. The descriptions that Banks wrote concentrate on that same sorts of features that Banks indicated in his diagrams of Bach's two-part inventions—relationships between themes and counterthemes, types of textures and rhythms, harmonic chord progressions and pedals, and the use of the different instruments. In this sense, Banks's notes are a very thorough description of the movement.

However, on item `f1p3i08/I`^{r} he extended his work beyond this level of description and began to analyse the thematic and motivic construction of the music in more detail; in Seiber's terms he started to focus on the "atoms and cells" of the music. Figure 3.10 shows the way in which Banks approached this analysis.

Banks plotted the relationship between four motivic "groups" and the original four-note motive with which the piece starts. The motivic figures in group A are derived directly from the original motive, maintaining the same rhythm and the characteristic semitone ascent from the second to the third notes. The figures on the first staff of the group B examples (numbers 4 and 5) are likewise derived directly from the original motive, but this time the ascending interval between the second and third notes is inverted. The arrows connecting the figures in the two group B columns show how the motives are derived from each other, and subsequently how the group C motives are derived from one of the group B examples, thereby forming a hierarchical network of motivic relationships that unify the thematic construction of the music.

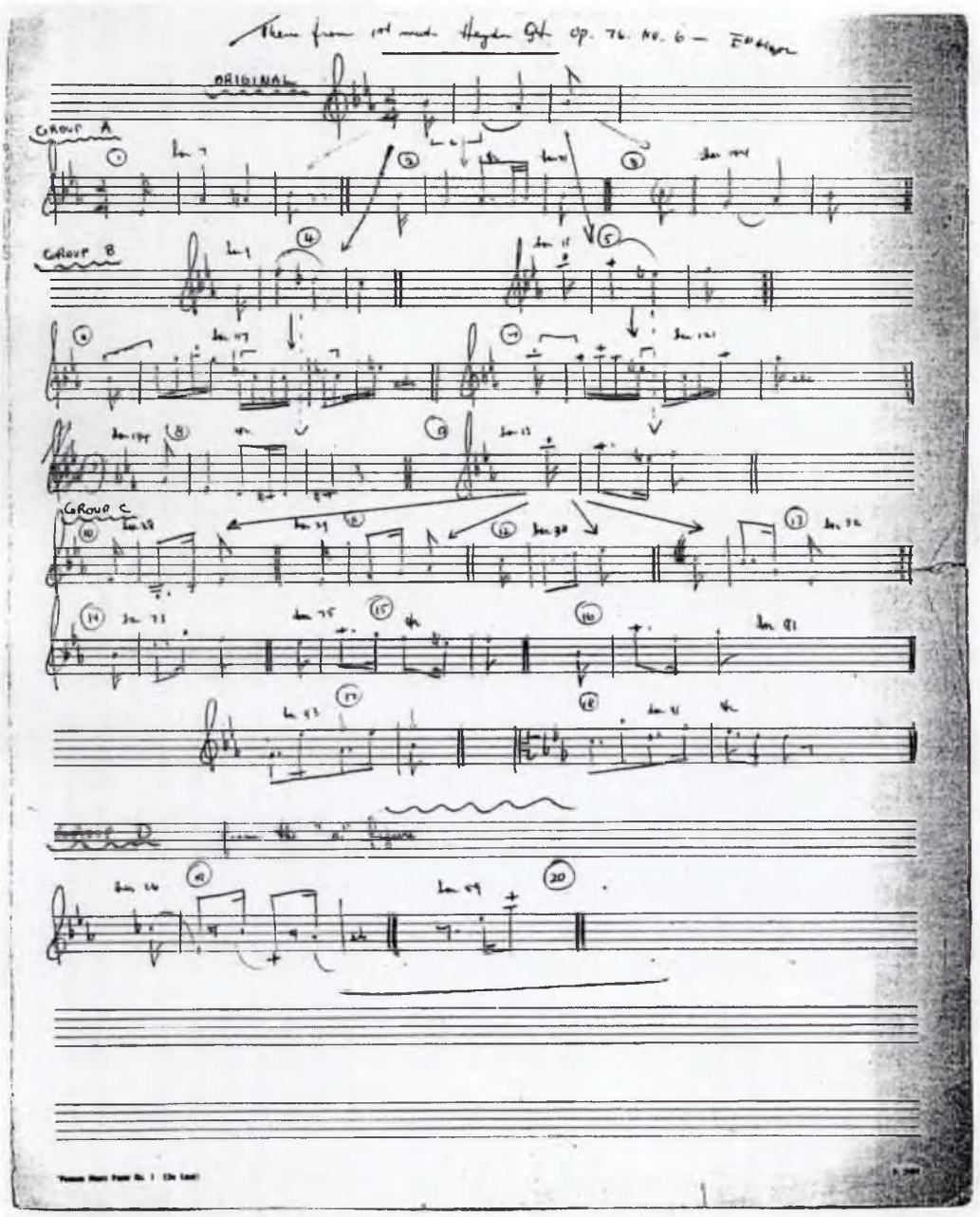


Figure 3.10: Banks's analysis of the motivic construction of Haydn's op. 76 no. 6 [f1p3i08/I^r].

3.4.3 The ground bass example

In addition to the smaller analytical and compositional exercises that Banks completed during the course of 1950, he also worked on larger projects that

illustrate, in proportionally more detail, both the scope of Banks's work and the nature of Seiber's teaching. One such project is what Banks himself referred to as the "ground bass" study,[22] in which he analysed the passacaglia in the last movement of Brahms's fourth symphony. He then used this analysis as a model for his own composition.

Banks's study of Brahms's passacaglia

There are two parts to Banks's analysis of this passacaglia, or ground bass. The first is a list that he prepared, spread over four pages, of thirty ways in which Brahms varied the original ground bass idea. Banks copied out the different variations and annotated them with notes relating to the ways in which the ideas were orchestrated. The first page of that list is shown in figure 3.11.

At the top of the page Banks wrote the initial passacaglia theme and noted the instrumentation, "w[ood]winds and brass", which he then followed by notating the subsequent variations, numbered on this page from 1 to 9. On this list there is no attempt to understand the way in which the variations relate to the continuity of the movement. It serves primarily as a taxonomy of Brahms's ideas for variations that Banks eventually drew upon for the composition of his own exercise.

The second part of the analysis is a study of the way in which the rhythmic activity in the music gradually increases as the movement progresses. With each of the varied statements of the passacaglia theme, Banks plotted the elements of the variations that contribute to the increasing rhythmic attack

[22]Banks referred to the 'ground bass' project in the Pezzo notes (`f5p10i16`) as well as in the list of work that he wrote on `f2p8i03/I`^{r}.

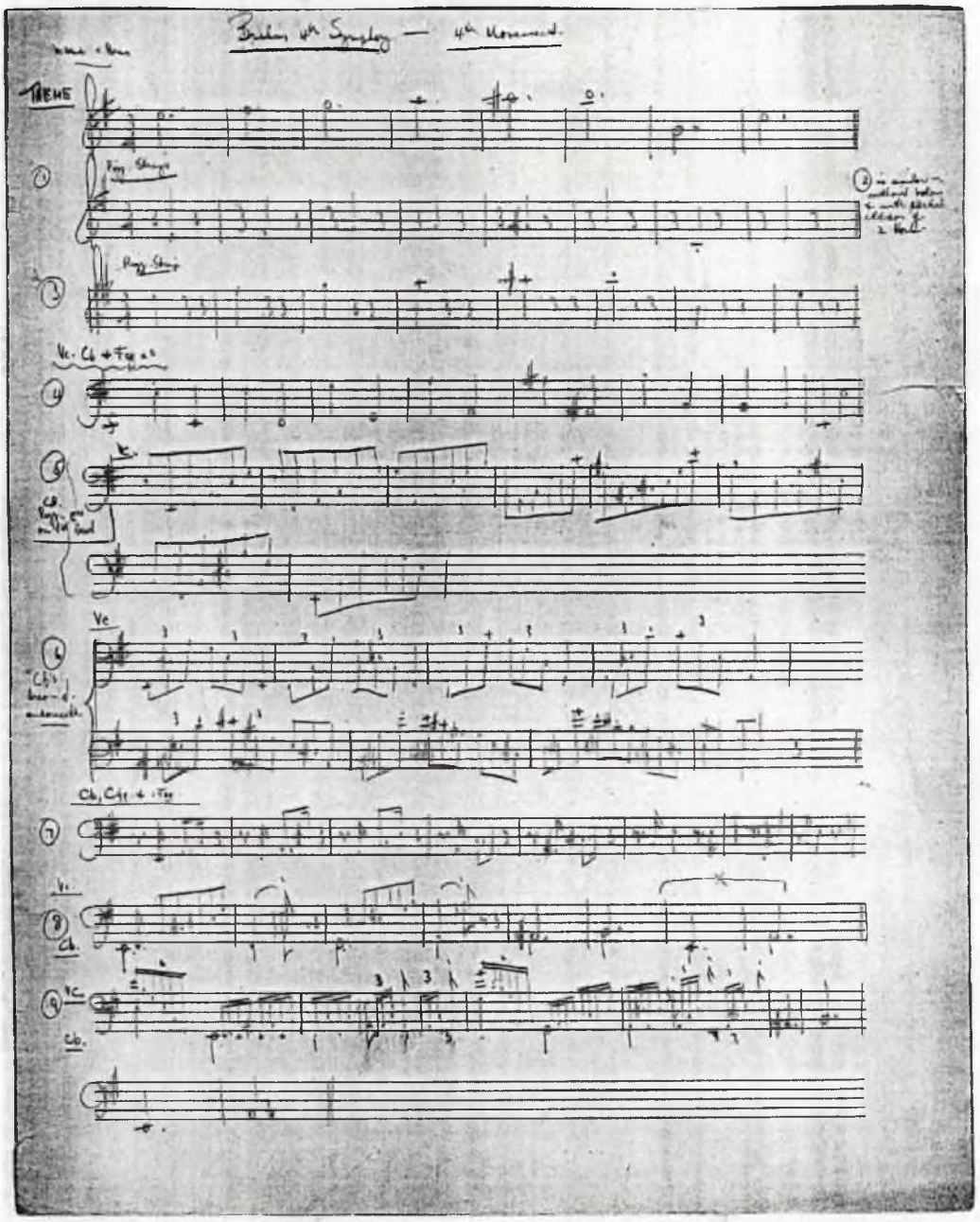


Figure 3.11: List of variations of the ground bass in the last movement of Brahms's fourth symphony [f1p3i21/I^{r}].

density of the movement. This second part of the study takes two and a half pages to write out, and the first page is shown in figure 3.12.

Banks annotated the accompaniment to the first statement of the theme as a 'simple pattern' with two attacks per bar shared between the horns and the pizzicato strings. The second and third variations show an increase to three attacks per bar—one on each crotchet beat—played firstly in legato phrases and then as staccato notes. In the fourth variation, the strings introduce off-beat quavers which result in a composite rhythm of even quavers that push the attack density from the initial two per bar to six per bar. The fifth variation increases the attack density further by introducing triplet quaver figures into the texture, which in turn assume a "more prominent position" in the sixth variation. In the seventh variation the semiquaver figure is introduced, preparing the eighth variation which is comprised entirely of semiquavers. Finally, the ninth variation pushes the rhythmic density to maximum by combining semiquavers with semiquaver triplets. In these nine variations the rhythmic activity of the music increases from very sparse to very dense by increasing the predominant note durations progressively from crotchets to semiquaver triplets, and this idea became the basis for Banks's own variations.

Banks's study of rhythm in the Brahms symphony was accompanied by a similar study of the increasing rhythmic and textural density in Bach's C-minor organ passacaglia, which was written immediately after the corresponding study of rhythm in the Brahms symphony, on a single set of four numbered pages (`f1p3i22/II`^{r} and `II`^{v}). Like the Brahms analysis, Banks listed twenty variations of Bach's passacaglia theme and briefly described how

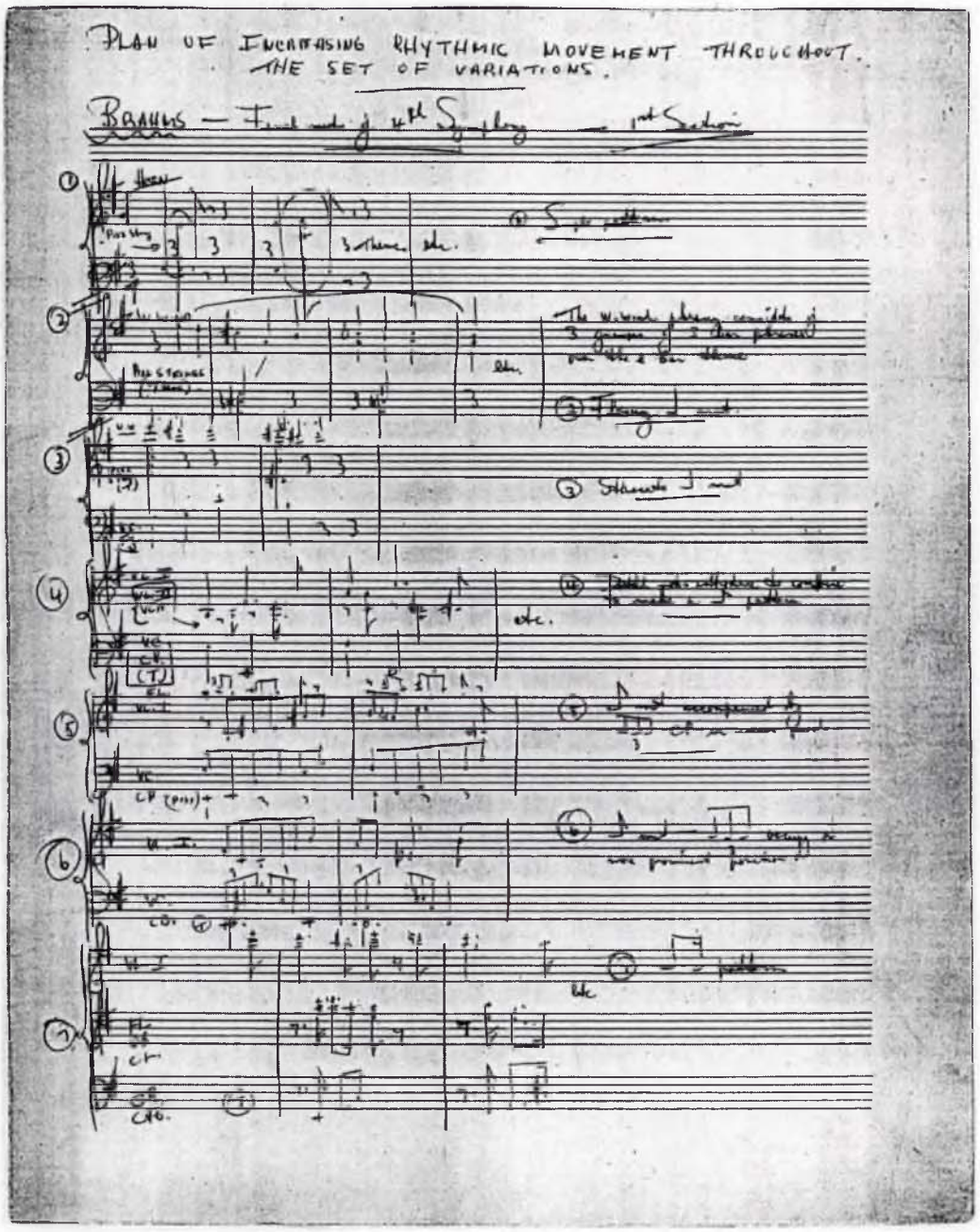
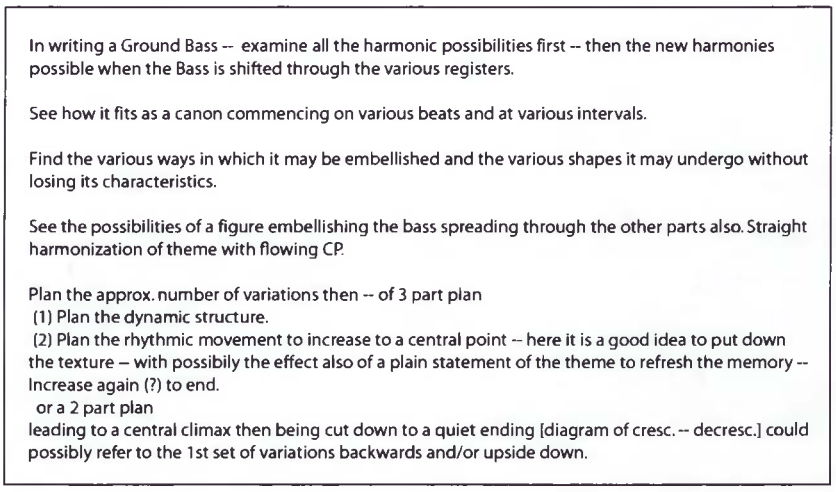


Figure 3.12: The first page of Banks's study of the increasing attack density of Brahms's passacaglia variations [f1p3i22/I^{r}].



In writing a Ground Bass -- examine all the harmonic possibilities first -- then the new harmonies possible when the Bass is shifted through the various registers.

See how it fits as a canon commencing on various beats and at various intervals.

Find the various ways in which it may be embellished and the various shapes it may undergo without losing its characteristics.

See the possibilities of a figure embellishing the bass spreading through the other parts also. Straight harmonization of theme with flowing CP.

Plan the approx. number of variations then -- of 3 part plan
(1) Plan the dynamic structure.
(2) Plan the rhythmic movement to increase to a central point -- here it is a good idea to put down the texture – with possibily the effect also of a plain statement of the theme to refresh the memory -- Increase again (?) to end.
or a 2 part plan
leading to a central climax then being cut down to a quiet ending [diagram of cresc. -- decresc.] could possibly refer to the 1st set of variations backwards and/or upside down.

Figure 3.13: Notes concerning the composition of a ground bass exercise [`f1p3i24`].

the musical elements contribute to the steadily increasing rhythmic activity in the music.

Banks's passacaglia

The scribbled set of notes that Banks wrote on one side of a sheet of lined foolscap paper under the heading "Ground Bass" (figure 3.13) gives a clear indication of how he proceeded to write his own passacaglia.

The first three steps noted on this page are pre-compositional activities specifically intended to reveal the harmonic and motivic possibilities of the theme, as well as its potential in a canonic setting. The sketch materials show that he followed these three instructions exactly.

His study of the harmonic possibilities of the ground bass theme is located on manuscript item `f1p3i12` (figure 3.14).

Banks's ground bass theme bears a striking resemblance to Brahms's theme (figure 3.15) in that both themes are eight bars long, both are in a $\frac{3}{4}$

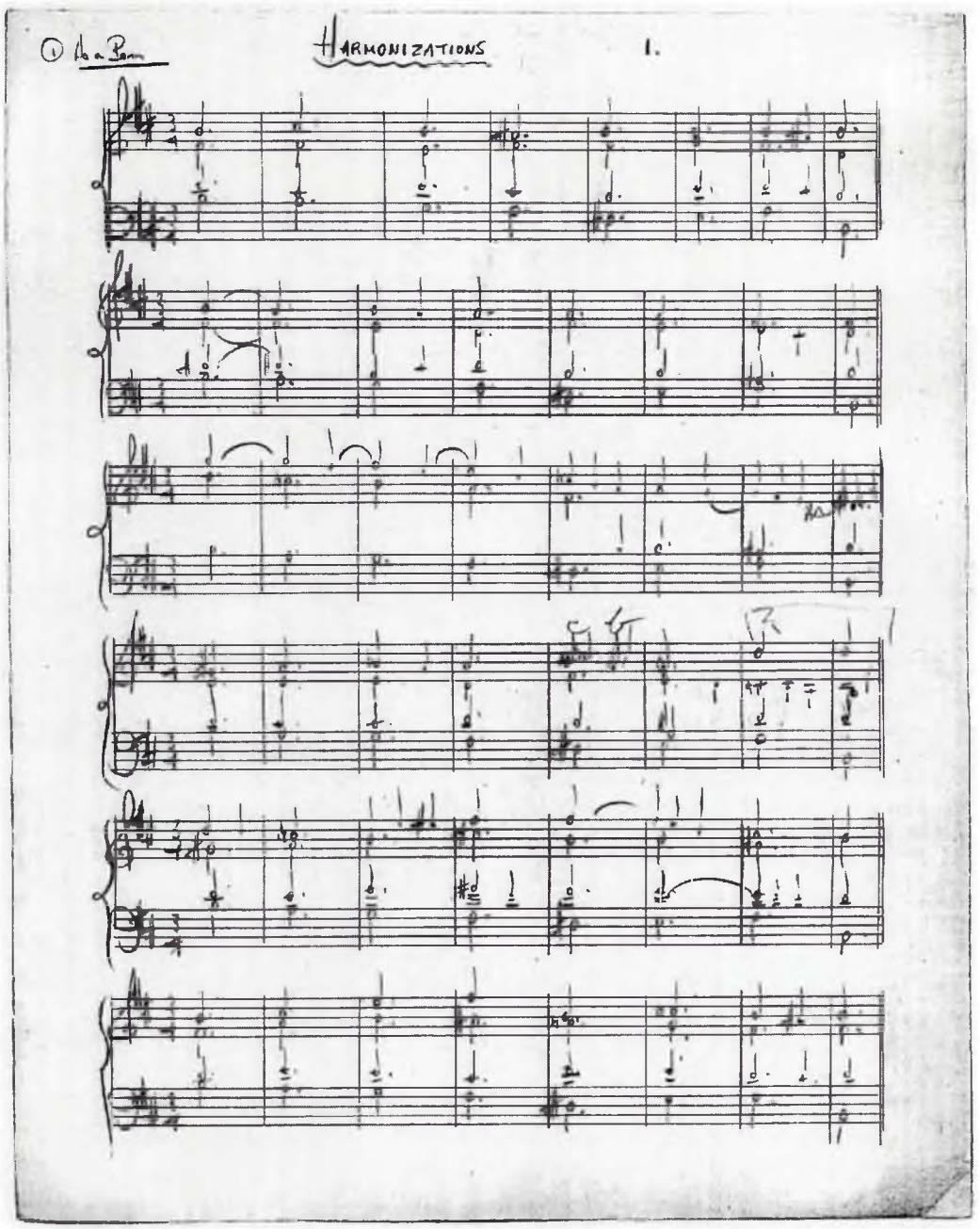


Figure 3.14: First of four pages showing Banks's exploration of the harmonic possibilities of his ground bass theme [f1p3i12].

(a) Brahms's theme

(b) Banks's theme

Figure 3.15: (a) Brahms's theme;(b) Banks's theme [f1p3i13/I^{r}].

metre, the first four bars of each are characterised by stepwise motion in a single direction, and the fifth bar in each contains a chromatically intensified preparation of the pitch in the sixth bar.

On the four manuscript pages that comprise f1p3i12 the theme was placed in the bass and then harmonised eight different ways in four-part chorale style. The theme was then placed in the soprano voice and harmonised ten different ways, and, finally, harmonised once with the theme in the alto voice. This movement of the ground bass theme into the upper voices corresponds to the instruction written in the notes to examine "the new harmonies possible when the Bass is shifted through the various registers" (figure 3.13) Once again Seiber was encouraging Banks to systematically discover all of the compositional possibilities that were available to him.

The second item in his notes was to explore the possibility of using the theme in a canonic setting. Sketches f1p3i14/I^{r} and I^{v} show that this was exactly what he did, although the idea of a canonic setting was never used beyond these pre-compositional experiments.

However, the study of possible variations of the ground bass theme re-

ceived more sustained attention, and these were written out on item `f1p3i13`, the first page of which is shown in figure 3.16.

These four manuscript pages contain thirty-one numbered variations and embellishments of the ground bass, divided into five categories, or "groups." The first group contains variations that are limited to rhythmic embellishments and octave displacements, and pitches that are not specifically in the original ground bass theme are generally avoided (with the minor exceptions found in variations 5 and 9). The three variations in the second group allow the inclusion of neighbour notes, and those in the third and fourth groups show increasing rhythmic activity and use of arpeggios. The fifth group is based on the free use of all of these ideas.

Banks derived many of the ideas for his own variations directly from the Brahms model. For example, among numerous other similarities, variation number 4 in the Brahms study corresponds to Banks's own variation number 2, except that the ♩ 𝅗𝅥 rhythm is reversed to become a 𝅗𝅥 ♩ rhythm (shown in figure 3.17). Also, the use of tremolo in Brahms's variations 17 and 18 was adopted by Banks in variation 7, and the syncopated figure in Brahms's variation number 22 was used in Banks's variation number 9, among other examples.

The actual application of these pre-compositional exercises is found in a bundle of manuscript pages at `f1p3i16`, and the final version of the passacaglia was written out neatly in pencil on item `f1p3i11`. The bundle of sketches at `f1p3i16` contain near-complete drafts of large sections of the exercise together with a variety of isolated sketch fragments. All of these drafts and sketches are plotted on the sketch map shown in figure 3.18.

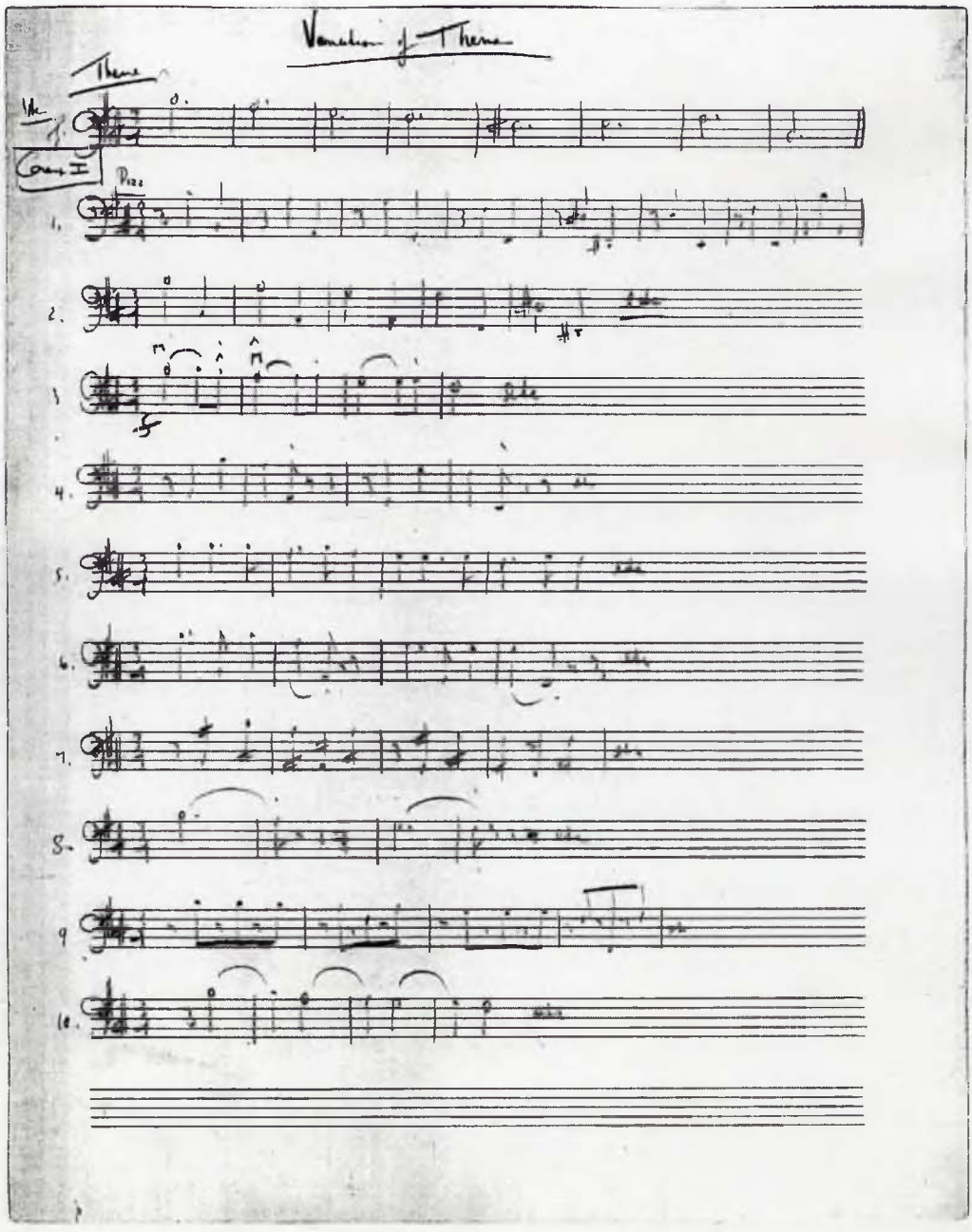


Figure 3.16: Variations on the ground bass theme [f1p3i13/I^{r}].

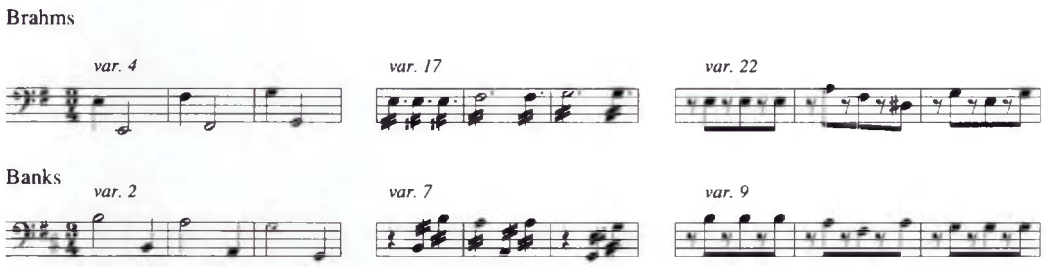


Figure 3.17: Some of Brahms's variation ideas that were adopted by Banks.

The eighty-nine bars that comprise the duration of the final draft are plotted horizontally across the diagram such that each bar in the exercise has its own column. Each of the drafts and sketch fragments are plotted across these columns, with the earliest sketches at the top of the diagram, and the last draft (the final version, or 'f.v.') at the bottom of the diagram. Miscellaneous sketch fragments whose places in the development of the composition from the earliest sketches to the final version are indeterminate, are placed below the draft of the final version.

This sketch map is not intended to represent a definitive chronology of the composition of the exercise, but is, rather, a plot of the relationships between individual sketch items in terms of the composition of each bar of music. For example, the two sketch items `f1p3i16/V`$^{r-v}$ and `f1p3i16/IV`$^{r-v}$ are sketches of different parts of the music, so the fact that `f1p3i16/V`$^{r-v}$ is placed lower than `f1p3i16/IV`$^{r-v}$ does not mean that the former was written after the latter. On the other hand, the material contained in `f1p3i16/V`$^{r-v}$ is understood as a logically intermediate step between the first draft at `f1p3i16/XII`^{r}–`XV`^{r} and the draft at `f1p3i16/I`^{r}–`III`^{v} for example.

The sketch map offers a useful view of the topography of the compositional process. For example, it is easy to see from this map that bars 8 to 40

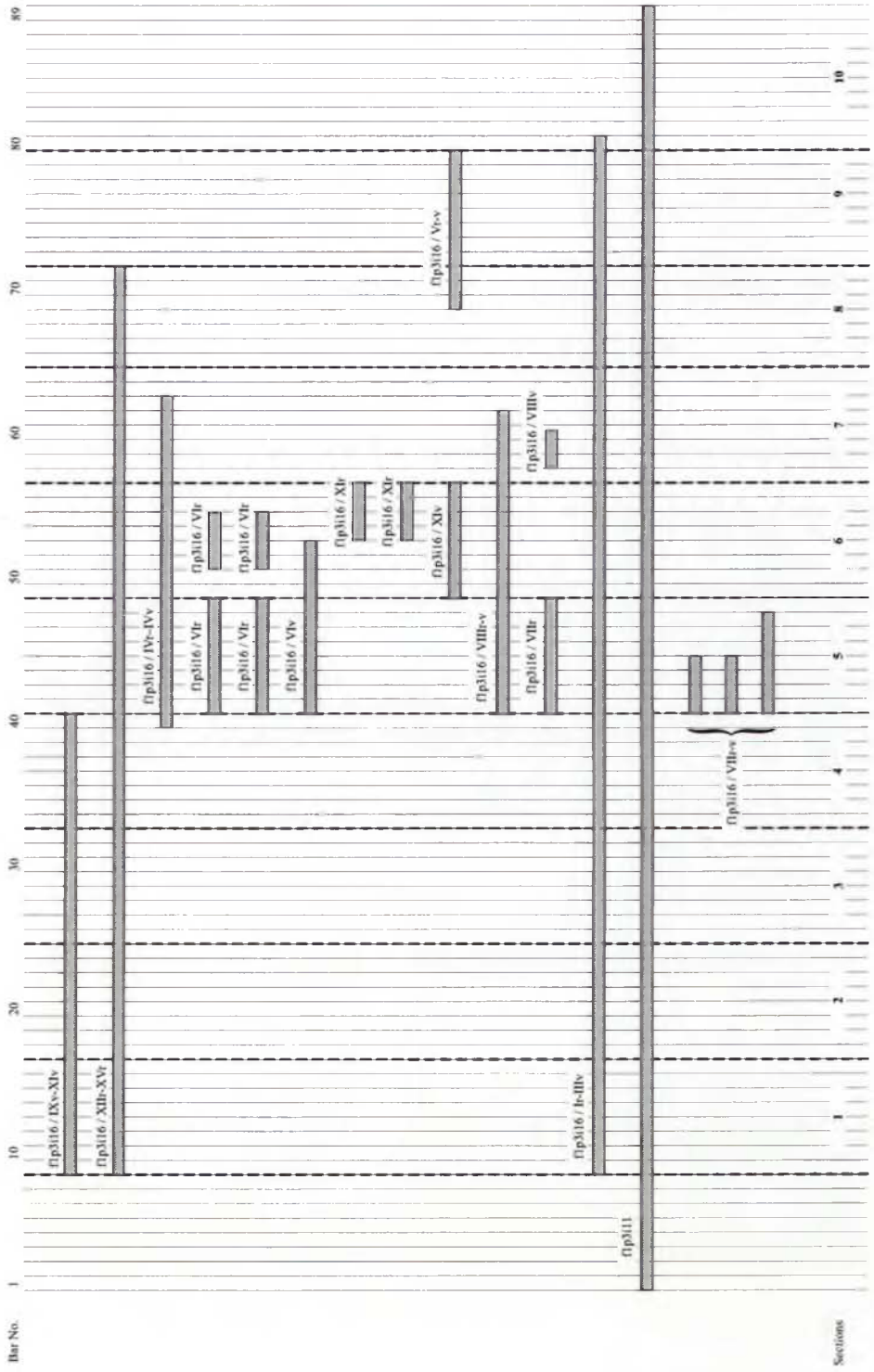


Figure 3.18: Sketch map of Banks's 'ground bass' exercise.

were sketched out three times, but considerably more attention was paid to the composition of bars 40 to 56, implying that these bars presented Banks with difficulties that he did not encounter through most of the rest of the exercise, and therefore warrant closer study in order to understand what these problems may have been and how he overcame them.

The second draft of the exercise is a complete draft of the first eight sections (excluding the first eight bars, which are a simple statement of the ground bass, added only on the final draft), and is annotated by Seiber. The first two sections of the draft contain two unvaried statements of the ground bass theme, harmonised by the upper voices in minims and then in crotchets, and which avoid the first beat of the bar until the very end of the second section, thereby allowing the theme to lead the accompaniment. In the harmonisation of these two sections, Banks did not utilise the harmonic progressions and voice leading that he wrote in his pre-compositional exercises verbatim, but continued to refine them as he composed. In this case the main difference lies in the chord chosen for the fifth bar—in the pre-compositional work on item `f1p3i12` it is always an applied dominant chord, but in this draft Banks altered it to an applied diminished-seventh chord, allowing the two inner voices to move in a single direction, with the outer voices in contrary motion. This small example illustrates a characteristic feature of Banks's emerging compositional process, which is that he did not allow the composition of the music to be restricted, or determined by, his pre-compositional work.

The third section of the exercise uses the first of the variations of the ground bass that Banks wrote on `f1p3i13/I`^{r}, although, once again, it is not

taken verbatim but altered so that each successive octave leap is in opposite directions. This idea occurs in the fourth variation on f1p3i13/I^{r}, and is also found in the eleventh variation of the Brahms model that Banks studied.

In the first bar of the fourth section of this draft, Seiber wrote the comment "other CP" above the top voice (figure 3.19). The subsequent revision of the section on f1p3i16/I^{r}–III^{v} makes it clear that Seiber was asking for the first violin line to be rewritten since this is the only substantial difference between the two drafts of the music (figure 3.20).

More substantial revisions occur in the fifth and sixth sections. The first annotation that Seiber wrote in the fifth section (besides pointing out chromatic 'cross relations' between voices) is a telling indication of Seiber's response to this material. He wrote, "Consistent inner parts needed—too many shapeless filling-in notes" (figure 3.21). This comment reflects his concern that Banks focus on the "atoms and cells" of the music, and on the economy of the motivic fabric in which the inner parts must also participate. The word "shapeless" is used to indicate this non-participation of the inner voices.

The first sketch that can be seen to address this concern in the fifth section of the exercise is f1p3i16/IV^{r-v}. Although the sketch was scribbled out it shows that the two outer voices remain the same as that of the annotated draft, but the two inner voices were reduced to one—the viola was retained and the second violin part was removed. This is a direct response to Seiber's suggestion that this section have "[p]ossibly 3 parts", which he wrote at the start of the section on the previous draft f1p3i16/XIII^{r}. The viola line was altered to be more conjunct and less fragmented than it was on the previous

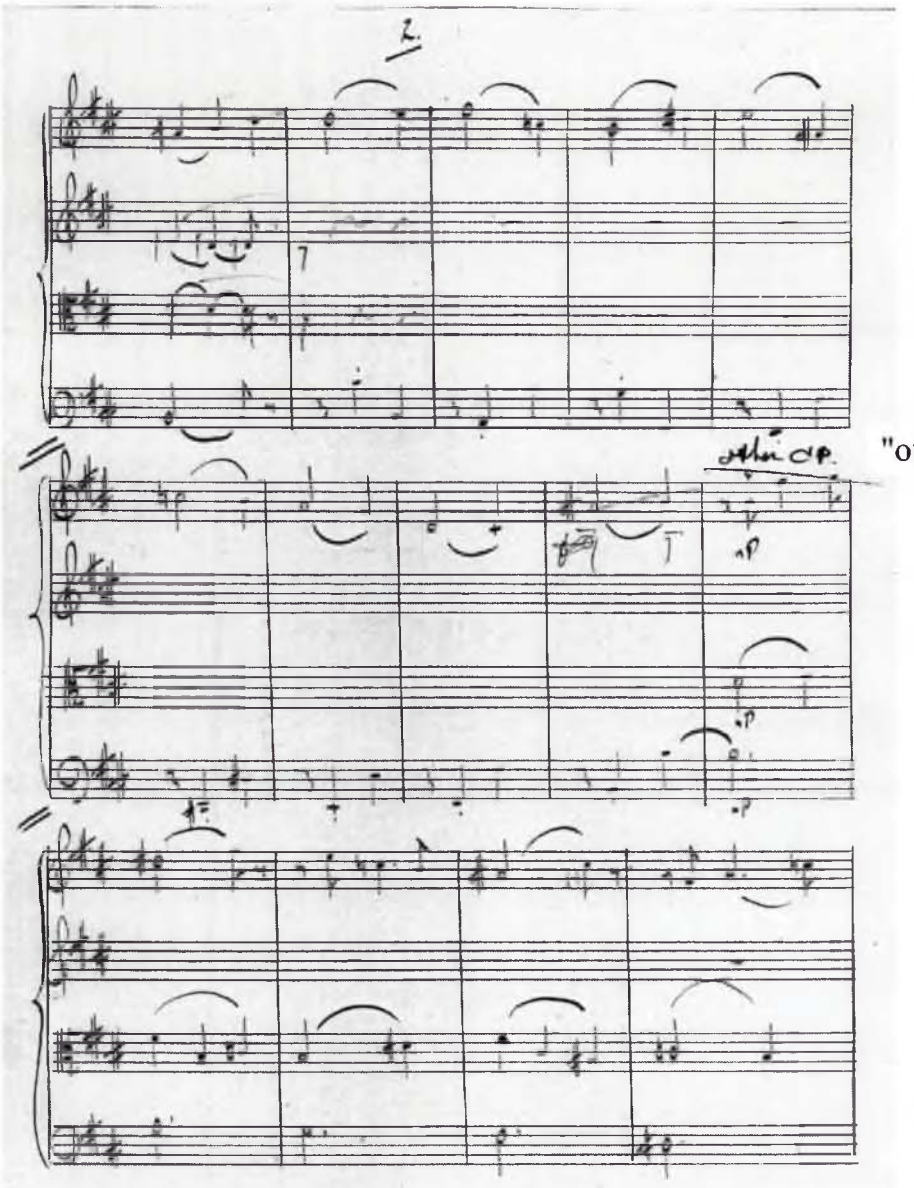


Figure 3.19: Second page of the second draft of the 'ground bass' exercise.

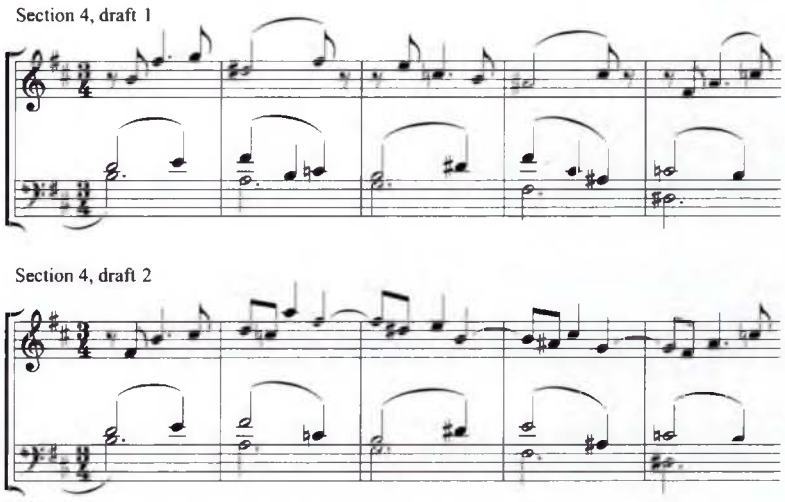


Figure 3.20: Beginning of section four, drafts one and two.

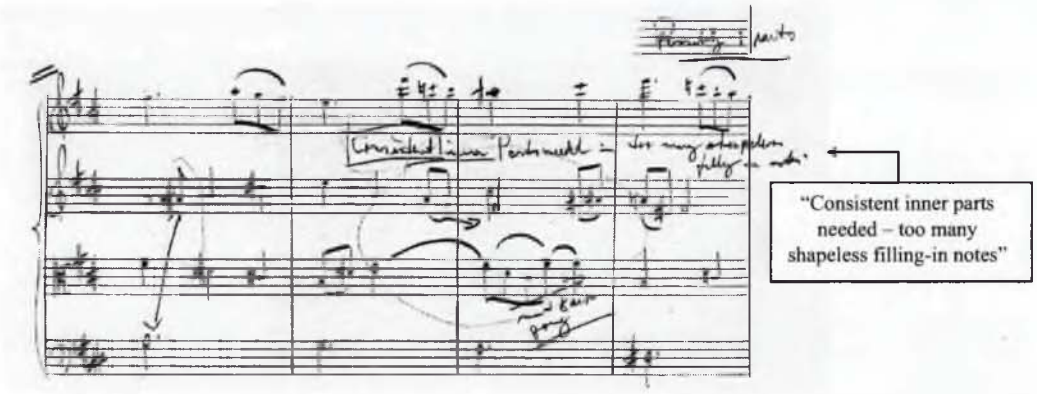


Figure 3.21: An extract from section 5 of the second draft, with Seiber's annotations.

draft, and to have more rhythmic momentum by moving in continuous quavers through the middle part of the section. But Banks evidently remained dissatisfied and continued to revise this section on sketches f1p3i16/VI^{r-v}, VII^{r-v}, and VIII^{r} (figure 3.22).

Each of these revisions retains the two original outer voices but continue to revise the viola line. Banks appeared to have difficulty finding a suitable melodic counterpoint to the top line, one that maintains its own motivic viability as well as contributes to an overall composite rhythm with the top voice of continuous quavers. While the exact sequence of these different sketches is indeterminate, the work was focussed on item VI^{r-v}. The three different sketches on VI^{r-v} show how the final version of the section is determined. The sketch at the top of VI^{r} introduces the upward leap in the first bar of the viola, which characterises the final version, and the phrasing of the viola line never coincides with that of the violin, thereby asserting its own independence—this was not the case in the previous sketch (IV^{r}). The sketch on VI^{v} is rough, but coincides with the final version, and is marked with both star (✡) and 'tick' (✓) symbols.[23]

3.5 Conclusion

A more complete list of the work that Banks did with Seiber during 1950 was written out by Banks himself on one side of a piece of manuscript paper dated the 13th of November 1950 (figure 3.23).

Most of the material on this list is an extension of the work that was

[23]The use of the symbol "✓" continued to be used by Banks in later years to indicate ideas and sketch fragments with which he was satisfied.

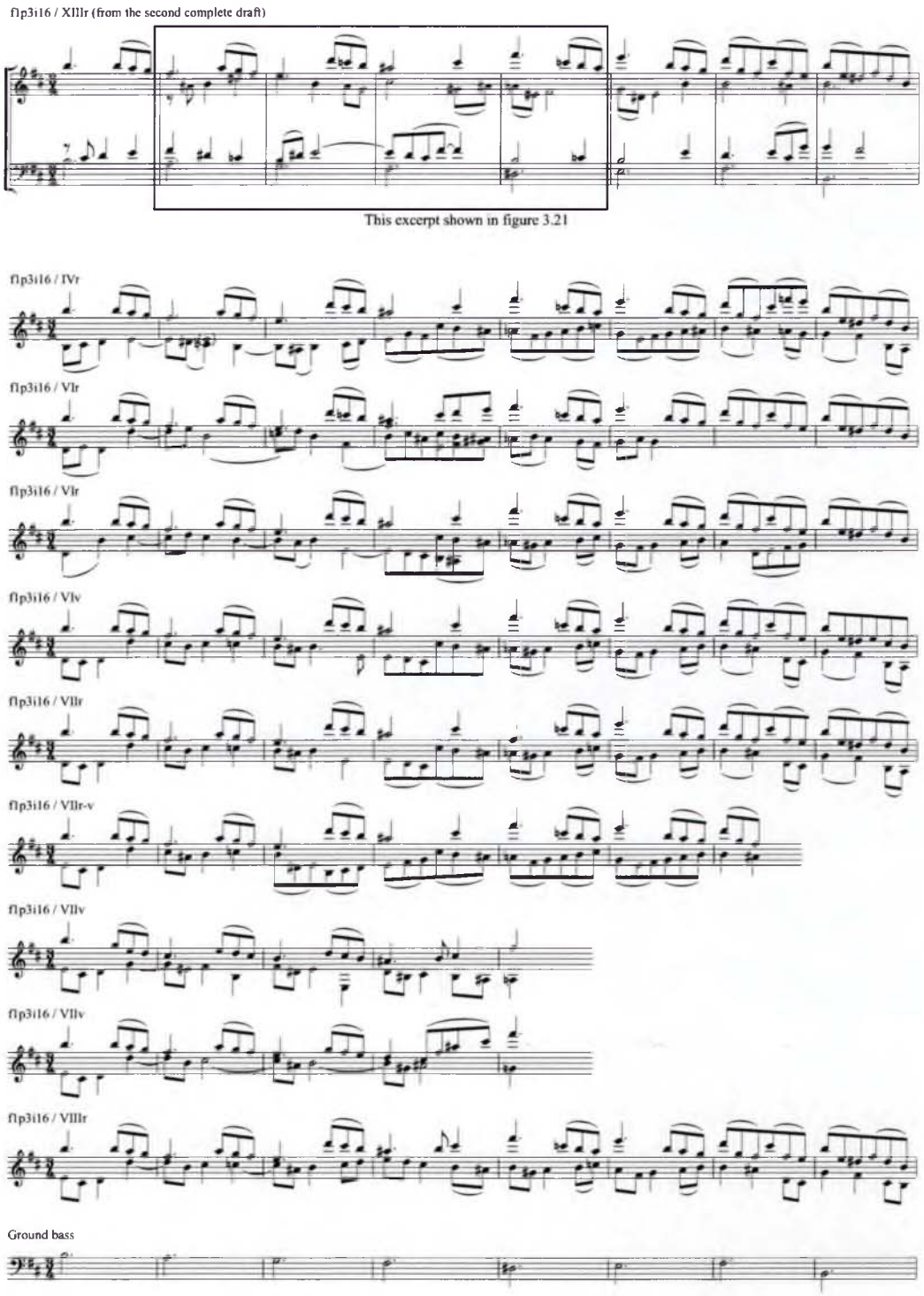


Figure 3.22: Banks's many drafts of section 5 of the 'ground bass' exercise. The ground bass is shown on the bottom stave.

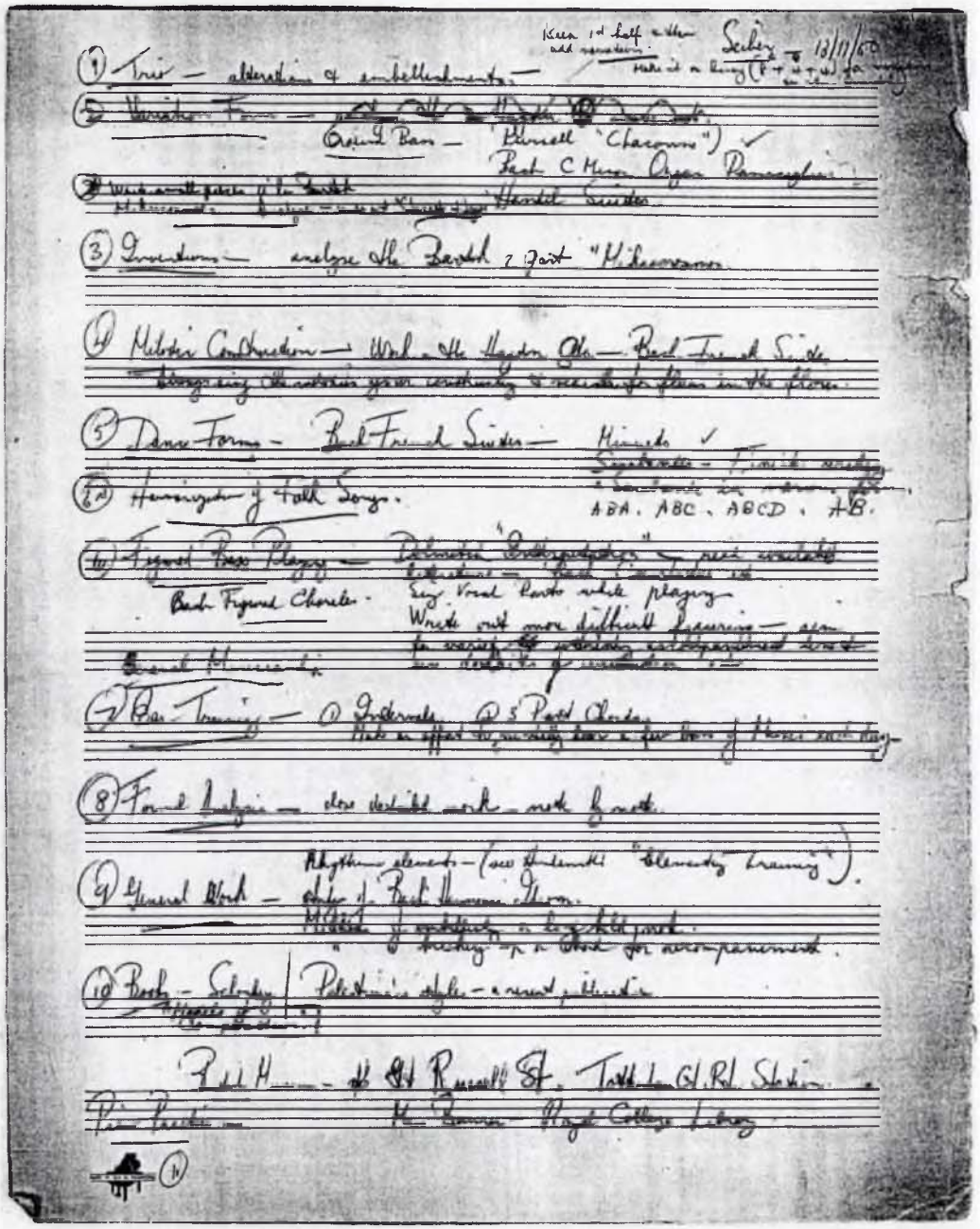


Figure 3.23: Banks's list of studies [f2p8i03].

started in May and June, such as the study of two-part inventions (which, on this list, include those of Bartók's *Mikrokosmos*), the analysis of formal

and thematic structures, the harmonisation of folk-song melodies (instead of chorale melodies), and general technical work such as "methods of embellishing a long held note." It is possible to use this list to account for most of the extant material from 1950 that is held in the Don Banks Collection, but what the material consistently illustrates is that the *method* of study remained constant: analysis and then emulation of models, in the manner that Seiber described to the I. C. A. Concourse in 1955. They illustrate a consistent emphasis on the systematic exploration of all of the available options in order to know what the best compositional choices are for any given circumstance.

From these early studies, and particularly from the ground bass exercise, the initial traits of Banks's own compositional practice can be seen. In particular, the practice of dividing a compositional project into two distinct areas of activity, analysis and composition, in which the pre-compositional (analysis) phase was less a means of determining specific materials with which to compose than as a means of knowing all of the possibilities for the use of the material. This is a direct result of Seiber's influence and teaching method. Furthermore, the practice of composing in sections according to a predetermined formal 'template', which was clearly illustrated in the ground bass example, was an approach that Banks continued to adopt throughout the rest of the decade—an approach that resulted (as will be shown) in a very conventional approach to musical form. This is a clear stylistic trait in Banks's music of the 1950s, and the reason for this trait has its origin in these initial studies with Seiber.

Chapter 4

The *Duo for Violin and Cello*

4.1 The sketch map

There are thirteen manuscript items that contain sketches or drafts of material relating to the composition of the *Duo for Violin and Cello*, all located in `folio 2, pack 8` of the Don Banks Collection.[1] These items are either fair copies of different versions of the music that Banks took to show Seiber at their weekly meetings, drafts of all or part of the different versions, or rough sketches of all or part of the different drafts.

The sketch map of these items, shown in figure 4.1, shows that Banks concentrated most of his compositional attention on just the first half of the completed movement, and in the first half, most of his attention was directed toward the composition of (approximately) the first twenty bars. The manuscript items containing material that extends beyond these first twenty bars are generally the drafts that Banks took to show Seiber at his weekly lessons, indicated by the presence of Seiber's handwritten annotations on these items.

The attention that Banks gave to the composition of the first half of the piece is consistent with his use of Bach's two-part inventions as formal models. His analyses of these models emphasised the ways in which Bach's thematic materials were transposed and manipulated to articulate the sectional structure of each invention (see page 73), and Banks structured his *Duo for Violin and Cello* in a similar manner. It consists of four themes that are transposed and recombined in different ways as shown in figure 4.2, and the interrelationships between the four themes from which the piece is

[1] In addition, there are four versions of the completed score in `folio 4 pack 1`, as well as a version of the completed first movement, written without the use of a key signature, in `folio 2 pack 8`.

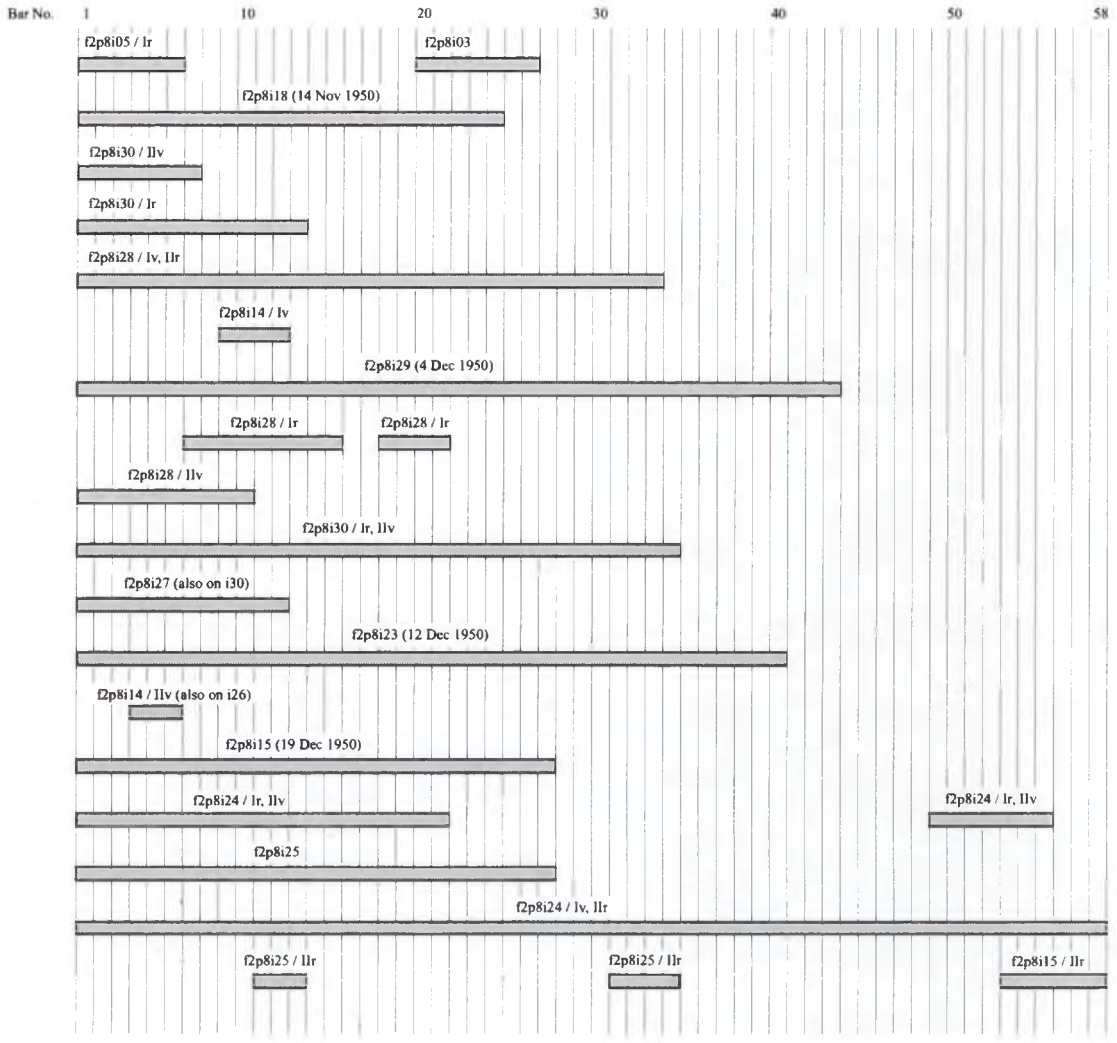


Figure 4.1: Sketch map of the *Duo for Violin and Cello.*

constructed are all stated in the first twenty bars of the movement, so by concentrating his attention on the first part of the composition, Banks was also, in effect, composing the remainder of the movement as well. However, while Banks adopted Bach's structural application of thematic material as a model for composing a movement from a limited set of thematic material, his music has a structural simplicity because of its near-symmetry around the central imitative section that distinguishes it from all of the Bach inven-

tions, which have levels of complexity and subtlety that Banks's exercise does not approach. In this sense Banks applied the principles of Bach's designs without attempting to emulate the finer details of Bach's music.

Rehersal marks:			A	B		C		D	
Bar No.	1	7	13	21	27	35	41	49	58
Violin:	Theme 1	Theme 2	Theme 3	Theme 1 ↑ P5*	Imitative	Theme 2 ↑ P4	Theme 4 ↑ P4	Theme 1 & coda	
Cello:		Theme 1	Theme 4	Theme 2 ↑ P5	Imitative	Theme 1 ↑ P4	Theme 3 ↑ P4	Theme 2 & coda	

* indicates transposition up a perfect fifth

Figure 4.2: Sectional structure of the *Duo for Violin and Cello.*

4.2 Draft `f2p8i18`

Four of the thirteen sketch items that relate to the *Duo for Violin and Cello* are dated, the earliest of which is item 18, a draft of the first twenty-four bars of the movement, dated the 14th of November 1950. This item was heavily annotated by Seiber.

There are two themes in this sketch, along with a 'free' section as the illustration in figure 4.3 shows.

Bar No.	1	7	13	19
Violin:	Theme 1	Theme 2	Free — imitation in bars 13–15	Theme 1 ↑ P5
Cello:		Theme 1		Theme 2 ↑ P5

Figure 4.3: Sectional structure of `f2p8i18`.

Although this is the first draft that Banks took to Seiber, the similarities

between this and the structure of the final version are clear in that both begin with the first theme stated by the violin alone, after which both themes are reflected around a free section that features elements of imitation between the two instruments. The main difference between this and the final version is that the latter is extended by the inclusion of two further themes, around which the first two themes are again reflected.

The use of the Bach model is clear from this first draft, yet nowhere in his annotations does Seiber make any notes in relation to the structural planning of the exercise; all of his comments concern the detail of the thematic and motivic material—the "atoms and cells" of the music.

4.2.1 Bars 1–7

With the exception of the hairpin crescendo indicated in bar 1, the first two bars of this sketch are the same as those of the final version, including details of bowing and phrasing, but the sketch and the final version differ from the third bar onward. Significantly, it is at this third bar that the first of Seiber's annotations occur. In bars three to five Seiber makes five annotations, all of which are concerned with the flow of the melodic line (figure 4.4).

With these annotations, Seiber was responding to the musical implications of the first two bars. The initial ascent, C–F–G–B♭, is followed by the suggestion of a descent in the second bar, which is interrupted in the third bar by the upward leap to D♭. The implication of the music, however, is that the descending line will be allowed to continue, and it is the interruption of this implication by the wide leaps at the beginning of bar 3 that Seiber described as spoiling the flow. Seiber's suggestion of G♮ instead of D♭ in

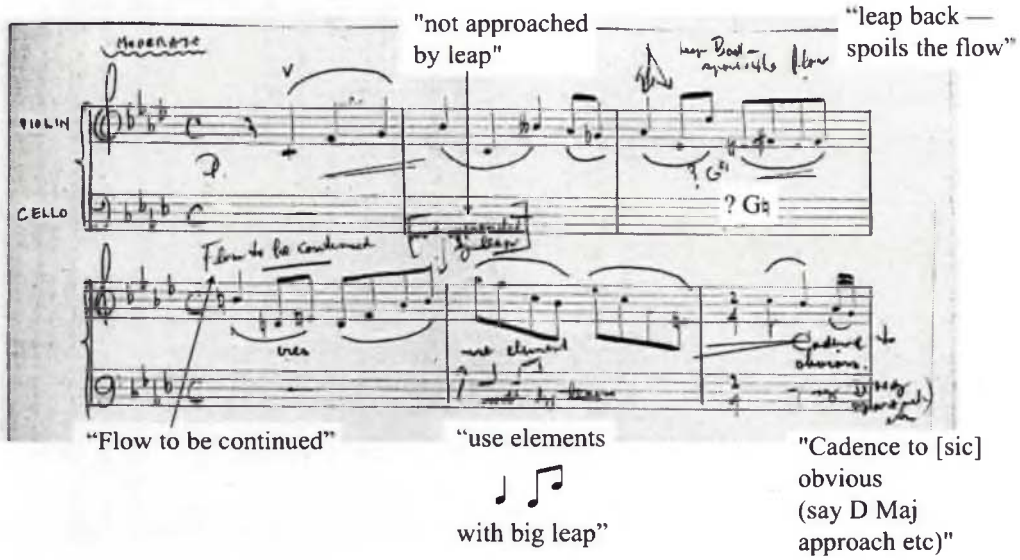


Figure 4.4: Bars 1–6 of `f2p8i18`.

bar 3 would allow the descending semitone line, B♭–B♭♭–A♭–G♮–F♯, to form the melodic background of these first three bars. This, together with the stepwise ascent in the lower register of the melody, would help to reclaim the flow that Seiber perceived to have been lost (figure 4.5).

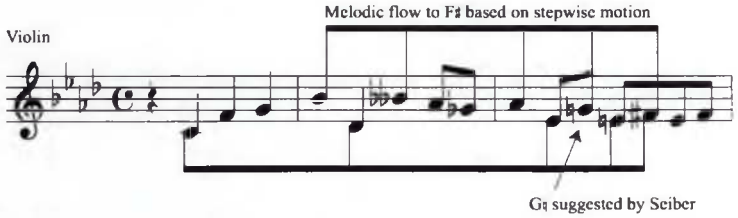


Figure 4.5: Melodic flow of bars 1–3 of `f2p8i18`.

The annotations in the fifth bar continue to emphasise melodic flow. His comments point out the disruptive effect of the wide leap across the bar line to arrive on the G at the start of bar 5, and he suggested using the

motivic figure from the start of bar 3 as a means of achieving a wide leap in the melody while avoiding the disruption to the melodic flow. In making this suggestion, Seiber was drawing Banks's attention to the functional aspects of the motivic elements of the music (in this case the use of a particular motive to effect a wide leap) in order to achieve more integration and economy in the use of the motivic materials in the music.

These few comments in bars 3–5 alone, therefore, indicate two aspects of the type of musical thinking that Seiber encouraged. The first was to understand and realise the implications of the music itself, and the second was to pay close attention to the functional economy of the materials.

Bar 6 leads to the first cadential point—the arrival on F at the start of bar 7 that marks the end of the first theme of the movement. Seiber's response to the manner in which Banks concluded this theme was: "Cadence to [sic] obvious (say D maj approach etc)". From the last beat and a half of bar 4 to the arrival on F at the start of bar 7, the music clearly articulates the key of F minor, particularly with the use of E♮ at the end of bar 5, as well as the emphasis on the notes of the dominant-seventh chord of F minor in the initial ascent from C to B♭ in bar 1 and in the pitches of bars 5–6 (figure 4.6).

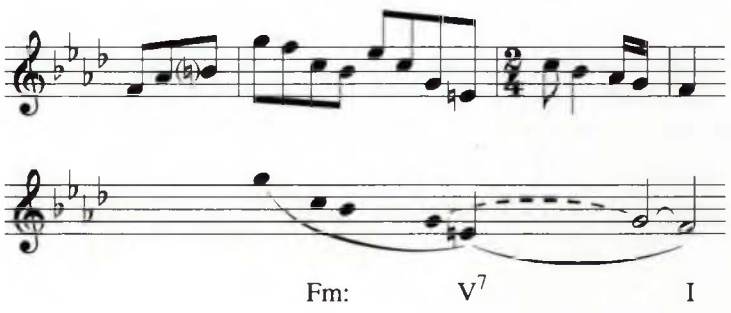


Figure 4.6: F minor tonal orientation in bars 5–6 of f2p8i18.

While this suggests that Banks's harmonic and pitch idiom was grounded in conventional tonal structures, Seiber's comment challenged the use of this F-minor tonality and urged Banks to approach the end of the theme in a different way, one in which the tonal instability of the preceding bars is perpetuated, and which demands continuation, rather than being made to settle into an otherwise premature stability.

Seiber's suggestion of a "D maj approach" is also indicative of a harmonic conception based on tracing paths through successions of moment by moment tonal areas, an approach which is common in jazz, and with which Banks would have felt comfortable from his experiences as one of the first bebop musicians in Melbourne in the 1940s.[2] Some evidence of this way of approaching pitch choices in his composition of thematic material can be seen on sketch `f2p8i05`, which contains sketch fragments related to the composition of the *Duo for Violin and Cello*, as well as other unrelated material. One of the sketch fragments shows two bars of thematic idea followed by its continuation written out as chord symbols, C-G^7-C^7-F^4-$B\flat^7$ (figure 4.7).

Figure 4.7: Successions of chords used in the composition of thematic material [`f2p8i05`].

[2] *Australian Composer Don Banks (1923-1980): The Melbourne Jazz Days 1938-1950*, produced by Simon Banks and Don Reid, 39 min., 1985, videocassette.

4.2.2 Bars 7-12

The cello enters at bar 7 and plays the opening theme while the violin continues with a second theme as an upper counterpoint to the cello. The restatement of the opening theme in the cello invites no further comments from Seiber, but the new theme in the violin does. Seiber described the melodic leap up from the F to E♭ in bar 7, and its subsequent descent in bar 8, as "good", whereas the continuation of the theme in bar 9 was described as "weak" (figure 4.8).

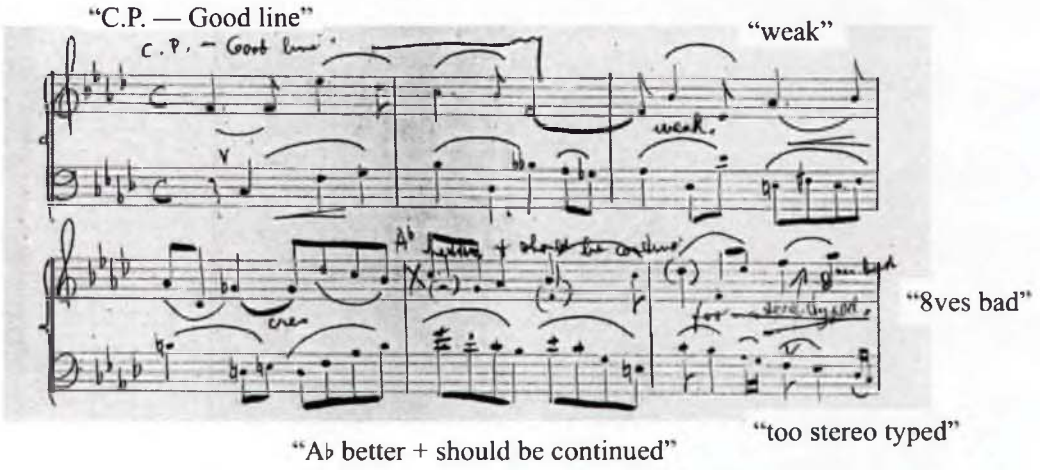


Figure 4.8: Bars 6–11 of f2p8i18.

The nature of these and the remaining comments in this sketch continue to emphasise the importance of 'flow' and its related concept 'motion', along with the integrity of the fabric of the texture. These points are conventional considerations in two-part counterpoint and so Seiber appears to have been orientating Banks toward a solid application of traditional contrapuntal technique to his own exercises. The comment "good line", for example, was given to a line which is goal oriented, primarily stepwise, and is independent to the

lower theme in every way—contour, rhythm, phrasing, and interval content. The "weak" comment occurs at a place where the independence of the upper theme stalls momentarily because at that point both themes proceed by wide leaps and the contours of each are similar. Seiber's comment "A♭ better + should be continued" was also aimed at improving the melodic flow since the notes that Seiber suggested in bar 11 would have create an essentially stepwise passage from D♭ down to F and then back to F again an octave higher to continue with a stepwise ascent(figure 4.9).

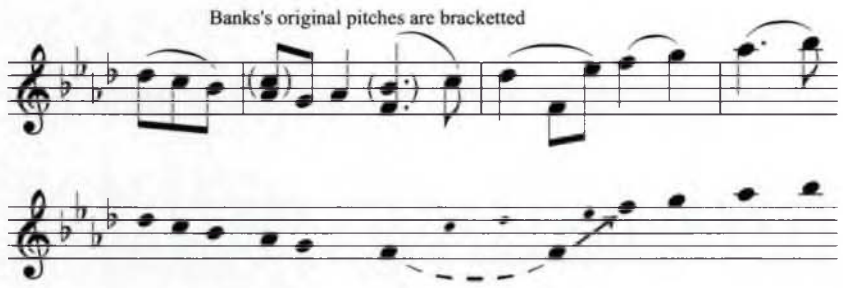


Figure 4.9: Seiber's annotations in bar 11 emphasise conventional stepwise motion.

The point at which this section ends is marked by the simultaneous arrival of both the violin and the cello on the pitch F. Here, and in other places on the draft, Seiber indicates that such octaves are "bad" or "weak" thus reiterating the conventional approach to counterpoint which seeks to minimise the aural effect of octaves in the fabric of the music.

4.2.3 Bars 13–18

The first and second themes, in the cello and violin respectively, run directly into the third and fourth themes that begin at bar 13. Seiber's annotations in this section again concern conventional errors such as the questionable

disposition of octaves (bar 13) and fourths (bar 16), and he also drew Banks's attention to a musical figure in the cello line in bar 15 that he deemed "too static" (figure 4.10).

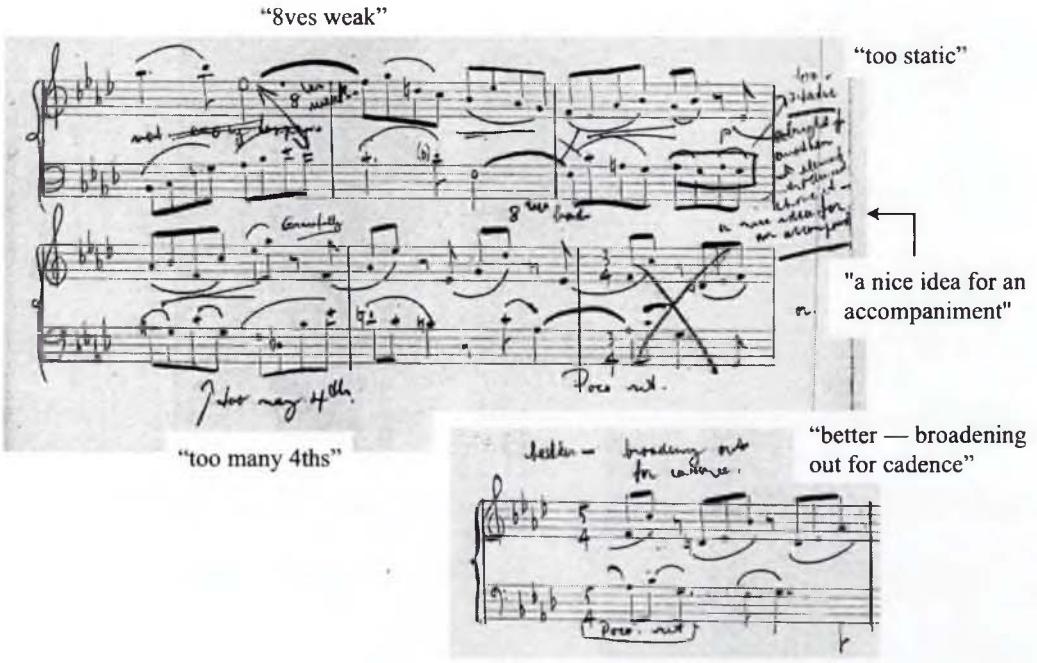


Figure 4.10: Bars 13–18 of f2p8i18 (including Banks's two alternatives for bar 18).

The figure in question is the oscillation of A♭ and G, which occurs over a duration of four crotchets in bars 15–16. Seiber's comment is that it is too static, although he also says that it is a "nice idea for an accompaniment", a comment that is consistent with the character of Bach's two-part inventions in which the themes and ideas have their own integrity and independence from each other. Seiber's point is that writing a two-part invention is not the same as writing a melody and an accompaniment, in which one is subordinate to the other. Each voice must claim its own part of the texture in a manner equal to the other voice, and so the static figure in bars 15–16 is a textural

error.

Banks presented Seiber with two versions of bar 18, one in a $\frac{3}{4}$ metre and the other in $\frac{5}{4}$, to lead in to the next section. Seiber preferred the second option because, as he commented, it broadens the theme out in preparation for the cadence. This point in the music then is intended to be an aurally identifiable transition into the next part of the piece and Seiber opted for the clearest indication (the "broadening" of activity) that a cadential point is being approached.

4.3 Sketch `f2p8i05`

In the final version of the music, bar 3 is a repeat of bar 2, transposed down a tone, and this repetition is present in all of the sketch items except `f2p8i18` (just discussed) and `f2p8i05`. Figure 4.11 shows a comparison of the first three bars of `f2p8i05`, `f2p8i18` and the final version, and it is clear from this that the sketches on `f2p8i05` precede `f2p8i18`.

Item `f2p8i05` contains two sketches of bars 1-6, the second of which offers three alternatives for bar 6. The first two bars of both sketches are essentially the same as the final version except that in the first sketch the sequence of notes in the first bar is C–G–F instead of C–F–G. The second sketch however places these notes in their final ordering.

The first sketch of `f2p8i05` is therefore the earliest sketch fragment for the piece (figure 4.12). In it the character of the opening of the work is defined and thereafter does not alter. In the second sketch Banks attempted to refine the material which follows the opening two bars by giving it a more defined contour and sense of direction.

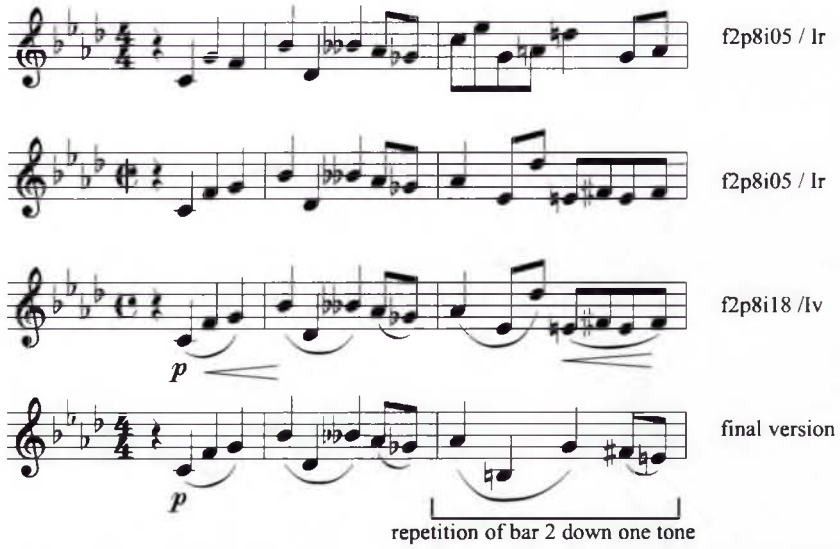
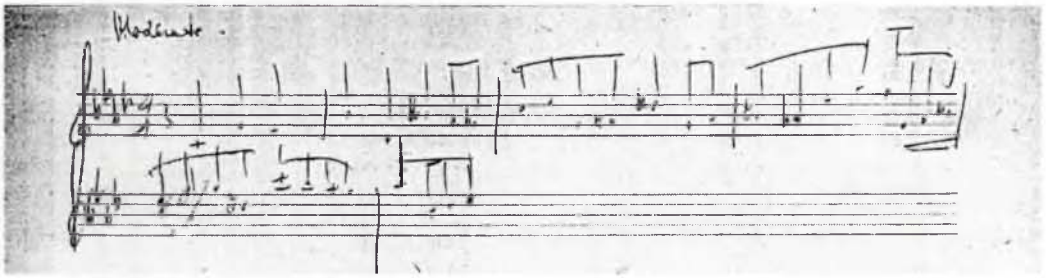


Figure 4.11: The first three bars from sketches f2p8i05, f2p8i18, and the final version.

The three alternatives for bar 6 bear little resemblance to either of the two alternatives that he eventually presented to Seiber on f2p8i18, with the exception of the general structural descent to the F that starts bar 7, which Banks evidently had clearly in mind as the point of arrival for this initial theme.

It is clear, therefore, that Banks started the composition of this exercise with a strong conception of the opening two bars, and with a tonal orientation around F minor. The thematic material that follows the opening two bars, however, shows, in these sketches, the first signs of being developed and shaped, but the fact that bar 6 differs significantly from that of f2p8i18, and that item 18 continues for twenty-four bars, suggests that there may be intermediate sketches that have since been lost (or remain unidentified) that link item 5 with item 18. However, the nature of bars 3–4 in both of the sketches on item 5 convincingly place it before item 18 in the chronology,

(a) First sketch of the opening theme on f2p8i05/Ir



(b) Second sketch of the opening theme on f2p8i05/Ir, with three versions of bar 6.

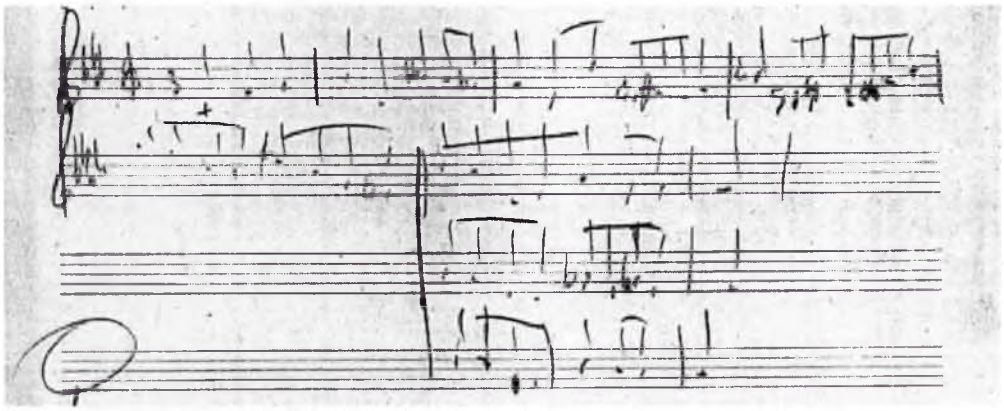


Figure 4.12: Two sketches for the opening six bars on `f2p8i05/I`^{r}.

and establish it as the earliest sketch of the piece.

4.4 Draft `f2p8i29`

Item 29 (`f2p8i29`) is an extended draft of approximately forty-three bars, written out neatly in preparation for Seiber's scrutiny, and dated the 4th of December 1950, which makes it the next dated draft after item 18. Again, using only two themes, Banks extended this draft to include a second 'free' section and a third statement of the two themes in the manner illustrated in

figure 4.13.

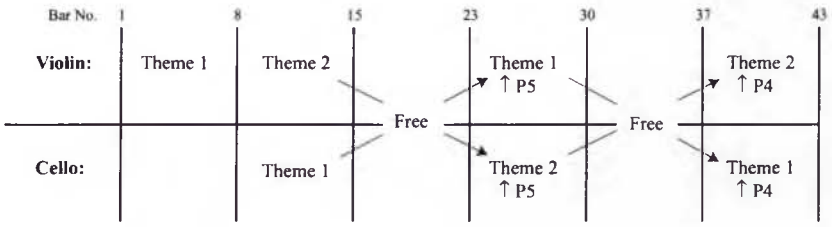


Figure 4.13: Sectional structure of f2p8i29.

The first significant difference between this draft and the previous one is the alteration of bar 3 (figure 4.14).

The repetition of the second bar a tone lower addresses Seiber's concern that the flow of the music be maintained since it provides the theme with a stronger sense of movement towards the F♯ of the third bar. Banks achieved this by incorporating Seiber's suggestion on item 18 to use G♮ in the melody in order to get the descending semitone motion of B♭–B♭♭–A♭–G–F♯. The semitone structure is also reflected in the lower strata of the theme by the neighbour motion C–D♭–B♮ (figure 4.15).

Bars 4–5 of item 29 (appendix, p. 39) ascend to the top G♭ at the start of bar five in a manner which is more conjunct than the theme of item 18. Again Banks was addressing the issue of flow by eliminating wide leaps and by placing the leaps that he does include on metrically weak beats. By making the ascent occur over two bars instead of one, Banks allowed himself the space to approach the high-point in a scalar fashion in response to Seiber's comment, "flow to be continued", in the fourth bar of item 18. The subsequent descent from the G♭ to the F at the end of this first theme also occurs over two bars, but this time the motion is essentially disjunct. The leaps of

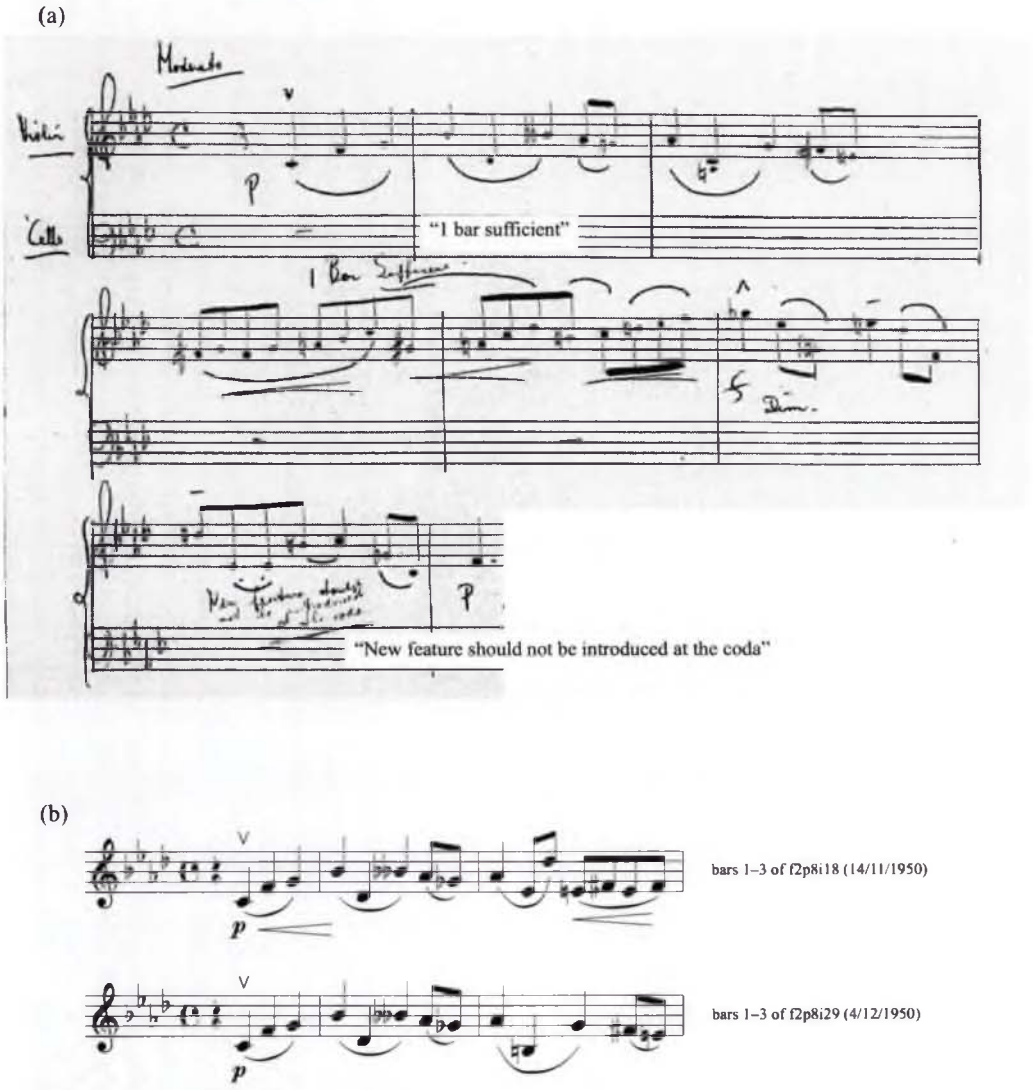


Figure 4.14: (a) Bars 1–7 of `f2p8i29/I`^{v}; (b) Bars 1–3 of items 18 and 19.

sixths are variations of the material in bars 2–3, which contrasts with the stepwise motion in bars 4–5, thereby structuring this first theme into three units of 3 bars + 2 bars + 2 bars.

Seiber made no annotations to the first three bars of this draft, suggesting that he was happy with the way the theme started—and in this draft

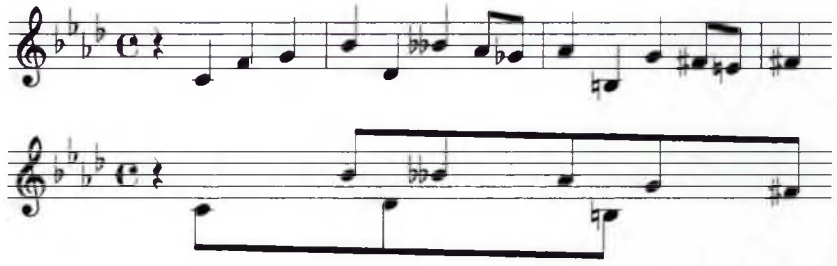


Figure 4.15: Banks's refinement of the semitone structure of the melody in bars 1–3 of f2p8i29.

these bars are in their final form. However, Seiber suggested that one bar is sufficient for the scalar ascent to G♭ in bar 4, rather than two, and he also criticised the introduction of the new idea (the slurred, staccato notes) in bar 7, noting that the end of the theme is an inappropriate place to introduce new material. Banks addressed both of these comments in his next draft (see section 4.6).

The arrival of the violin on F at the beginning of bar 8 signals the end of the first theme and the beginning of the second, as it did on item 18. Banks retained the idea with which the second theme began on item 18, since Seiber's annotation described it as a "good line" (figure 4.8), but the remainder of the theme was entirely reworked for this draft. This revised theme, however, attracts no further comments from Seiber (figure 4.16).

f2p8i18, 2nd theme (bars 7–12)

f2p8i29, 2nd theme (bars 8–14)

Figure 4.16: The second theme of drafts f2p8i18 and f2p8i29.

4.5 The sketches between `f2p8i18` and `f2p8i29`

The sketch items that link `f2p8i18` with `f2p8i29` are summarised in figure 4.17, which is an expansion of the sketch map shown in figure 4.1.

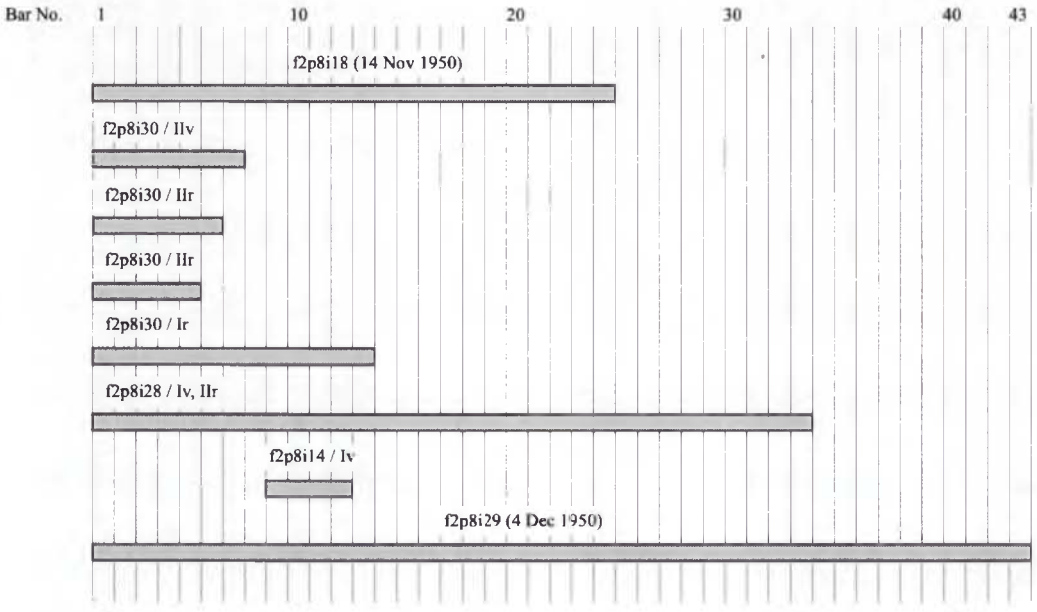


Figure 4.17: Sketch map section from `f2p8i18` to `f2p8i29`.

The two inner faces of item 28 (`f2p8i28/I`^{v} and `II`^{r}) contain a pencil draft of the first 33 bars of the piece, corresponding to those of item 29. The degree of correspondence is almost total, but there are some small differences.

The general shape of the material in bars 10–12 is the same in both items 28 and 29—an ascent from B♭ in bar 10 to A♭ in the following bar and its subsequent descent to C at the end of bar 12—but the specific pitch choices differ between the two (although item 28 contains additional notes that Banks sketched in that make the correspondence between the two sketches closer, and it is for this reason that item 28 clearly precedes item 29 (figure 4.18)). The differences in bars 11 and 12 suggest that Banks was struggling with the

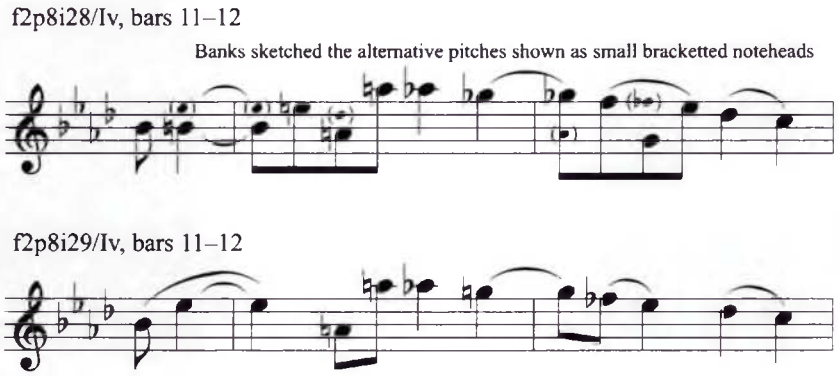


Figure 4.18: Bars 11-12 of f2p8i28 and f2p8i29.

balance between conjunct and disjunct motion, since the descent from A♮ to C in item 29 is entirely stepwise, eliminating the wide leaps in bar 12, and the jagged contour in bar 11 of item 28 is softened by displacing the E from bar 11 to bar 10 and by slowing the rate of activity in bar 11.

In addition to the amendments that Banks made to item 28 by sketching in alternative pitches, item f2p8i14/I^{r} further refines bars 9–12 to bring them closer to the version drafted on item 29. Six different versions of bars 10–12 were written out on item 14, showing the transformation of the material from f2p8i28 to that of f2p8i29. The first of these differs from item 28 only in bar 12, where it contains a stepwise descent from G♭ to C, although this stepwise motion is indicated on item 28 by the addition of the F on the staff as shown in figure 4.19.

The second sketch on item 14 is identical to item 28, but the third to sixth sketches show the main changes that link item 28 to item 29 (indicated by the arrows in figure 4.20). The B♮ at the end of bar 10 (shown in figure 4.19) was changed to become E♭, and the rhythm of bar 11 was altered to two quavers and three crotchets, as it is in item 29 (compare figures 4.19 and

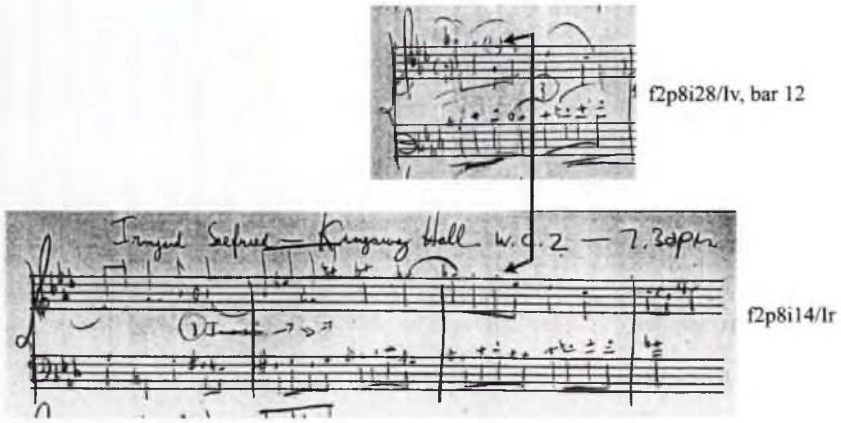


Figure 4.19: Bars 10–12 of `f2p8i28`, showing the revision that is rewritten at the top of `f2p8i14/I`^{r}.

4.20). The last version is identical to that of item 29 except the two A♮s in bar 11 are spelt as B𝄫.

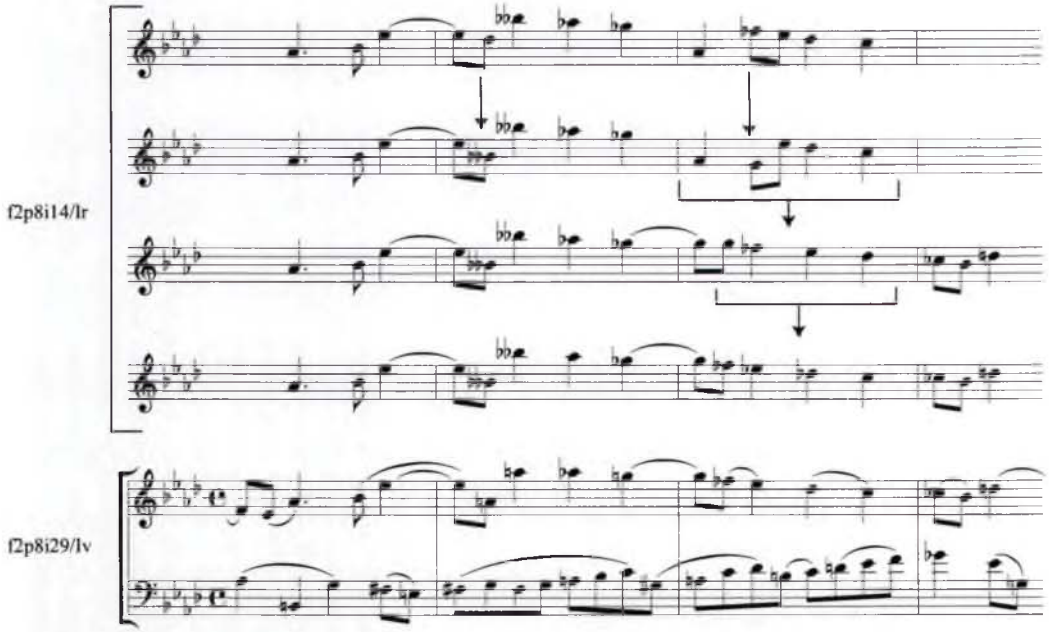


Figure 4.20: The third to sixth sketches (from top to bottom) on `f2p8i14/I`^{r} of bars 10–12.

Working backwards again from item 28, the sketches that link it to

item 18 are found on f2p8i30. The fourteen bars that were written out on f2p8i30/I^{r} contain the only other occurrence of the repeated slurred-staccato note that appears in bar 7 of items 28 and 29 (see figure 4.21). In none of the other sketch items does this figure again occur, which confirms that these sketches precede item 28, since Seiber stopped the use of that idea on item 29.

Item 30/II^{v} is the first place that Banks sketched the first three bars in the form that they take in the final version of the music, but there are no sketches that show the process of revising bar 3 in between that of item 18 and item 30. However the main focus of the sketches on both f2p8i30/I^{r} and I^{v} is on finding the best means of ascending to the high G♭ at the start of bar 6 in a manner that does not "spoil the flow" in the way Seiber indicated on item 18. These sketches, transcribed in figure 4.21, show that Banks was determined to retain the oscillating motive from the last half of bar 3 of item 18, although the revision to bar 3 moved this figure to the start of bar 4, and its pitches were subsequently revised from E♮–F♯ to F♯–G. The sketches also show that Banks adhered to Seiber's comments on item 18 and rejected the sketches that leap across the bar line to the G♭, and he also concentrated on using conjunct motion as much as possible, together with the ♩♫ figure that Seiber suggested on item 18.

4.6 The sketches leading to f2p8i23

Following Seiber's comments on the draft dated the 4th of December 1950 (f2p8i29), Banks found himself with the task of reducing his two-bar ascent to G♭ over bars 4–5 down to one bar as Seiber suggested, and he also had

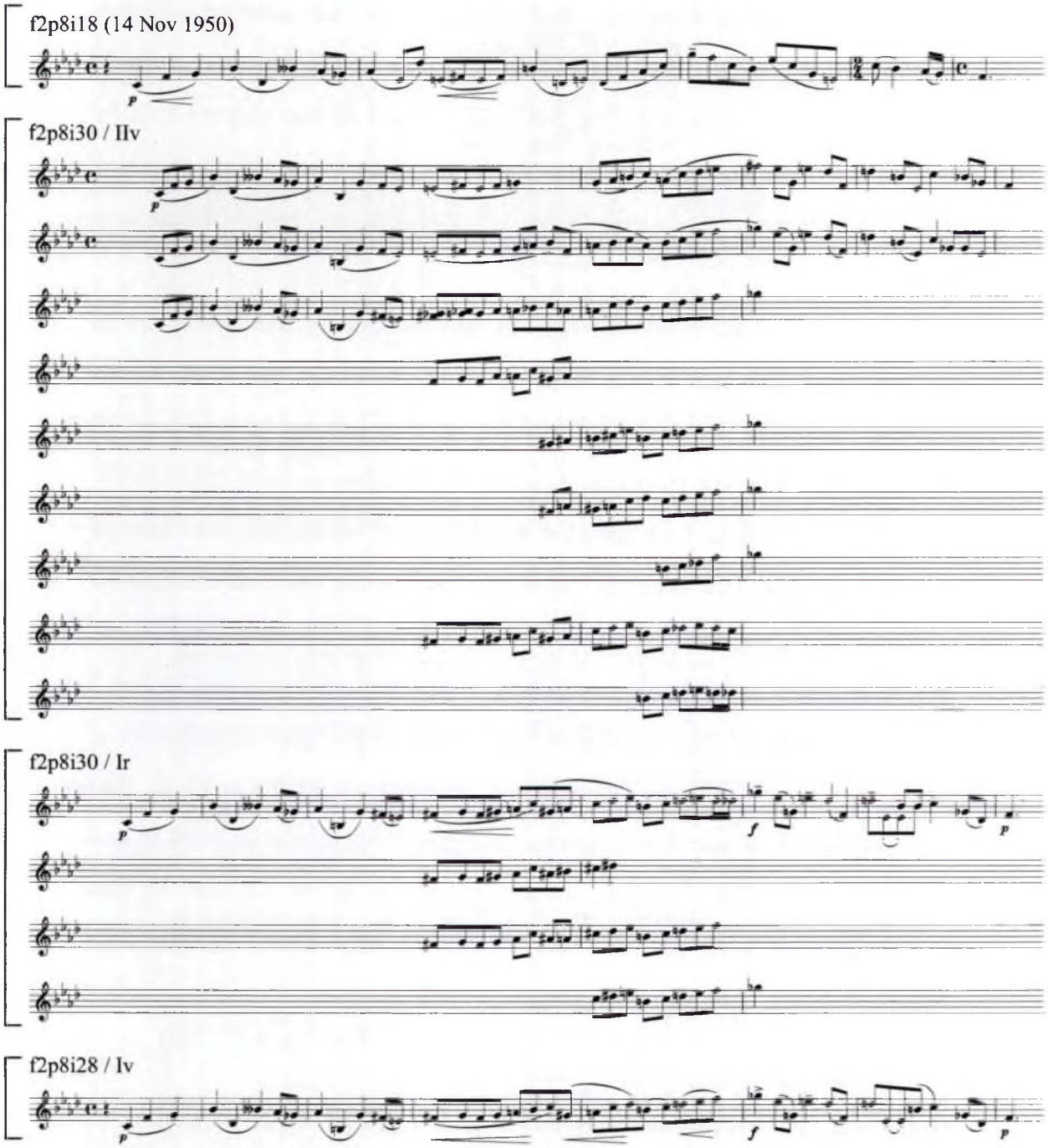


Figure 4.21: Item 30.

to deal with the problem of removing the repeated slurred-staccato figure in bar 7. He addressed both of these problems on the outer faces of the bifolium item 28 (f2p8i28/I^{r} and II^{v}).

Toward the top of item 28/II^{v}, Banks wrote out the first few bars of the piece again with two different versions of bar 4, both of which rise to the high F♯ (G♭) over one bar instead of two. There is also a third version of bar 4, and on this version the slurred-staccato figure that was in bar 7 was removed. On the fourth system, however, is the version of the ascending bar that appears on the draft dated the 12th of December 1950 (item 23). On this sketch the theme was written out in its entirety (now six bars long instead seven), as both an upper voice and a lower one, and its corresponding counterpoint, theme 2 (figure 4.22).

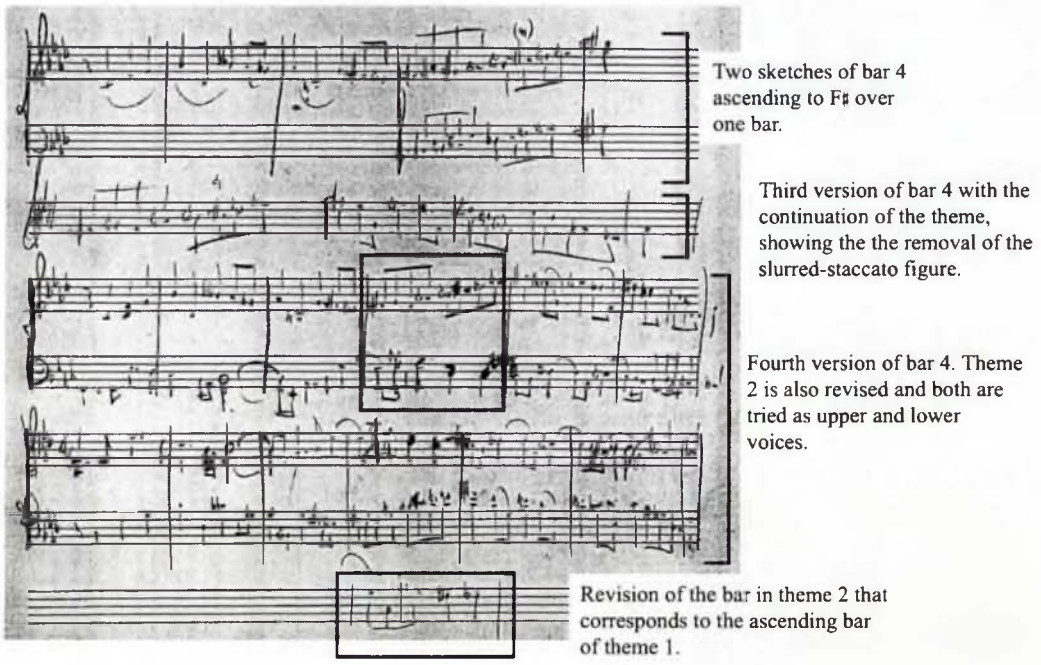


Figure 4.22: Revisions of themes 1 and 2 on f2p8i28/II^{v}.

The reduction of the theme from seven bars to six necessarily resulted in a corresponding modification to the counterpoint intended for this part of the theme. Accordingly, the bar in the counter-theme, theme 2, that corresponds to the bar that ascends to the F♯ in the main theme (bar 4, shown in the box on figure 4.22) was also altered.

The opposite face on item 28 (`f2p8i28/I`^{r}) shows how Banks tackled the second problem, that of dealing in some way with the slurred-staccato motive. On item 29 this motivic idea occurs at least once in every bar in each of the two 'free' sections (bars 15–23 and 30–37, see figure 4.13), and so removing this motive altogether meant reworking those sections of the score altogether.

The imitative idea that begins the first of these two 'free' sections was sketched on item 28/I^r, although on this sketch the imitative distance between the two voices is only one crotchet beat, and not four beats as it eventually becomes (see figure 4.23).

However, Banks approached the composition of the ideas and motivic materials within these sections in a very systematic way, shown on `f2p8i27`. On these pages Banks took the first theme and parts of the second theme, as they stood at that point in the compositional process, and systematically fragmented them and manipulated the fragments in order to generate new but related motivic and thematic ideas.

Figure 4.24 shows the top three lines of the item 27/IIr. On the top line Banks wrote the first theme and under it, labelled "1" in the margin, he subjected this material to various manipulations as indicated on the illustration, all of which are characterised by either the quasi arpeggio of the first four

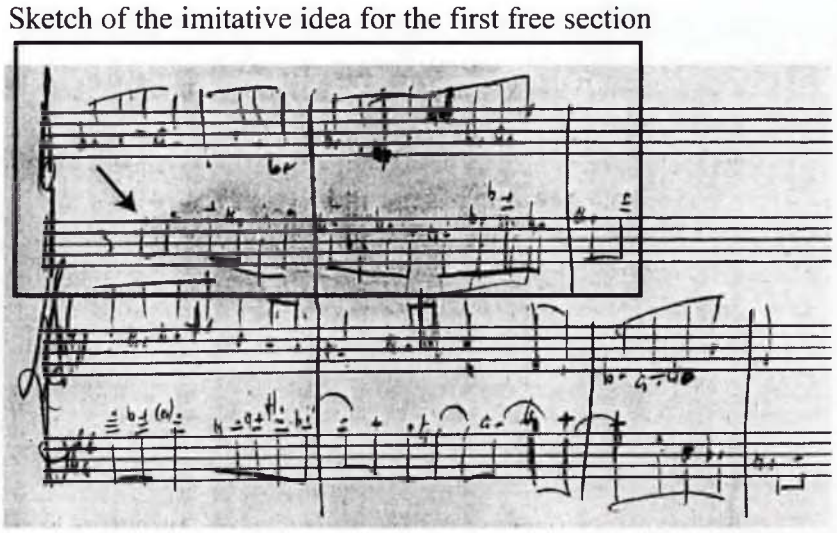


Figure 4.23: Imitative idea (f2p8i28/I^r).

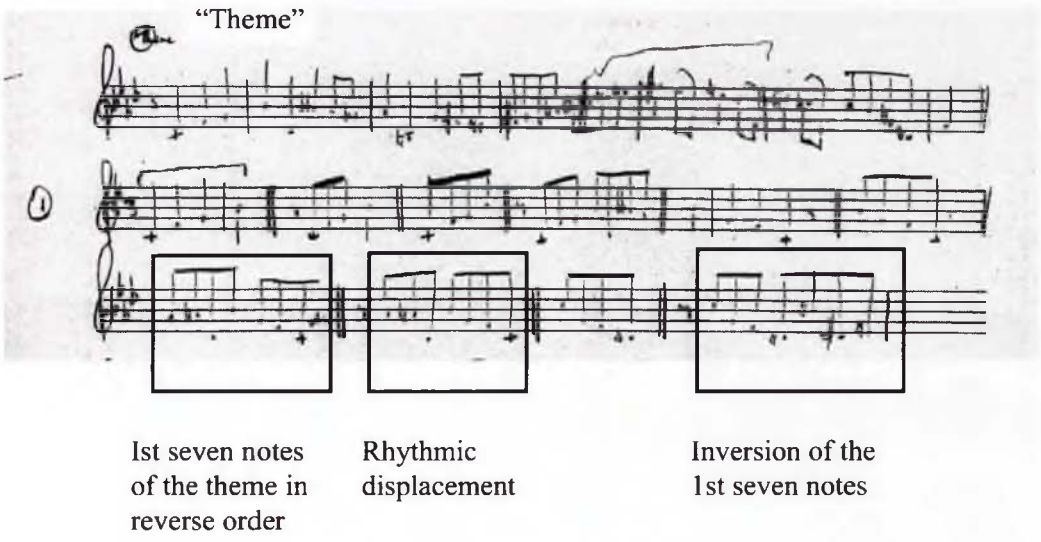


Figure 4.24: The top three lines of f2p8i27/II^r.

notes, or by the wide leap present in the second bar of the theme, or both. Banks continued with this technique down the page, numbering each of the fragments from the initial theme. Some of these ideas find their way into the

next draft (for example, the idea that Banks ticked at the end of line "9"), but more significantly it shows Banks's further adoption of Seiber's maxim that he explore all of the possibilities that are latent in his materials, and try to draw out all of these possibilities. The point is not to use all of these generated ideas, but to know them all in order to be able to choose the best ones. These sketches exemplify this principle, which Banks here applied in order to generate new material.

The 'free' sections that Banks subsequently reworked were sketched in rough form on the inner faces of item 30 (`f2p8i30/I`^{v} and `II`^{r}). He then copied them out neatly in blue biro onto item 23, dated the 12th of December 1950, and took them to Seiber for his comments.

4.7 Drafts `f2p8i23` and `f2p8i15`

Seiber's first annotation on this draft suggests D♯ at the start of the fourth bar rather than the F♯ that had been constant since the sketches that preceded item 29 (figure 4.25).

The suggestion to begin the fourth bar with D♯ would satisfy the implications of the downward motion started in bar 2 —B♭–B♭♭–A♭–G–F♯–E♮–D♯— shown in figure 4.26, and it would also complete the process of filling in the intervallic space between C and B♭ that was opened up in the first bar.

Altering the start of bar 4 would necessarily result in yet another revision of the way in which the thematic climax, F♯, is approached and, accordingly, Seiber suggested that this climactic point need not be as high as F♯, which is an option that Banks had not explored. Seiber also wrote the comment "leaps to smooth motive" underneath bar 6, along with the suggestion that

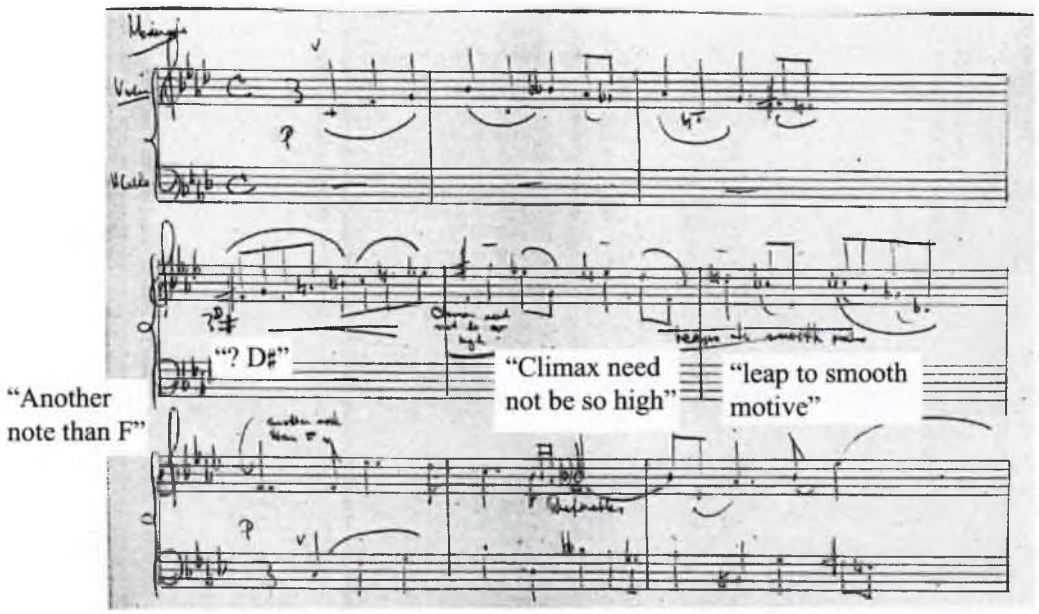


Figure 4.25: The first three systems of f2p8i23/I^{v}.

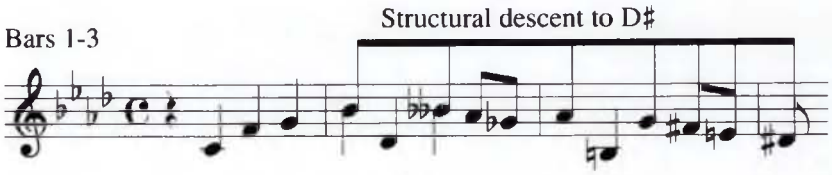


Figure 4.26: Descending structure of the opening three bars, concluding on D♯.

"another note than F" be used as the point of elision between the end of the first theme and the beginning of the next. These comments resulted in Banks preparing yet another draft, item f2p8i15, for the following week (figure 4.27).

This next draft, dated the 19th of December 1950, is anomalous in that while Banks revised the first theme, adopting Seiber's comments concerning the use of leaps and of finding another note on which to end the theme, he did not adopt either of Seiber's first two comments from the previous

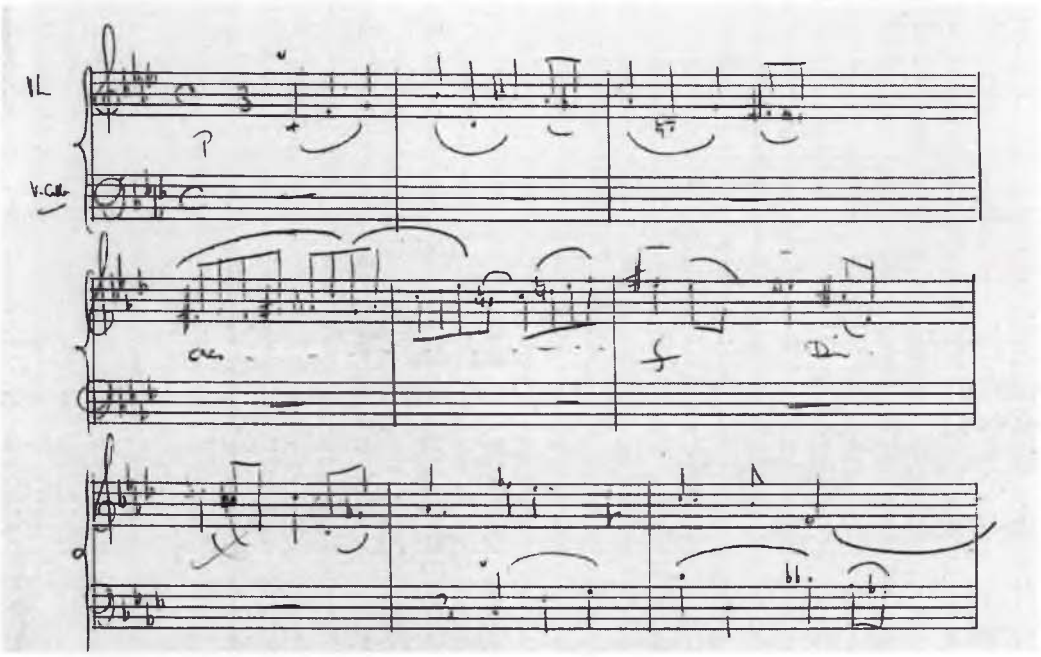


Figure 4.27: The revised first theme on item 15.

draft about using D♯ in bar 4 or lowering the climax of the theme from F♯. However, this draft contains several different versions of bars 5–8 and there are no annotations by Seiber, so it is likely that Banks further revised this draft before his next meeting with Seiber.

The only sketch in the collection that links item 23 to item 15 is found on `f2p8i14/II`^{v}, which was in turn copied out neatly onto item 26 (figure 4.28). The sketches on these pages show twelve versions of the two-bar ascent from F♯ in bar 4 to G♭ and the top one on the page is identical to item 29. On item 26 there is a tick next to the sixth version on the page, and it is this one that bears the closest resemblance to the two-bar ascent on item 15 (the only difference being that the fourth note in the bar is a G♯ on item 15, not G♮).

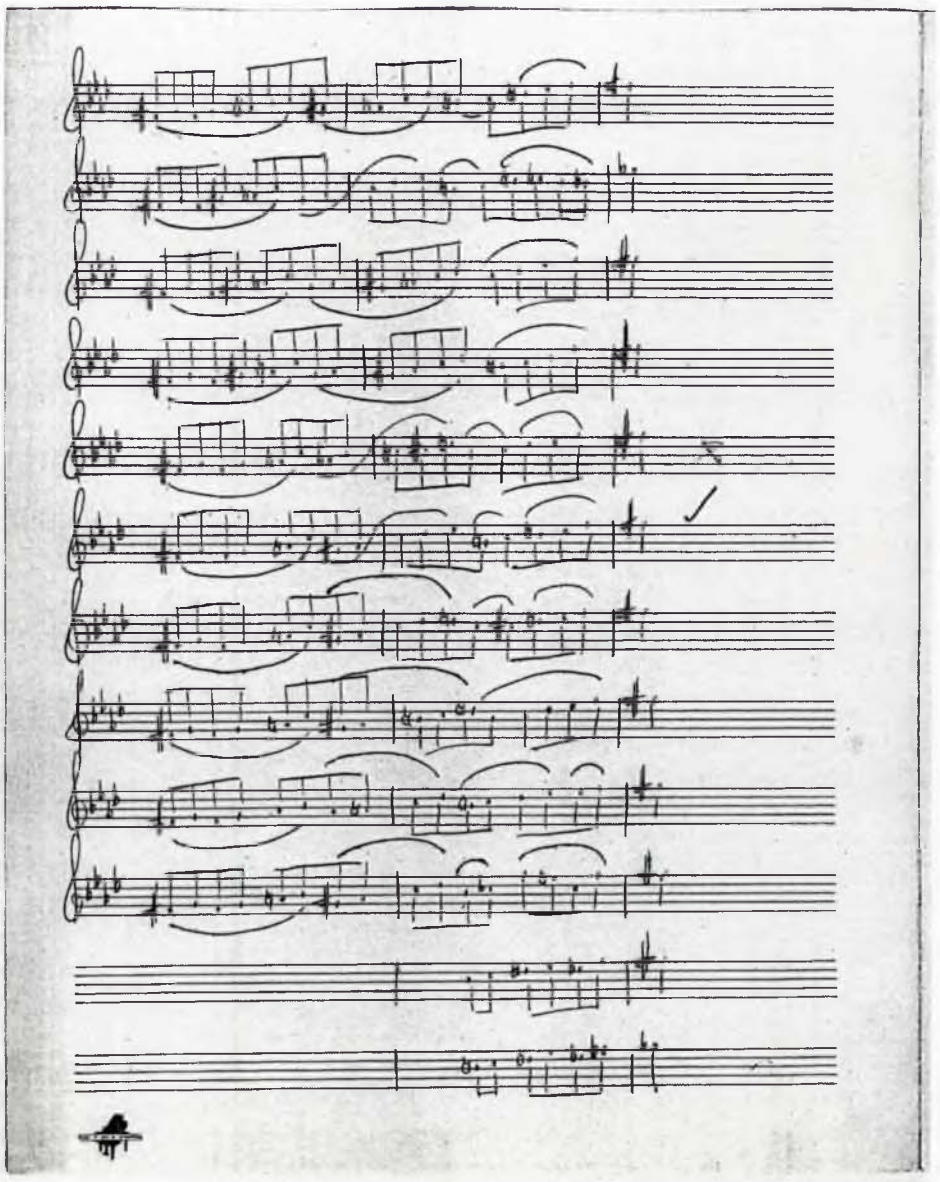


Figure 4.28: Revisions of bars 4–5 on f2p8i26.

4.8 Draft f2p8i25

The logical continuity of the sketch items, however, continues with items 24 and 25, of which item 25 was also dated the 19th of December 1950.

Item 24/I^{r}--II^{v} is the rough sketch of the draft that was written on item 25, and here Banks adopted Seiber's suggestion of D♯ at the beginning of bar 4 and the consequently lower climax (now D♮) at the beginning of bar 5. He also concluded the theme on G♭ rather than F, following Seiber's instruction to find another note for that point (figure 4.25).

On item 24 Banks wrote out many versions of bars 5–8, characterised for the first time by the ascending leaps that appear in the final version of the music, instead of descending leaps that occur in the previous sketches (figure 4.29).

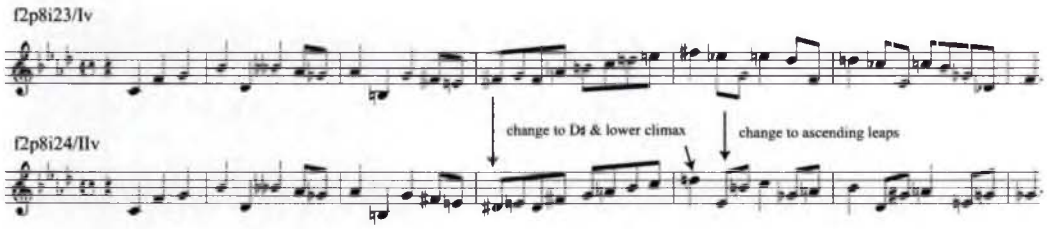


Figure 4.29: Comparison of bars 5–7 of `f2p8i23` and `f2p8i24`.

The draft on item 25 is a neatly written out version of item 24. On this draft Banks wrote out his alternative versions of bars 6-8 but Seiber, rather than choosing one of these alternatives, altered three of the notes in the first alternative, which bring these bars into accord with those of the final version (figure 4.30).

The draft on item 25 is very close to the final version after Seiber's corrections are taken into consideration. The differences between this and the final version are that the start of bar 7 is a C♭ in the draft whereas it is a G♭ in the final version, and bars 11–13 are not yet as per the final version.

The corrections that Seiber made in bars 6-8 of item 25 again show his

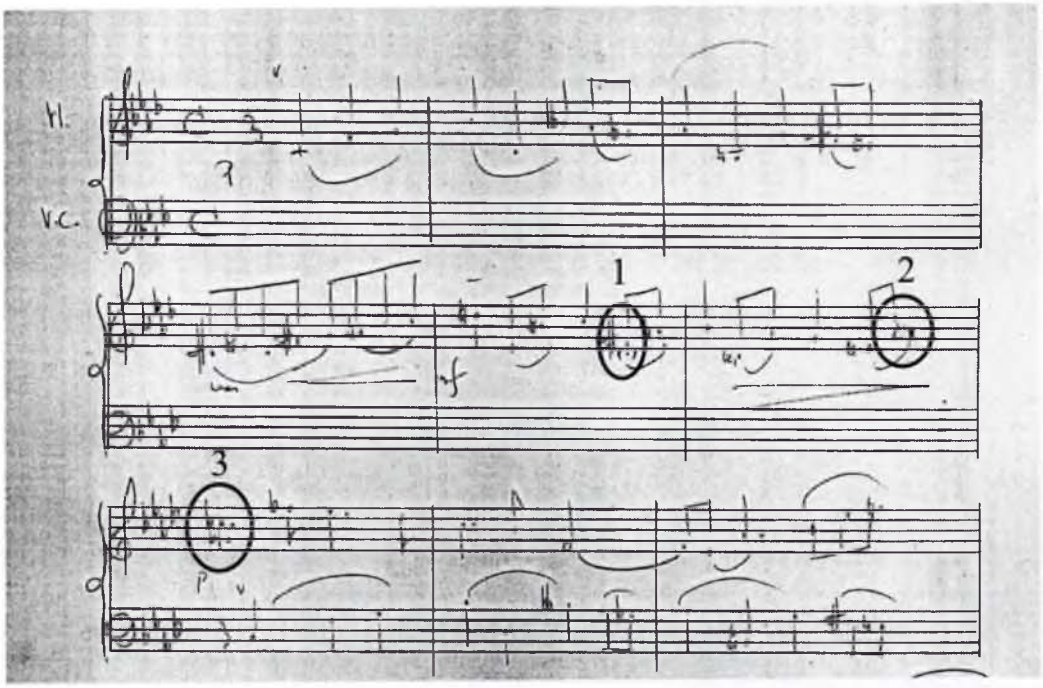


Figure 4.30: First theme on f2p8i25: (1) F♯ changed to D; (2) D changed to A♮; (3) C♭ changed to G♭.

concern with melodic flow. Like the opening bars, wide leaps in bars 6–8 divide the melodic line into two strata and Seiber's revisions have the effect of focussing the convergence of these two strata onto the G♭ at the start of bar 7 (of the final version): the top line D♮–C–B♭–A♭–G–G♭, and the lower line E♭–D♭–D♮–E♮–G♭ (figure 4.31).

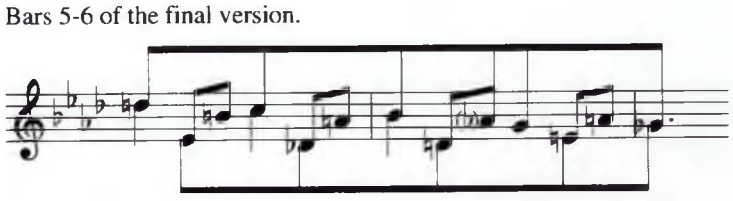


Figure 4.31: Melodic convergence toward G♭ through bars 5–6 of f2p8i25.

The last relevant draft in the collection was written on the inner faces of

item 24 (`f2p8i24/I`^{v} and `II`^{r}). This draft is, for the first and only time, a complete version of the entire movement of the piece.

4.9 Conclusion

By relying on a structural model that was based on combinations of themes and free episodes, Banks was able to eliminate the necessity of considering the overall formal design of the music in any detail; he was able to concentrate his attention on the composition of the themes and the motivic material, which was exactly what Seiber intended that he do. The compositional process for Banks, therefore, was a process of reconciling his own ideas with the suggestions and comments that Seiber made, within the formal constraints of his Bach-derived model. The way in which Banks achieved this was by composing the movement in a manner analogous to a sieve—after each draft or sketch certain points were allowed to 'fall through' the sieve onto the next draft, while other points or sections were blocked and not allowed to continue forward. This method resulted in notes or thematic fragments that remained relatively constant from sketch to sketch, and the compositional difficulties that Banks had was in working out the most satisfactory ways of moving between these points of stability.

For example, from the first pair of sketches on `f2p8i05`, the opening two bars remained constant through the entire compositional process, as was the use of the oscillating motive that begins the fourth bar movement (although on the first draft it appeared in the third bar). Similarly, for most of the compositional process G♭ (F♯) was retained as the climactic point of the theme, as was its conclusion on the pitch F (some of these points

of 'compositional stability' are indicated in figures 4.32 and 4.33—only the dated drafts are included in this diagram).

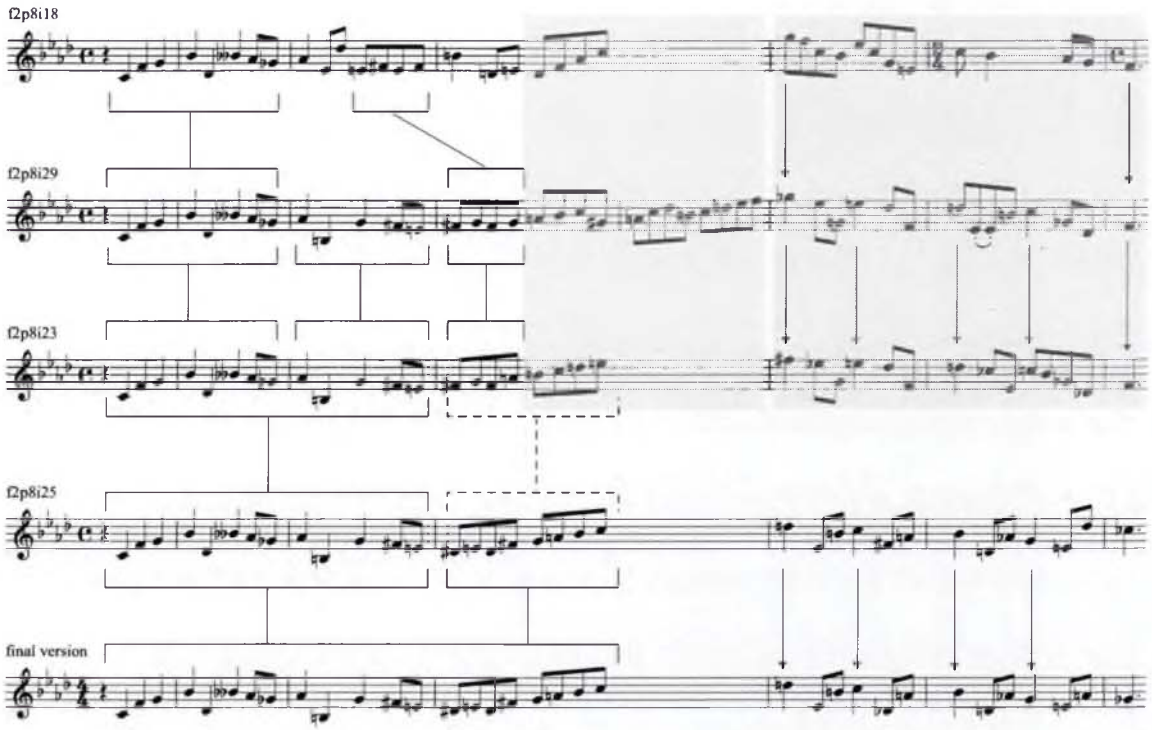


Figure 4.32: Summary of the composition of theme 1.

Banks only altered these constant features as a result of Seiber's comments; he changed the final note of theme 1 to a note other than F at Seiber's suggestion, and he used D♯ as the first pitch of his oscillating motive in bar 4, instead of F♯, at Seiber's suggestion. Similarly, he retained the idea with which he began theme 2 as a result of Seiber's comment that it was a "good line", and he limited the ascent to the high-point in the first theme to one bar after Seiber suggested that just one bar was sufficient.

Seiber's concerns appear to have focussed on the conventional contrapuntal elements of melodic flow, of controlling the balance between motion and stasis, of conjunct and disjunct motion, and the independence of the two

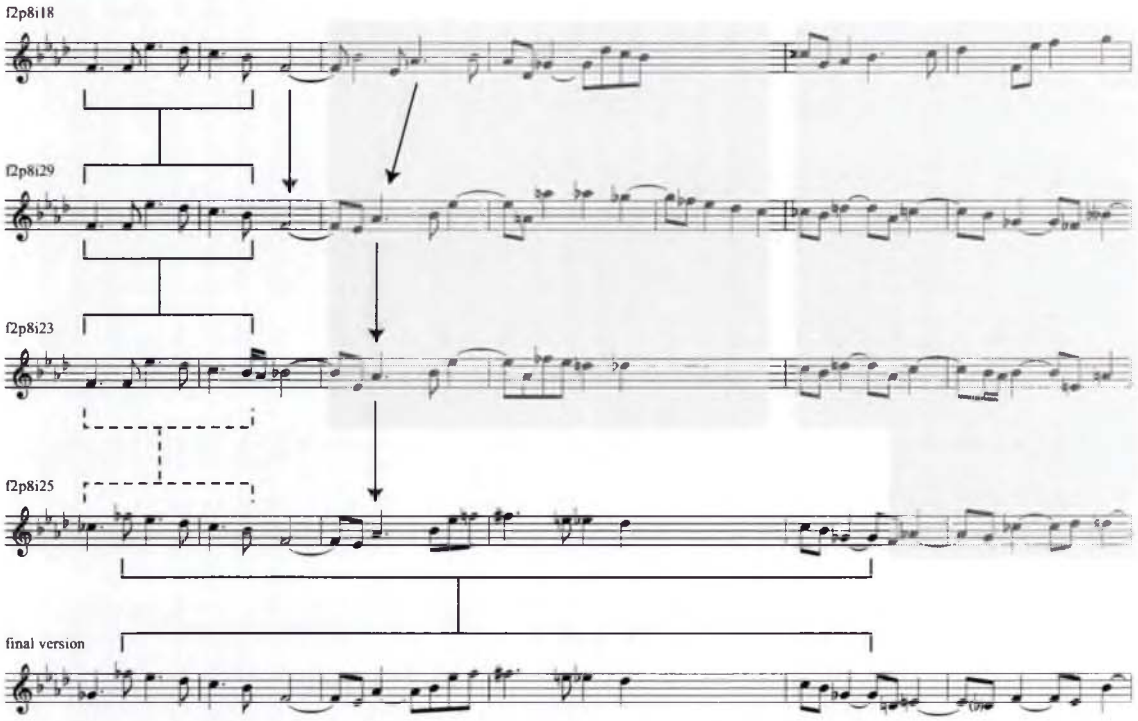


Figure 4.33: Summary of the composition of theme 2.

voices. But Banks's systematic manipulation of motivic fragments derived from the first theme as a means of generating material for the free episodes show that Seiber also emphasised the importance of motivic relationships in the construction of the music. The fact that Banks applied that technique for those sections of the composition suggest that Seiber had thought of them as too free, as not maintaining a sufficiently close relationship to, as well as independence from, the opening themes.

In summary, there are three main features of Banks's compositional practice that stem from the composition of this movement in particular, but also from the other exercises that he wrote for Seiber. They are:

- The reliance on an adopted formal model.

- The technique of 'sifting' from one sketch or draft to the next—of allowing satisfactory material to 'fall' from one sketch to the next.

- The detached and systematic technique of teasing out potential motivic variations with which to construct new but related compositional material.

These features of Banks's compositional practice at this early stage of his career were to remain central to his continuing compositional activities, and mark the beginning of his compositional style.

Chapter 5

The studies with Milton Babbitt

5.1 Introduction

The composition of the *Duo for Violin and Cello* was not only significant for Banks in terms of the development of his compositional skill, but was also of inestimable value in terms of the subsequent opportunities that its success generated. One of these opportunities was the chance to attend a series of seminars on twelve-tone theory in Salzburg at the Schloss Leopoldskron, conducted by Professor Milton Babbitt of Princeton University as part of the Salzburg Seminars in American Studies.[1] This chapter offers a short account of the circumstances by which Banks was able to attend these seminars, as well as a description of what he studied, based on his own notes.

5.2 Background

That the *Duo for Violin and Cello* was successful in launching Banks's career as a composer was due in no small part to its double success in winning the Edwin Evans Composition Prize in January 1952 and in being accepted for performance at the 1952 I. S. C. M. festival in Salzburg.

The Edwin Evans Memorial Prize was a contest for composers either of British nationality or of one of the countries of the British Commonwealth, for which the prize of £25 was donated by Mrs Edwin Evans in memory of her husband, who was a prominent music critic, writer, and past president of the I. S. C. M.[2] The competition itself was run by the London Contemporary

[1] A schedule from the 1952 Salzburg Seminar in American Studies at Schloss Leopoldskron, Salzburg, is located in the Don Banks Collection, `b03f29`. Milton Babbitt's seminar was titled 'Analysis and Criticism of Contemporary American Music,' and ran from the 15th of July to the 23rd of August, 1952.

[2] H. C. Colles, Frank Howes, and Rosemary Williamson, "Evans, Edwin," in *The New Grove Dictionary of Music and Musicians*, vol. 8, 2nd ed., edited by Stanley Sadie (Lon-

Music Centre (L. C. M. C.) who invited the submission of scores for the 1952 prize in a flyer dated August the 25th, 1951.[3] According to this flyer, the competition was open to composers of any age (with preference given to younger composers), and their unperformed scores were to be for two performers of any combination. Submissions closed on the 1st of January 1952.

The same flyer advertised two further opportunities. The first was an invitation for composers to submit scores for consideration for inclusion in the L. C. M. C. performance season of 1952, and the second was an invitation to submit scores for consideration for inclusion in the 1952 I. S. C. M. festival to be held in Salzburg. Banks applied for all three of these opportunities.

The competition for the Edwin Evans Memorial Prize was perfectly suited to Banks. He was a young (28 year old) composer who had recently completed his *Duo for Violin and Cello*, which was at that time still unperformed, and he entered it into both the Edwin Evans competition as well as for consideration for the I. S. C. M. festival.[4]

The L. C. M. C. announced the double success of the *Duo for Violin and Piano* on the 30th of January 1952.[5]

One of the conditions of entry for the Edwin Evans prize was that the L. C. M. C. be given the right to give the first performance of the winning entry at one of their concerts, and it was for this reason that the *Duo for*

don: Macmillan, 2001), 451.

[3]A copy of this flyer is located in the Don Banks Collection, `b30f222ai32`.

[4]Banks had also recently completed his second concert piece since his arrival in England, the *Divertimento for Flute and Strings*, which he also submitted to the L. C. M. C. and in due course they gave its first performance on the 29th of February 1952. A flyer advertising this performance is located in the Don Banks Collection, `b30f222ai05`.

[5]A copy of this typewritten announcement is located in the Don Banks Collection, `b30f222ai06`.

Violin and Cello received its first performance at an L. C. M. C. concert held the R. B. A. Galleries in London on the 26th of February 1952.[6] It was well received by the critics of the major London newspapers, with, for example, the *Times* claiming that it was "a well-written and tautly constructed work."[7]

The success of this concert and the award of the Edwin Evans Memorial Prize marked the emergence of Don Banks as a composer into London's contemporary music circles, but it was the acceptance of the *Duo* for performance at the I. S. C. M. festival that gave Banks the opportunity to travel to Salzburg as the Australian delegate to the festival.[8]

To make the most of this opportunity, Banks also applied for a scholarship to allow him to stay in Salzburg to attend a series of seminars in twelve-tone theory, presented by Professor Milton Babbitt from Princeton University, at the Schloss Leopoldskron in Salzburg. To assist in obtaining this scholarship Professor Edward Dent of Cambridge University wrote the reference shown in figure 5.1 on Banks's behalf:[9]

The I. S. C. M. festival ran from the 20th of June to the 3rd of July 1952, and the *Duo for Violin and Cello* was performed on the 23rd of June. This performance, and the festival in general, received considerable criticism because of under-rehearsed performances [see reviews], and so for Banks, and many others, it was not the success that it might otherwise have been.[10] However, Banks's subsequent participation in Babbitt's seminars, between

[6] A flyer for this concert is located in the Don Banks Collection, `b30f222ai05`.

[7] "Contemporary Music: Evans Memorial Prize," *The Times* (London), 28 February 1952.

[8] Dr. Alphonse Silberman, "First Australian in 30 Years," *Australian Musical News* 43 no. 4 (1952): 33.

[9] It is curious that Dent wrote that "another work of his" was chosen for the I. S. C. M. festival when in fact it was the same work that was chosen for the Edwin Evans prize.

[10] Hans Keller, "The 26th ISCM Festival at Salzburg," *Tempo* 24 (Summer 1952): 31–33.

Copy of recommendation by PROFESSOR EDWARD J. DENT in reference to a Scholarship Application for the Salzburg Seminar in Maerican [sic] Studies. March 1952.

I have much pleasure in recommending Mr. DON BANKS for a Scholarship as above. I have known him for two years, but he has not been a pupil of mine. He is a composer of great ability and skill; a work of his has been chosen by the International Jury for performance at the International Society for Contemporary Music's Festival at Salzburg this summer, and another work of his was awarded the Edwin Evans Prize by the British Section of the same Society. He is doing valuable work in London in organizing the Australian Musical Association and is certainly one of the leading Australian composers at the present day. I heard his Edwin Evans work and was greatly impressed by its originality and accomplishment.

(sgd.) EDWARD J. DENT.

Emeritus Professor of Music in University of Cambridge.
Hon. Mus. D. of Oxford, Cambridge and Harvard Universities. Ho. Life President of the International Society for Contemporary Music and of the Societe [sic] Internationale de Musicologie.

19th March 1952.

Figure 5.1: Reference written on Banks's behalf by Professor Edward Dent [b30f222ai03].

the 15th of July and the 23rd of August, was to have an influence upon his work as a composer that was to remain with him for the rest of his life.[11]

5.3 The "Milton" notes

A collection of fragmented and sometimes barely legible notes can be found in the Don Banks Collection that relate to his studies with Babbitt. They are contained in a spiral-bound notebook, across seventeen numbered pages,

[11] In addition to the musical influence, Banks and Babbitt formed a personal friendship that was also to last for the rest of Banks's life.

the first of which has the heading "Milton Pt. Ia (4pm Sat)".[12]

The notes show that the concepts that were studied, the examples that were given, and the terminology that was used, are many of the same concepts, examples and terms that Babbitt used in the three theoretical papers that he published between 1955 and 1961—much of which, in turn, derived from Babbitt's own dissertation from 1946.[13]

5.3.1 Principles of integer notation

At the top of the first page of notes from Banks's notebook (figure 5.2) is a sketch of a twelve-tone row written out in both musical and integer notation. Although it is not stated, this is the twelve-tone row as it appears at the beginning of the third movement of Schoenberg's Fourth String Quartet, op. 37, the opening of which Babbitt discussed at length in both his 1955 and 1961 articles. Banks wrote the note "Inversional Symmetry" under this row, although the hexachords from the Schoenberg quartet do not possess the property of 'inversional symmetry' in the sense that Babbitt meant in his 1961 article, since its component hexachords do not map onto themselves under any transposition and/or inversion.[14] The row form as a whole, however, can be said to be inversionally symmetrical in the sense that the two hexa-

[12]'Babbitt notes,' in the Don Banks Collection, box 21. All subsequent references to the notes that Banks took at this seminar refer to these notes.

[13]Milton Babbitt, "Some Aspects of Twelve-Tone Composition," *Score and I.M.A. Magazine* 12 (1955): 53–61; Milton Babbitt, "Twelve-Tone Invariants as Compositional Determinants," *Musical Quarterly* 46 no. 2 (April 1960):246–259; Milton Babbitt, "Set Structure as a Compositional Determinant," *Journal of Music Theory* 5 no. 2 (1961): 72–94. See also Andrew Mead, *An Introduction to the Music of Milton Babbitt* (Princeton: Princeton University Press, 1994).

[14]Babbitt, "Set Structure," 78: "... and only collections of p.c.nos. satisfying (3.1) $[a+b=t \pmod{12}]$ will be called "inversionally symmetrical," since such a collection can be mapped into itself under application of I and the appropriate t." Inversional symmetry is also discussed on page 161 of this chapter.

chords map onto each other under RI_5, and the sketch that follows begins to illustrate this concept of retrograde-inversion (sketch shows the beginning of RI_7).

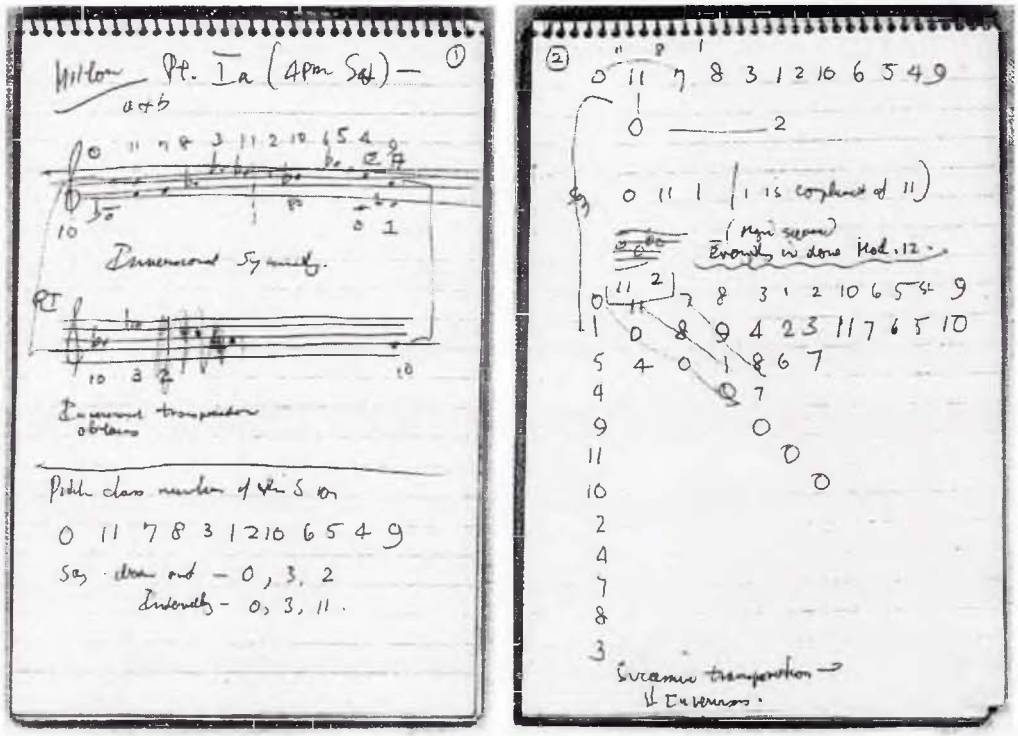


Figure 5.2: First two pages of the "Babbitt" notes.

The notes that then follow on the lower part of the first page and on the second page are of more fundamental concepts. Integers that represent the pitch classes of Schoenberg's row form were noted at the bottom of the first page, and the second page illustrates the construction of a twelve-tone matrix ("magic square") using integer notation. Given that Babbitt had not at that time published any of this material, and that Banks himself had said that he had no exposure to twelve-tone music in Australia, these fundamental concepts of Babbitt's twelve-tone theory would have been completely new to

Banks.[15]

5.3.2 Invariant properties of twelve-tone rows

Pages 3–8 of the notebook contain examples drawn from a range of twelve-tone compositions by Webern, Berg, Dallapiccola, and Schoenberg, and they illustrate a variety of compositional applications of particular properties of ordered twelve-tone sets. In particular, they exemplify various forms of invariance—that is, of manipulations of twelve-tone sets in such a manner as to retain certain pitch or interval properties in common between different forms of a row. This emphasis on the invariant properties of twelve-tone rows reflects the focus of Babbitt's early theoretical work as expressed in his three aforementioned articles.

The first example referred to at the top of page 3 is taken from the second movement of Anton Webern's *Variationen für Klavier*, op. 27 (figure 5.3). The notes refer to the way in which the opening of the movement was constructed from two inversionally related hexachords that independently articulate the two voices of the opening canon (figure 5.4).

Babbitt used this example in his 1960 paper to illustrate some of the properties of row-form "complementarity"—in this case the properties of two inversionally related row forms. In particular, Babbitt pointed out that if two I-related sets (to use his own terms) are transposed such that the intervallic difference between them is an even-numbered interval (the intervals between the notes of the two row forms will either be all even or all odd), then certain invariant properties will result.[16] For example, only two pitch classes will

[15]Banks, Interview, 7716.
[16]Babbitt, "Twelve-Tone Invariants," 254.

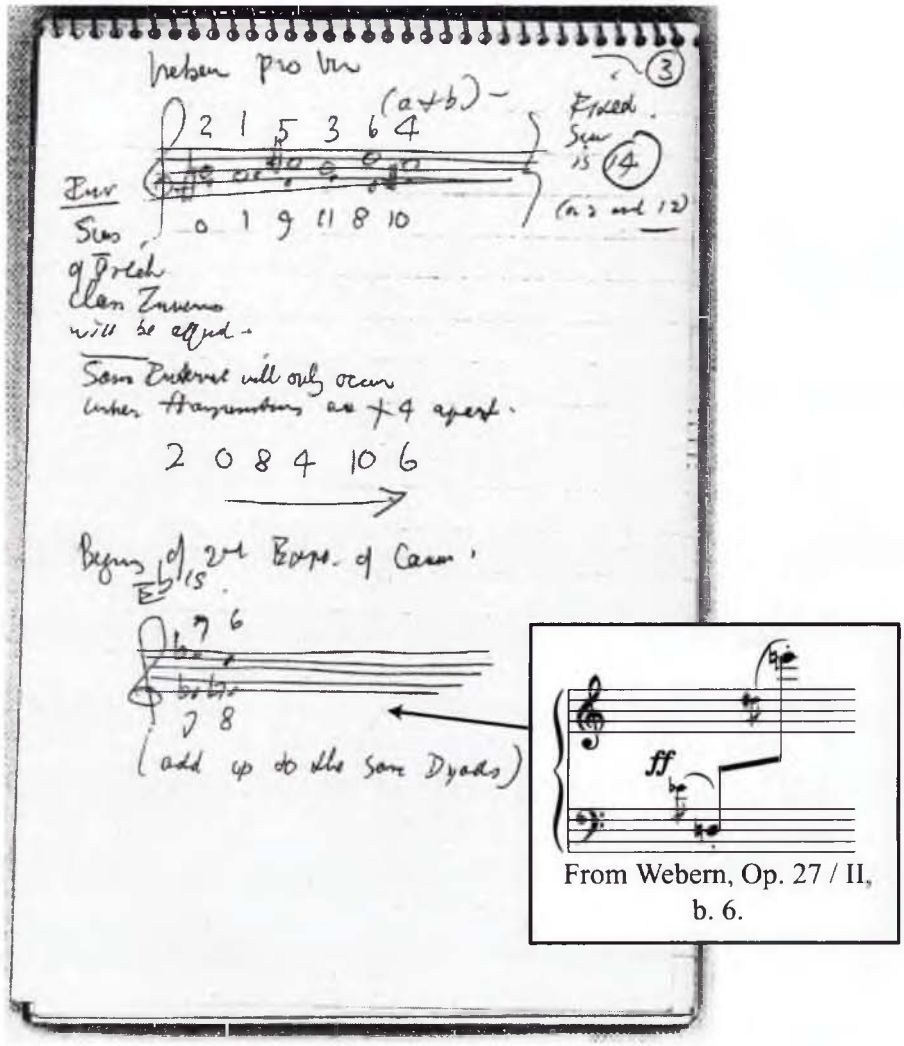


Figure 5.3: Page 3 of the Babbitt notes.

maintain the same order positions between the two row forms and the order positions of pitch classes between rows will be altered such that if a note in row A moves from position y to position x in row B, then the note that occupies position x in row A becomes the note at position y in row B, or, put simply, note pairs swap positions between the two row forms. The invariant property that Banks noted, however, is the fact that the resulting succession

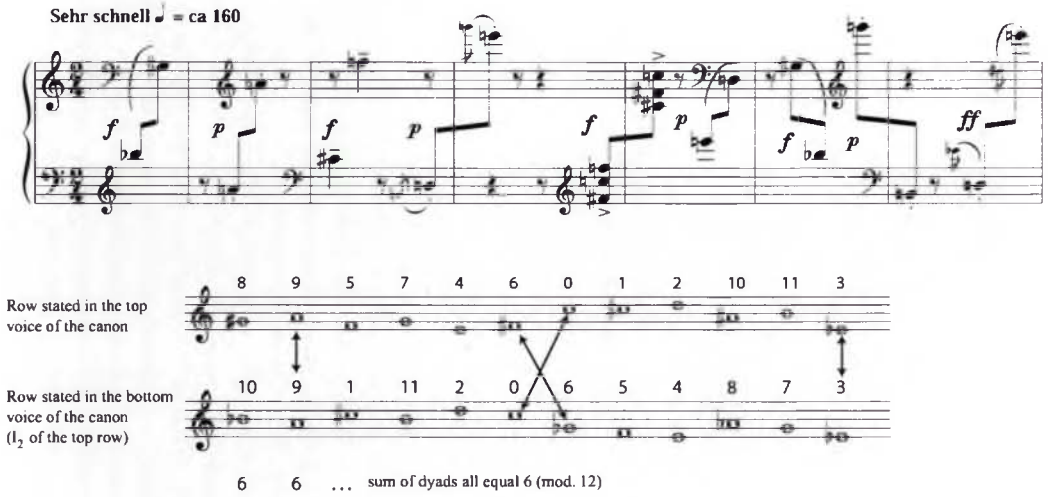


Figure 5.4: Beginning of Webern's Op. 27, No. 2, illustrating some of the relationships between the two twelve-tone rows: (a) E♭ and A are the only two pitches that retain the same order position between the two rows; (b) the order of the remaining pitches are swapped in pairs; (c) the sum of the integers of the same order position add to the same number (in this case 6).

of dyads between the two row forms maintain a fixed sum of |2| (mod. 12) as a result of the symmetry of the two hexachords.[17] This concept was further exemplified by the sketch at the bottom of the page, taken from the sixth bar of the second movement of Webern's Op. 27, in which the two dyads again maintain a sum of |2|, mod. 12.

Properties of row-form complementarity are also noted on page 8 of the notebook. In this case the row from Schoenberg's Fourth Quartet is used to exemplify two of the properties of transpositional complementarity that Babbitt discussed in his 1960 article (figure 5.5).

The sketches at the top of page 8 of the notebook show, in order, the T_4, T_0, and T_8 forms of the first seven-note segments of the row. The lines

[17]Note that in this case, the hexachord does have the property of "inversional symmetry".

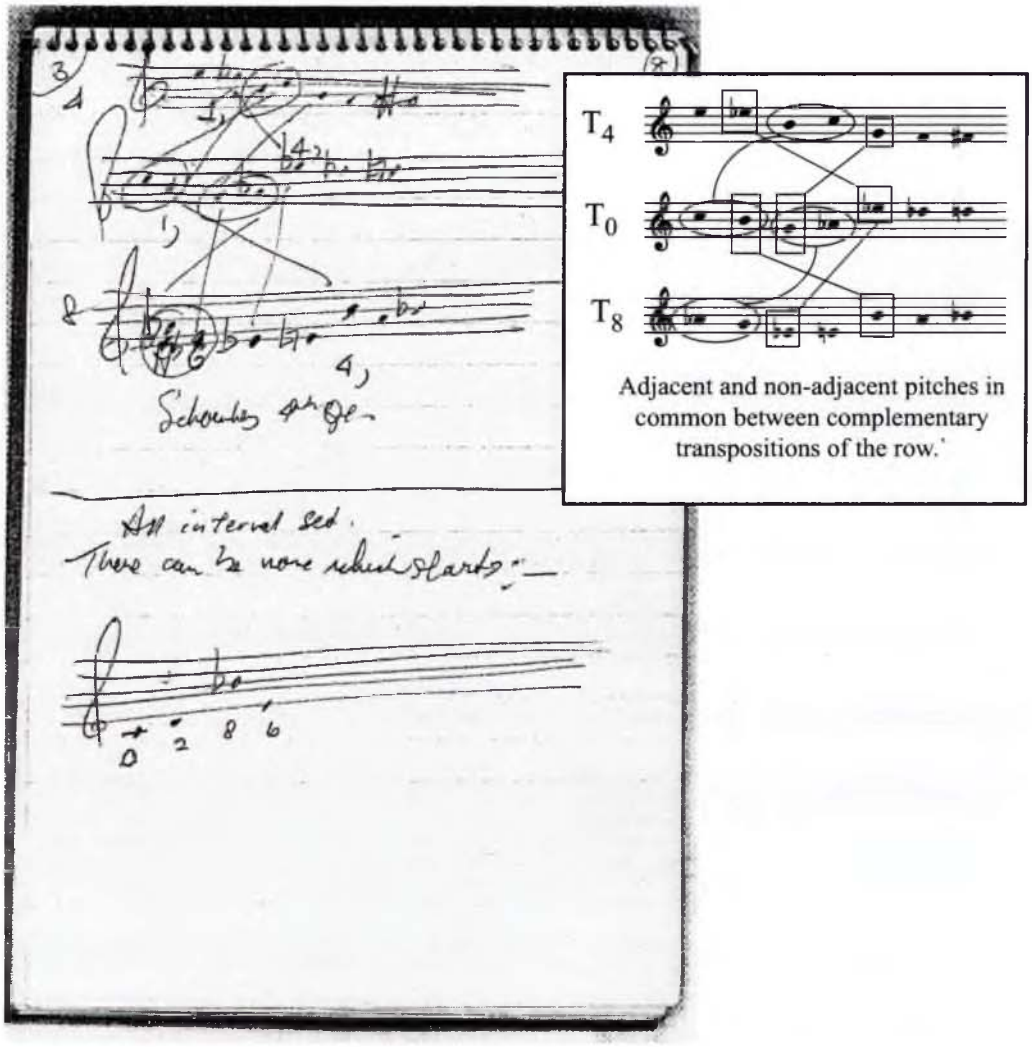


Figure 5.5: Page 8 of the Babbitt notes.

that Banks annotated to the sketches show all of the pitch classes that are held in common between the T_4 and T_0 segments, and between the T_0 and T_8 segments, thereby illustrating the fact that transpositionally complementary row forms maintain the same number of common notes with reference to the prime (or reference) form of the row. Furthermore, the two complementary row forms maintain the same number of pitch-class adjacencies with respect

to the prime form of the row—in this case, only one (a dyad), illustrated by circled dyads on the sketches.

The row from the Webern piano variations is used again on page 5 of the notebook, this time to illustrate quite a different property of inversionally related row forms (figure 5.6).

The first sketch shows the first hexachord of the row starting on B♭, under which was written the inverted (and transposed) row starting on G♯, but offset by two notes so that the G♯ is vertically aligned with the third note of the B♭ row. The intervals created by the vertical dyads were written above the sketch. No such pattern of notes occurs in the Webern piano variations, but the clue to understanding what Banks's notes mean is given by the following barely legible note that says, "Dallapiccola (Annalibera canon)". Banks was referring to the 'Contrapunctus Secundus' from Luigi Dallapiccola's *Quaderno Musicale di Annalibera*, an example that Babbitt also used in his 1960 paper to illustrate the fact that if two inversionally related row forms are aligned in a manner that is offset like this, then the interval classes that result from the succession of vertical dyads will be the same if the alignment of the two rows are reversed.[18] Banks attempted to illustrate this with the sketch at the bottom of the page in which the same two row forms are used but this time the row starting on B♭ was offset so that its beginning is aligned with the third note of the row starting on G♯. Once more the intervals of the resulting dyads are notated and they are the same as those on the first sketch, thereby illustrating the point. Banks therefore used the row from the Webern variations to illustrate a concept that the Webern piece itself does not exemplify.

[18]Babbitt, "Twelve-Tone Invariants," 254–256.

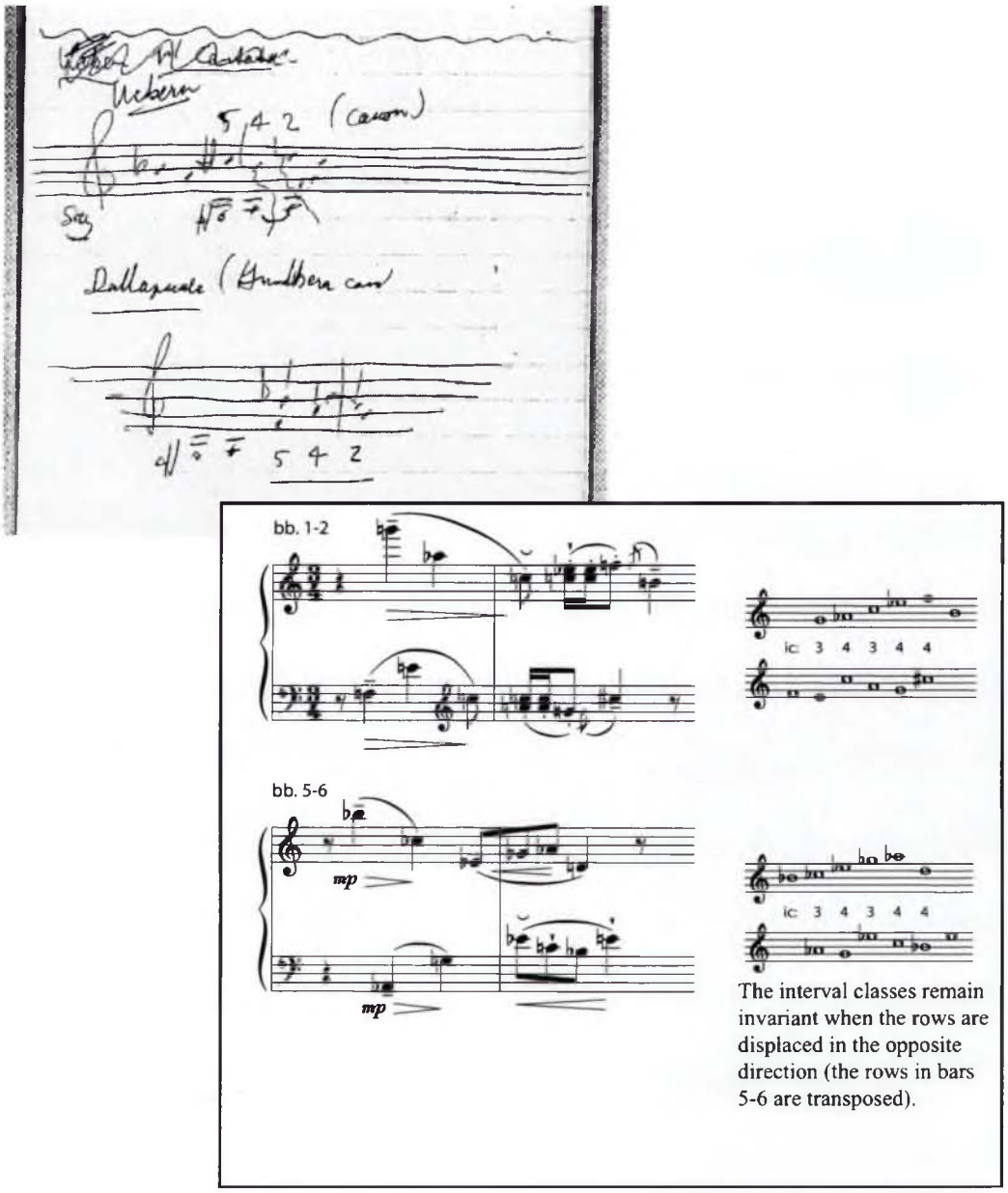


Figure 5.6: Page 5 of the Babbitt notes, and excerpt from the 'Contrapunctus Secundus' from Dallipiccola's *Quaderno Musical di Annalibera.*

The heading "Milton Sunday pm." was written at the top of page 6, which continues with further examples of invariant properties of twelve-tone rows, beginning with an extract from the start of Webern's First Cantata, op. 29

(figure 5.7).[19]

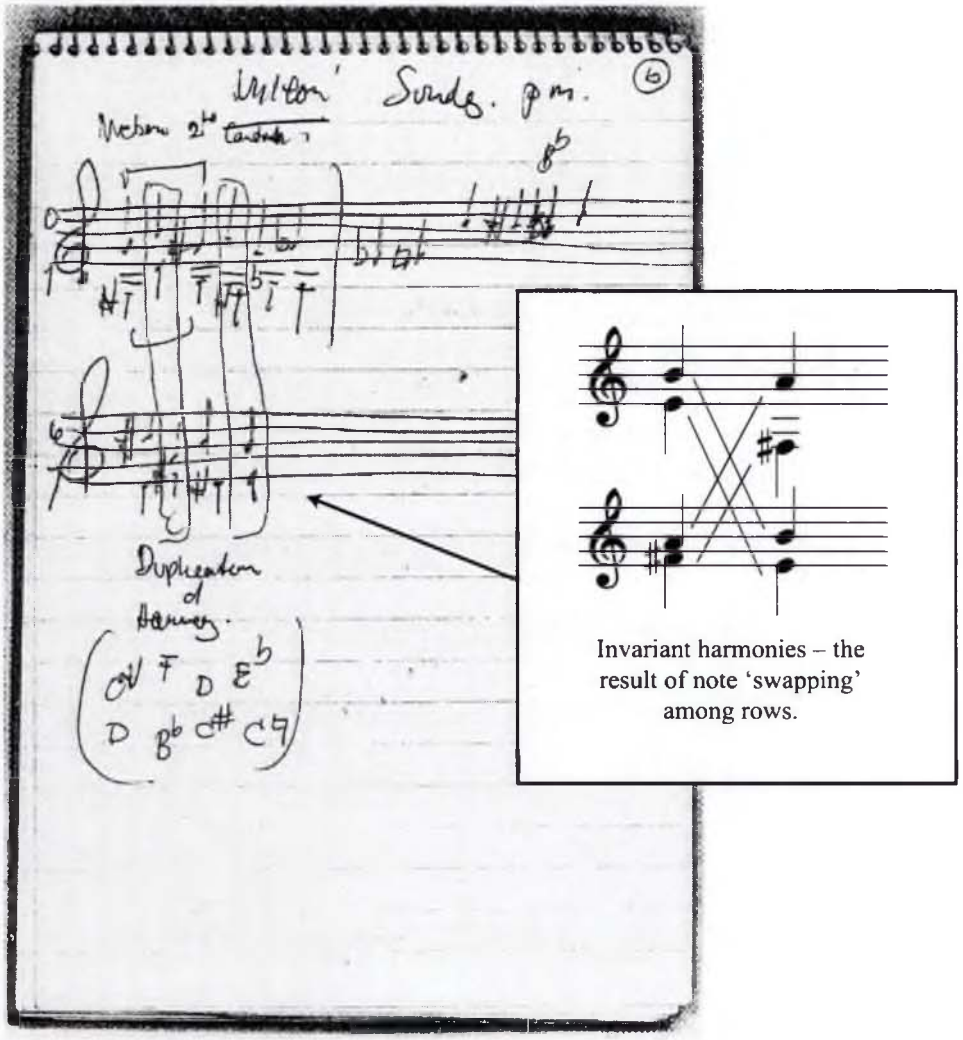


Figure 5.7: Page 6 of the Babbitt notes.

The first three chords in the sketches Banks made on this page are the opening chords in the first bar of Webern's Op. 29. Each of these four-note chords are the result of the alignment of four different versions of the row that Webern used in the Cantata. The sketch shows the continuation of the linear

[19]Banks's annotation that this example was drawn from the second cantata is clearly an error.

statement of the four rows far enough such that the repetition of the second harmony that would occur can be seen, and Banks circled it on his sketch. The bracketed dyads written out underneath the sketches suggest that the way in which Banks understood this example of invariant harmony was in terms of swapping order positions between pairs of dyads in two inversionally related row forms.[20]

Page 7 continues the examples of twelve-tone invariance with reference to the opening of Alban Berg's *Lyric Suite* (figure 5.8).

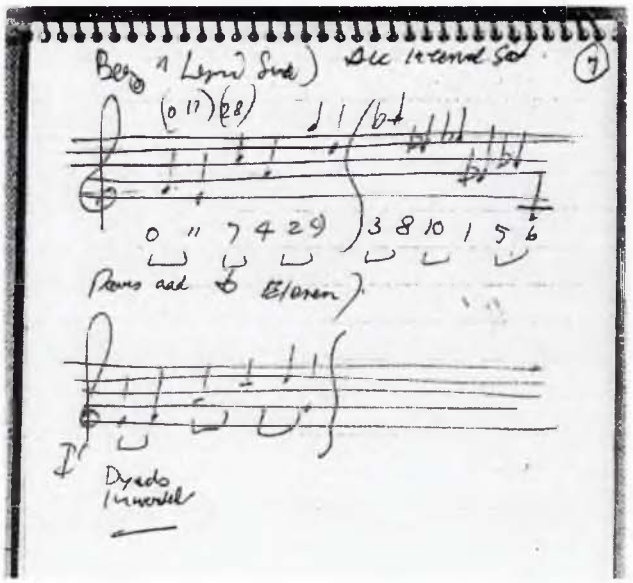


Figure 5.8: Extract from page 7 of the Babbitt notes.

The sketch at the top of the page shows the twelve-tone set stated in the first violin in bars 2–4, on which Banks bracketed each successive dyad. The second sketch points out a particular property of this row form—an inversionally related set that maintains the content of each successive dyad,

[20]Babbitt used Webern's Op. 27 to illustrate the same point in his 1960 paper, "Twelve-Tone Invariants."

in order, but reverses the order of the notes of each dyad.

Once again, the emphasis is on the invariant possibilities that can be found between inversionally related row forms, but there is no attempt to understand the source of these properties in the manner that occupied Babbitt's articles from 1955–1961. For this seminar, at least as far as Banks's notes suggest, the emphasis was on understanding fundamental twelve-tone structures and becoming aware of the invariant properties that are possible between related row forms, exemplified in extant compositions.

5.3.3 Combinatoriality

Most of the rest of the notes in the notebook, pages 9–15, are concerned with hexachordal combinatoriality and the concepts of 'source' and 'derived' sets.

Page 9 of Banks's notes (figure 5.9) start by stating the first axiom of hexachordal (inversional) combinatoriality almost exactly as it is stated by Babbitt in his 1961 article:[21] $H_0 \bigcup tIH_0 = A$.[22] In plain terms, the union ($\bigcup$) of the first hexachord of the row (H_0) and a transposed inversion of that hexachord (tIH_0) combine to form an aggregate (A) of all twelve pitch classes. Immediately under this first property, Banks stated the following, second property, which follows from the first: $H_0 \bigcup tRIH_6 = A$ —the union of the first hexachord of a row with the retrograded, transposed inversion of the second hexachord also forms an aggregate.[23]

Following the statement of these two properties of hexachordal combinatoriality, Banks wrote out an example of a combinatorial hexachord which in

[21]It is property (1.1) in the 1961 article, and is stated as $H_0 + T_tIH_0 = A$

[22]Babbitt, "Set Structure," 74

[23]Ibid., 75. Banks appears to have written a subscript '5' instead of '6'. This is assumed to be an error.

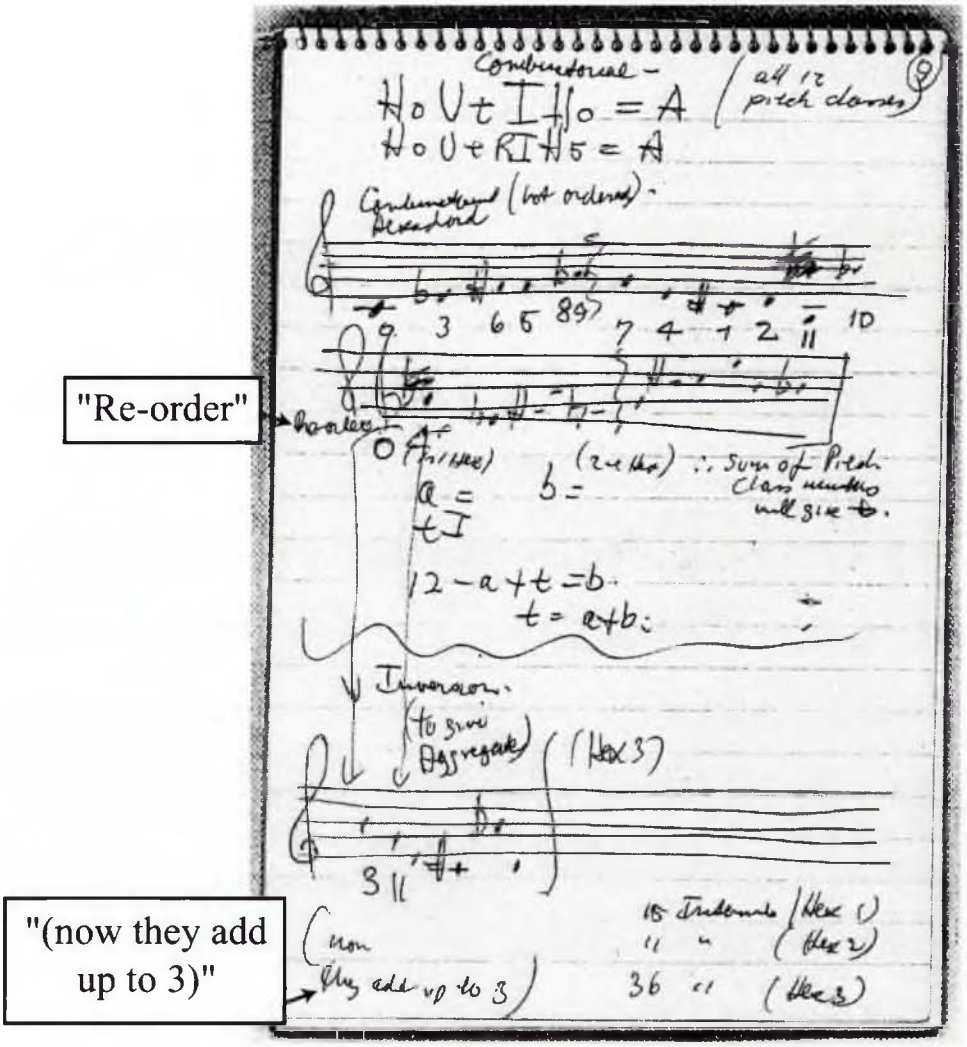


Figure 5.9: Page 9 of the Babbitt notes.

turn is followed by the statement that $12-a+t=b$, therefore $t=a+b$. The symbols a and b are the integer values of two pitch-classes in complementary hexachords; if two hexachords are complementary (have no pitch classes in common) then each individual pitch class (a) must in some way systematically map onto a pitch class (b) in the complementary hexachord. This relationship is given by this formula, which states that the sum of the two

corresponding pitch classes (a and b) equals the transposition level (t) under which (inversional) combinatoriality occurs. In his 1961 article, Babbitt made the point that the number for t is entirely dependant upon which pitch classes are allocated as a and b, and these will vary with different orderings of the content of each hexachord.[24] This observation was noted by Banks on this page when, in the second row, he re-ordered the content of the row at the top to find that the value of t changed from 7 to 3 (see figures 5.9 and 5.10).

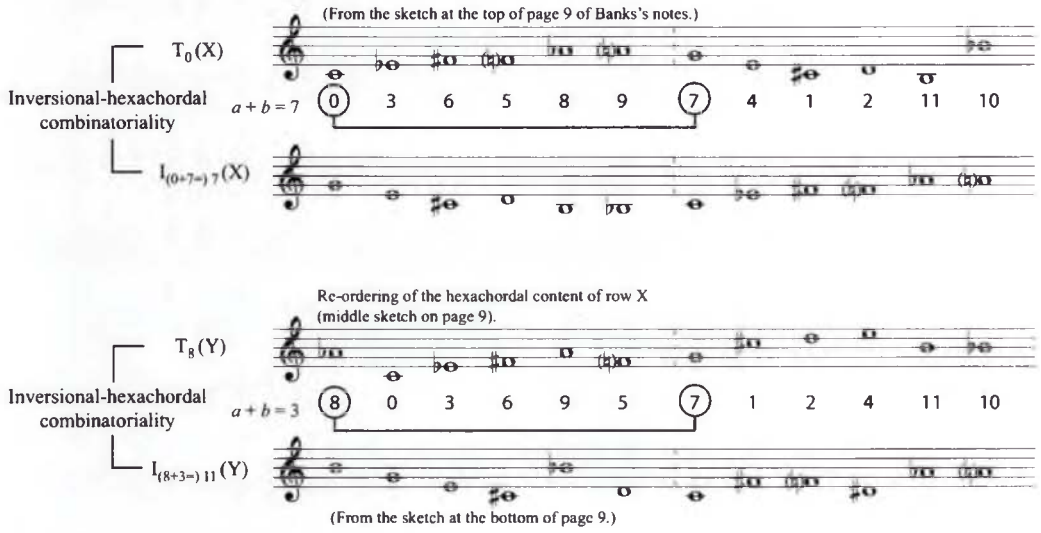


Figure 5.10: Explanation of the sketches on page 9 of Banks's notes.

At the top of page 10 are two more formulas: $H_0 \bigcup tIH_0 = H$ and $H_0 \bigcup tRIH_0 = A$. These correspond to Babbitt's properties 3.2 and 1.3 respectively in his 1961 article.[25] Babbitt's discussion of these properties derives from extending the formula $t = a + b$ to the case where a and b belong

[24] Ibid., 76–77.
[25] Ibid.

to the same hexachord.[26] This is the condition to which Babbitt's expression "inversional symmetry" specifically pertains. In other words, to those hexachords whose pitch-class content remains invariant following inversion and transposition by t semitones. Banks sketched an example of such a hexachord on this page, one which maps onto itself if it is inverted and transposed by eleven semitones (figure 5.11).

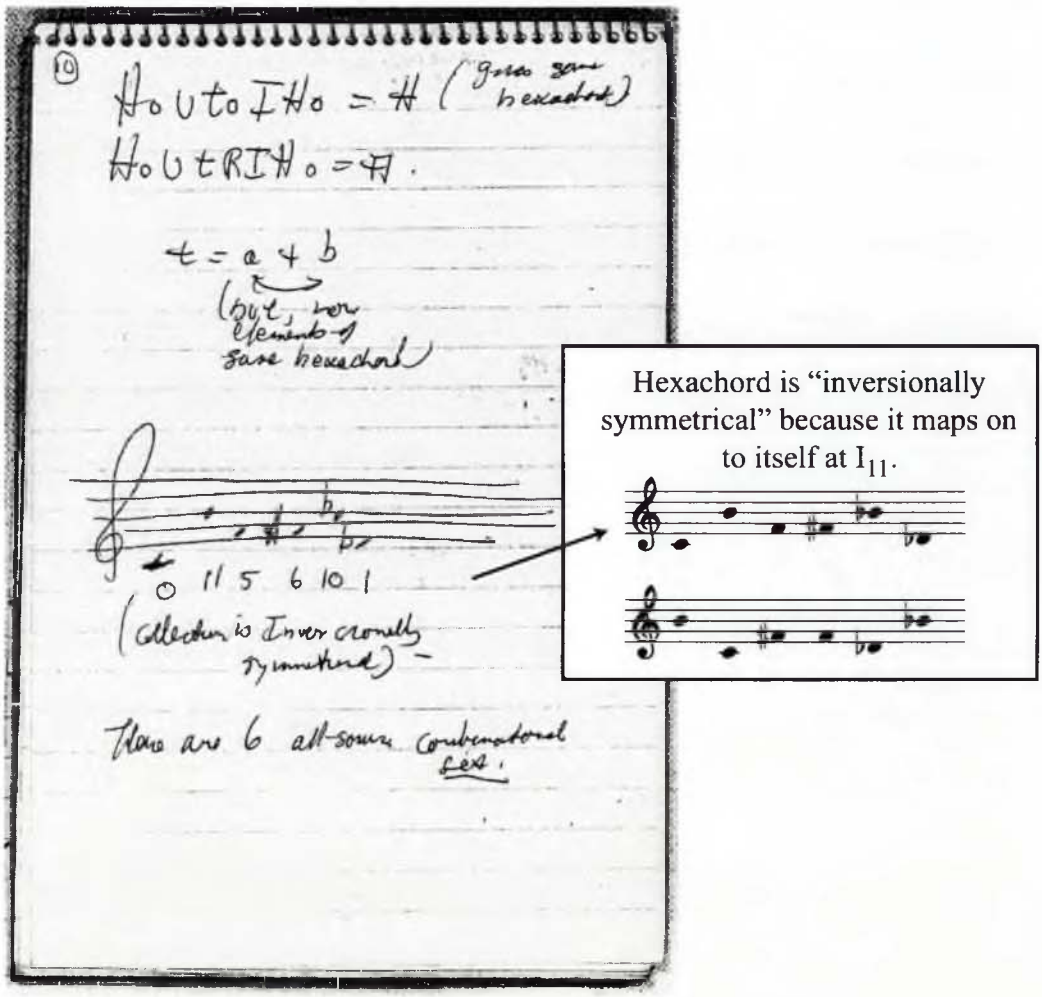


Figure 5.11: Definition of "inversional symmetry" on page 10 of Banks's notes.

[26]This is the meaning of Banks's annotation on page 10, "$t = a + b$ (but now elements of same hexachord)."

The notes on hexachordal combinatoriality on pages 9 and 10 of the notebook follow the same order as Babbitt's presentation of them in his 1961 article, and this pattern continues with Banks's brief note at the bottom of page 10 that "[t]here are 6 all-source combinatorial sets" (this is taken to mean six all-combinatorial source sets), which is where Babbitt then leads in his article.

Babbitt defines four criteria which must be met in order for a hexachord to have the properties of all-combinatoriality, but not all of them appear in Banks's notes, and no further discussion of the necessary properties of all-combinatoriality appear in the notes, despite the fact that all-combinatorial hexachords are referred to on the remaining pages of the notebook.

Schoenberg's Fourth String Quartet is returned to again on pages 11 and 12, on which the first two statements of the twelve-tone row at the beginning of the third movement are sketched out (bars 614–621).

Babbitt points out in his 1955 article that the succession of these two row forms, T_0 and RI_5, create what he termed a "secondary set" because of the ordered aggregate that is formed by the last hexachord of T_0 and the first hexachord of RI_5 (figure 5.12).[27] The resulting set is "secondary" because it is not one of the forty-eight members of the primary row complex. Banks's notes mark this secondary set, formed as a result of the first hexachord of RI_5 being a reordering of the first hexachord of T_0. Banks also circled the occurrences of the dyads C–B and G♭–F, whose motivic significance within the music is discussed by Babbitt in his article.[28]

Babbitt defined 'secondary sets' and 'aggregates' as "elements that arise

[27]Babbitt, "Some Aspects," 56–57.
[28]Ibid., 56.

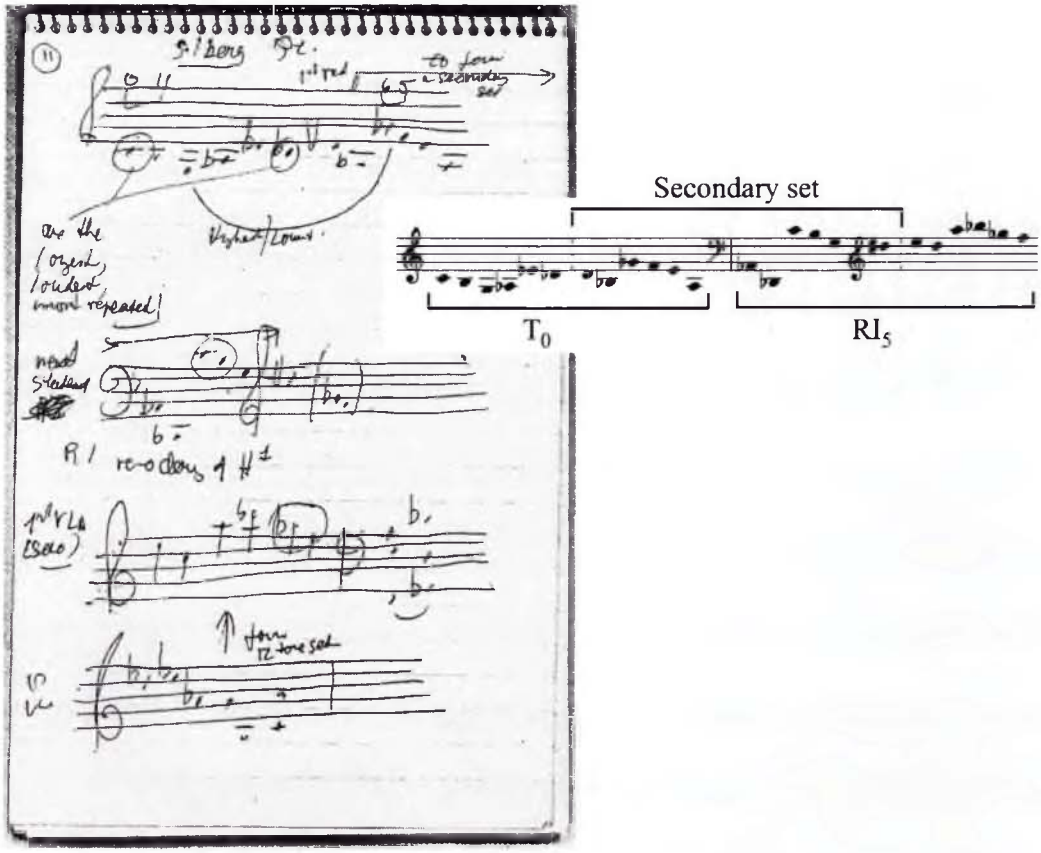


Figure 5.12: Page 11 of Banks's notes, illustrating the concept of derived sets.

compositionally, but [are] not pre-defined systematically."[29] A secondary set is an ordered statement of the twelve pitch classes since it arises from the combination of ordered hexachords, but an aggregate is unordered—the result of the simultaneous statement of two complementary hexachords. Babbitt referred to bar 623 of the Schoenberg quartet to illustrate the concept of an aggregate, and, in turn, Banks sketched this bar at the top of page 12 to illustrate the same point (figure 5.13).

In addition to the examples of secondary sets and aggregates, pages 13

[29]Ibid., 57n3.

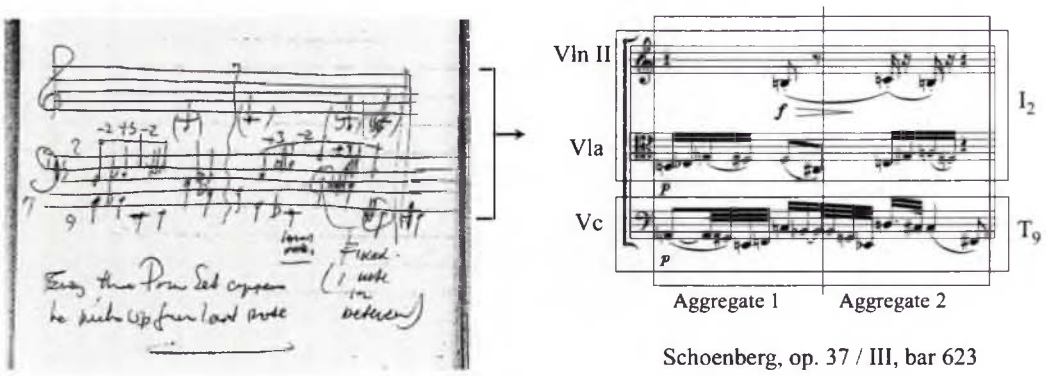


Figure 5.13: Page 12 of Banks's notes, illustrating Babbitt's definition of an aggregate.

and 14 of the notebook are given to the concept of derived sets and trichordal generators. Babbitt illustrated the concept of derivation in his 1955 article with the row from Webern's *Concerto for Nine Instruments*, op. 24, and the first hexachord of this same row, divided into its two constituent trichords, was sketched by Banks at the top of page 13 (figure 5.14).

footnoteIbid., 59. The annotation "then RI at t4" shows how the second hexachord (which is not sketched) relates to the first. Banks noted that this particular hexachord is a 3rd-order, all-combinatorial set, meaning that there are three levels of transposition by which this hexachord can map onto its complement. These transposition levels are dictated by the intervals that are excluded from the hexachord, and this point was also noted by Banks at the bottom of page 14.[30]

An example of the derivation of a first-order all-combinatorial hexachord from a trichordal generator is also given on page 13. In this case the initial tri-

[30]The excluded intervals are 2, 10, and 6—not 2, 8, and 10 as Banks wrote in his notes. Consequently there are three transposition levels that can be applied, making it a 3rd-order all-combinatorial hexachord, not four as Banks's wrote on the bottom of page 14 of his notes.

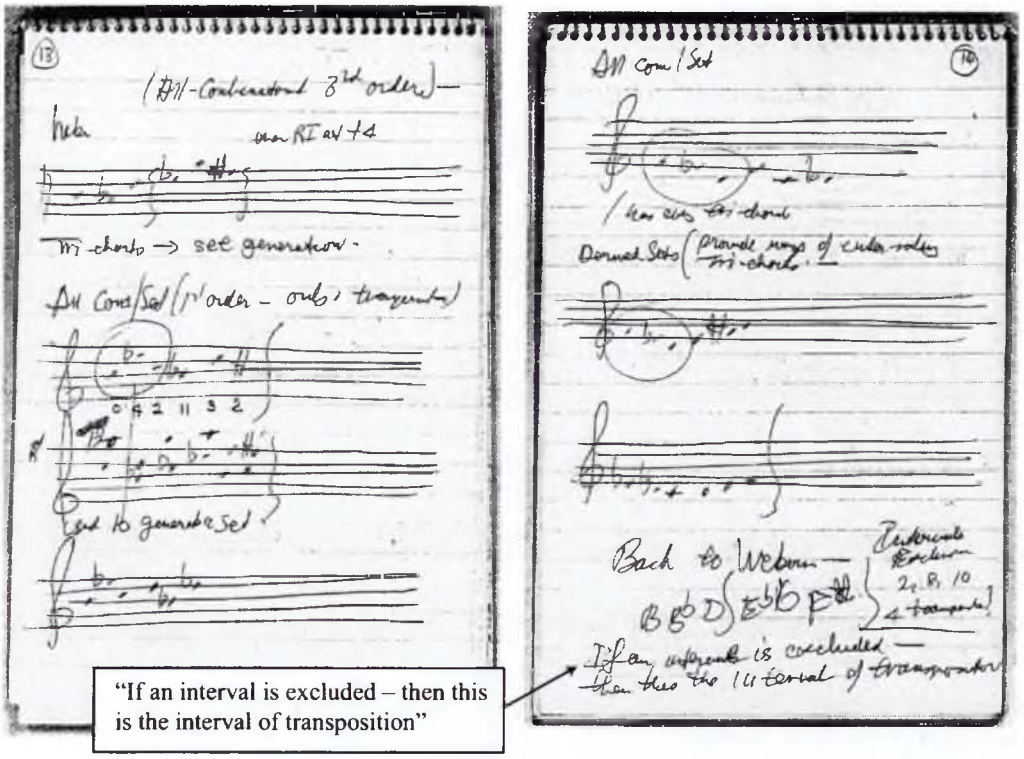


Figure 5.14: Pages 12 and 14 of Banks's notes.

chord used for the example (B, E♭, C) is permuted such that the resulting hexachord articulates the chromatic succession from B♭ to E♭, meaning that the only excluded interval is 6, thereby making it a first-order all-combinatorial hexachord.

5.3.4 Integral serialism

The final pages of the notebook, pages 16–17 (figure 5.15), show that Banks also had a brief introduction to the concept of integral serialism, in which other musical elements in addition to pitch are structured according to the ordering principles of a twelve-tone set. In order for this to occur there must

be a correlation between pitch-class numbers of the twelve-tone row, and musical elements such as rhythm and dynamics. Such a correlation is suggested in the notes at the top of page 16 in which number types (rational, ordinal, and nominal) are used to correspond to the elements of pitch, dynamics and orchestration. However, it is rhythm which occupies the example on the subsequent page—specifically, an example of a 'time-point' application of the first hexachord of the row from Schoenberg's Fourth Quartet, stated simultaneously with its complement.

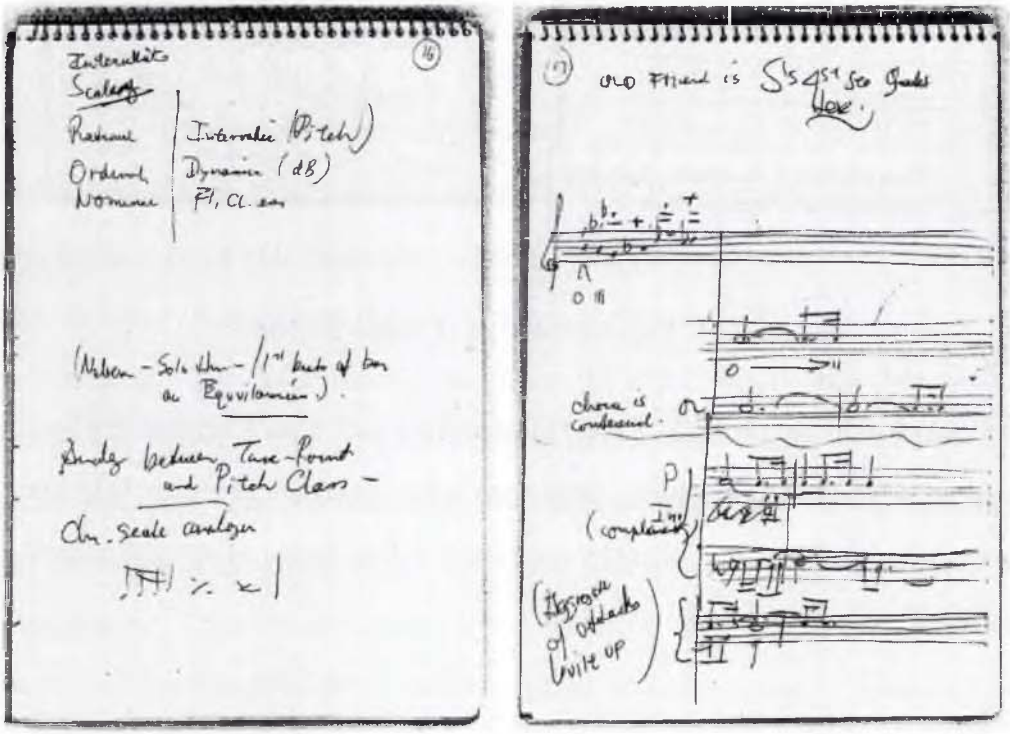
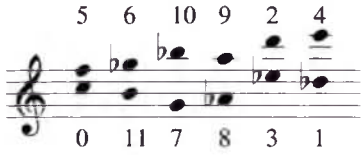


Figure 5.15: Pages 16 and 17 of Banks's notes.

In this example each bar is divided into twelve evenly spaced 'time points' of a semiquaver each, numbered in each bar from 0–11. Each of the two hexachords represent individual rhythmic lines, and the ordered pitch-class



from Schoenberg's Fourth String Quartet, Op. 37.

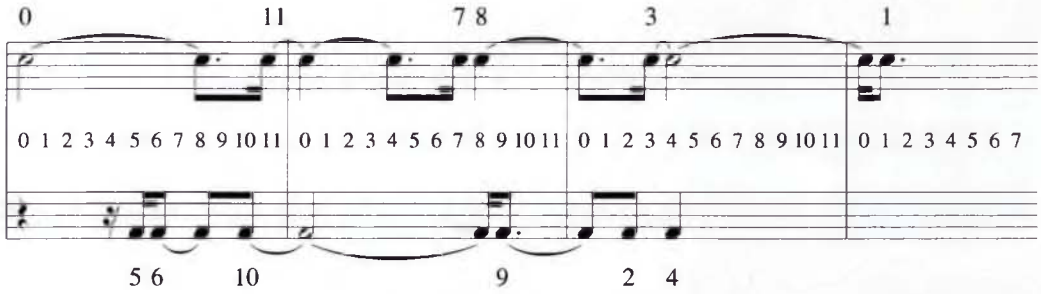


Figure 5.16: Time point sketch on page 17 of the notebook.

numbers dictate the attack points in the manner shown in figure 5.16 where the upper hexachord forms the lower rhythmic line.

5.4 Summary

Banks's introduction to twelve-tone materials was heavily oriented toward an understanding of the invariant and combinatorial properties of rows, reflecting the focus of much of Babbitt's theoretical work during the 1950s. However, in his seminar Babbitt did not explore a complete composition in terms of the relationship between twelve-tone materials and its large-scale construction, but limited himself to the properties of individual row forms and localised relationships in the musical examples that he chose. As Babbitt himself said, "the resources here do not constitute a guarantee of musical coherence, but they should guarantee the possibility of coherence"[31], and Banks

[31]Babbitt, "Some Aspects," 61.

saw this "possibility of coherence" in the utilisation of invariant properties of twelve-tone sets to achieve motivic coherence in his music. In this regard, Babbitt's observation of the network of motivic relations in the opening of the third movement of Schoenberg's Fourth Quartet, for example, demonstrated the musical potential of the theory to Banks. It was in this way that Banks established a link between the 'atoms and cells' of the music that Seiber emphasised, and a systematic approach to the practical matter of what pitches to choose.

However, the integration of an "atoms and cells" conception of musical composition with the twelve-tone techniques that he had been studying was not as easy as the theory might suggest, and it was not until the following year, when Banks was living in Italy, that he got the first opportunity to experiment with these newly learnt techniques.

Chapter 6

The studies with Luigi Dallapiccola

6.1 Introduction

The award of the Edwin Evans Memorial Prize, the first performances of both the *Duo for Violin and Cello* and the *Divertimento for Flute and Strings* by the L. C. M. S., as well as his attendance at both the I. S. C. M. festival and the Schloss Leopoldskron in Salzburg, meant that 1952 was an active and important year for Banks in terms of the development of his career as a professional composer. Yet, in addition to these activities, two further accomplishments were achieved in that year. One of these was the composition of his third concert work since his arrival in England, the *Sonata for Violin and Piano*, which he wrote immediately after his return to England from Salzburg, and which was to become the first of his compositions to be accepted for publication by Schotts in London.[1] The other achievement of 1952 was the award of an Italian Government scholarship to spend eight months in Florence studying with the Italian composer Luigi Dallapiccola.

Banks applied for this scholarship, and was interviewed by the selection committee before he left for Salzburg. He also undertook a short course in the Italian language at the Italian Institute in London[2] in order to be able to demonstrate basic competency in the language.[3] On the 11th of July 1952, the British Council, acting on behalf of the Italian Government, wrote to Banks to advise him that his application was successful.[4] He left for Italy in

[1]The publication of the *Sonata for Violin and Piano* marked the start of a lifelong association that Banks was to have with Schotts Music in London.

[2]See the brochure of courses, for which one is circled, at `b30f222ai07`.

[3]A demonstration of competency in Italian was a requirement of the scholarship. (See the brochure of courses, for which one is circled, at `b30f222ai07` of the Don Banks Collection.)

[4]Letter from the British Council to Banks, 11 July 1952, `b29f220`, Don Banks Collection.

November 1952, within days of completing his *Sonata for Violin and Piano*, and lived in Florence until July 1953, where he studied privately with Luigi Dallapiccola and composed his next two concert pieces, *Psalm 70* for soprano voice and chamber orchestra, and *Four Pieces for Orchestra*.

6.1.1 The correspondence with Mátyás Seiber

While Banks was living in Italy he maintained a correspondence with Mátyás Seiber, at first writing often but then less frequently as his time in Italy progressed. In the letters Banks described some of his lessons with Dallapiccola, some of the difficulties that he had when he first arrived in Florence, and the progress that he made on his compositions and exercises. They also discussed performances and revisions of the *Sonata for Violin and Piano*, concerns about the I. S. C. M., and other more general issues.

Initial difficulties

In one of these letters, dated the 13th of December 1952, Banks described some of the difficulties that he encountered shortly after his arrival in Florence.[5] The first of these was a curious administrative problem caused by the fact that Dallapiccola was employed at the conservatorium in Florence as a part-time piano teacher, and not as a composition teacher. For this reason, Dallapiccola was not permitted to take Banks as a composition student as part of his salaried position at the conservatorium. Evidently the conservatorium was not prepared to negotiate the matter because, as Banks recounted to Seiber, Dallapiccola's colleagues were jealous of his success as a composer,

[5]Letter to Seiber, 13 December 1952, `b36f269`, Don Banks Collection.

particularly in America, and they treated him poorly as a result (for example, he was only given 'second-study' piano students to teach). Dallapiccola, however, agreed to take Banks as a private student, but Banks could not afford to pay for private lessons on his scholarship stipend. The problem was eventually resolved by Dallapiccola, who offered to teach Banks privately for no cost. Banks regretted the situation that he was in, but in due course he accepted Dallapiccola's generosity and became a private student.

The other circumstance that made his initial month in Florence difficult was finding accommodation that was warm and that offered him access to a piano. In a letter to Seiber dated the 6th of December 1952 he wrote of his need to move to a student hostel, sacrificing a warm and quiet work environment in order to have access to a piano. Once again, the situation was resolved by Dallapiccola who, recognising the importance of having a satisfactory place to work, organised for him to borrow a piano to have in the room of the private house where he was boarding.[6]

The *Sonata for Violin and Piano*

The content of several of Banks's letters to Seiber also concerned performances of his recently completed *Sonata for Violin and Piano.*

Within the first week of his arrival in Italy Banks wrote to Seiber to ask him if he would mind if he dedicated the sonata to him. Seiber was evidently delighted at the prospect and promptly wrote back with the following response:

[6]Letter to Seiber, 6 December 1952, `b36f269`, Don Banks Collection. These initial difficulties eventually formed the main content of a written report that Banks was asked to write for the Italian Institute upon his arrival back in England in July 1953 ('Report to the Italian Institute,' July 1953, `b29f220`, Don Banks Collection.)

> Would I mind if you dedicated your Violin Sonata to me? I should be delighted and proud! This is one of the best pieces I have seen for years, coming from a young composer and I shall be more than happy if I had the smallest part in shaping such a work. So, many thanks for the kind thought of associating my name with your best work![7]

That Seiber considered the sonata to be a fine composition is clear from his response, and, in Banks's absence, he arranged for the first performance of the work to be held at Morley College in London, where it was performed by Maria Lidka (violin) and Margaret Kitchin (piano).[8] He also arranged for the publishing company Schotts to consider it for publication. In due course, and after some revisions to the score, Schotts did accept the violin sonata for publication, and it became the first of Banks's published compositions:

> ... what great news it was to hear that Schott's are going to do my Violin Sonata ! it came as a tremendous surprise to me and I'm sure I have you to thank for this. I've signed the contract with Hartog [Schott's representative] after showing it to Dallapiccola for his opinion.[9]

6.1.2 First studies with Dallapiccola

Banks met with Dallapiccola at his home for the first time on Saturday the 29th of November 1952, and his first lesson with him occurred on the 5th of December—the following Friday evening—which Banks described in a letter that he wrote to Seiber the following day.[10] He recounted that

[7]Letter Seiber to Banks, 8 December 1952, `b36f269`, Don Banks Collection.

[8]Donald Mitchell, "Don Banks's Violin Sonata," *The Musical Times and Singing-Class Circular* 94 no. 1322 (April 1953): 183.

[9]Letter to Seiber, 1 May 1953, `b36f269`, Don Banks Collection.

[10]Letter to Seiber, 6 December 1952, `b36f269`, Don Banks Collection.

Dallapiccola started by looking at some of the compositions that he had already written—the recently completed *Sonata for Violin and Piano* as well as the *Divertimento* and some songs that were probably written while he was a student in Melbourne.[11] According to Banks's account, Dallapiccola's comments were relatively minor, and his main concern was that Banks had not written any orchestral music and so his experience in orchestration was minimal. As a result, the first task that he set Banks to work on was the orchestration of certain sections of Monteverdi's opera, *Il Ritorno di Ulisse*, which Dallapiccola himself had orchestrated in 1942.

Banks related the beginning of his lessons with Dallipiccola as follows:

> He was surprised I had no orchestral works, cantatas etc., to show him and was keen to see my writing for the voice. I produced a couple of early songs which actually are not too badly written for the voice, lyrical and expressive enough, and then he looked quickly at the Divertimento. He then proposed that I must get on with orchestral writing and that an interesting project would be the scoring of some scenes from the operas of Monteverdi, as this would also help me to get to know Monteverdi and we could discuss the whole problem of transcription. I'm to commence with 'The Return of Ulysses' for next week ...[12]

According to Banks's letters, he continued to work on his orchestration of a section of Monteverdi's *The Return of Ulysses* for at least the following three weeks, but while he was working on this he also worked on a composition of his own that he referred to as a 'Sinfonietta,' but he did not show this one to Dallapiccola at first.

[11] Scores for some of these early songs, such as 'The Cherry Tree' and '2 Songs for Tenor Voice and Piano', can be found at `f14p5`

[12] Letter to Seiber, 6 December 1952, `b36f269`, Don Banks Collection. Some of the pages of Banks's orchestration are located in folio 15 pack 1 of the Don Banks Collection.

> I've written about 30 bars of the 1st movement of the Sinfonietta — have found it slow going in dealing with orchestration problems, so will keep going and produce it later for the Maestro's opinion.[13]

This is the first reference that Banks made to a 'sinfonietta' in his letters, and the tone of his reference suggests that Seiber already knew that he was working on it, so this composition was probably started in London prior to Banks leaving for Italy. Banks eventually showed this work to Dallapiccola at the beginning of January, some four weeks later:

> I see Dallapiccola most Friday evenings and always an interesting hour or so follows—I took him the sketches of the 1st movement of my Sinfonietta 3 weeks ago & he pronounced himself very satisfied with what he saw, he thinks the general style is an improvement on the Violin Sonata, mainly, I believe, because I've been trying to find a somewhat tenser idiom & not use as many notes to get my results.[14]

In a subsequent letter, Banks wrote that he was continuing to work on the sinfonietta "in odd moments,"[15] but in May he decided to turn this piece into 'five pieces for orchestra,' of which he only wrote four. So what started as the sinfonietta became the *Four Pieces for Orchestra*, which was Banks's first major orchestral composition, premiered in the following year by Sir Adrian Boult conducting the London Philharmonic Orchestra. Banks described its transition to the intended five pieces as follows:

> I've been working at the Sinfonietta idea but found that the 1st movement started to get out of hand over a conflict of the material I was using—the 1st group was a little on the light side for

[13]Letter to Seiber, 6 December 1952, `b36f269`, Don Banks Collection.
[14]Letter to Seiber, 25 January 1953, `b36f269`, Don Banks Collection.
[15]Letter to Seiber, 29 March 1953, `b36f269`, Don Banks Collection.

> extensive treatment and the 2nd group was unbalancing as it's pretty intensive going. I had a long session with Dallapiccola over it and he asked me to chew over the idea of making the work a series of shortish pieces. I found it difficult to decide and wasn't overkeen on changing my original conception, but the thing was more or less decided for me when I found that my imagination responded better to this new idea and saw that in any case both groups of my original plan had been based on the same 4 note figure, so now I plan a '5 Pieces for Orchestra' as I'm attracted by the unity I can obtain by founding each piece on this particular figure. I have 4 of them under way now - roughly the plan is an Andante, a Lento (intenso), Scherzo, Adagio Espressivo and a Finale (which will probably sum up the work). The 2 slow movements are almost entirely canonic (Dallapiccola is quite taken by the Adagio, he thinks this will become a very good piece indeed, I only hope I can sustain the writing of the opening).[16]

However, the first composition that Banks completed in Florence was a piece for soprano and chamber orchestra, entitled *Psalm 70*.

6.2 The composition of *Psalm 70*

Banks started composing *Psalm 70* in February 1953, as the following extract from a letter that he wrote to Seiber, dated the 24th of February 1953, indicates:

> At the moment I'm struggling with my first 12-tone work as I felt a terrific urge to try my hand with the technique, so I commenced a setting of one of the Psalms for voice and piano because I thought this would provide me with a shortish form and a test to see if I could extract a good lyrical line from the row, besides the harmonic noises I like to make, and in any case one section just cried out for a crab-canon—so it seemed to be [an] interesting ex-

[16]Letter to Seiber, 1 May 1953, `b36f269`, Don Banks Collection.

> periment. I finished 20 bars or so and took them to Dallapiccola last Friday ...[17]

As the letter indicates, the initial conception for *Psalm 70* was a setting for voice and piano, but only twenty-two bars of this initial version were written before Banks started to rework the piece, at Dallapiccola's suggestion, for voice and small orchestra.[18] Consequently the sketches of the piece divide into those for the first (voice and piano) version, and those for the orchestral version. This division is indicated on the sketch map shown in figure 6.1.

6.2.1 The first version

The twenty-two bars of the first version comprises four small sections:

1. (Bars 1–5) Verse 1, delineated by two bars of piano music
2. (Bars 6–11) Verse 2, set within a musical palindrome
3. (Bars 12–15) Verse 3, set with canonic elements
4. (Bars 16–22) Verse 4

Item `f5p7i02/I`^{v} and `II`^{r}

At the top of item `f5p7i02/II`^{r} Banks sketched the initial ideas for the voice and piano setting of the first verse, and on this page he also wrote out the entire text of the psalm, which he annotated according to the way he intended to structure the composition (figure 6.2).

[17]Letter to Seiber, 24 February 1953, `b36f269`, Don Banks Collection.
[18]See pages 186ff of this chapter.

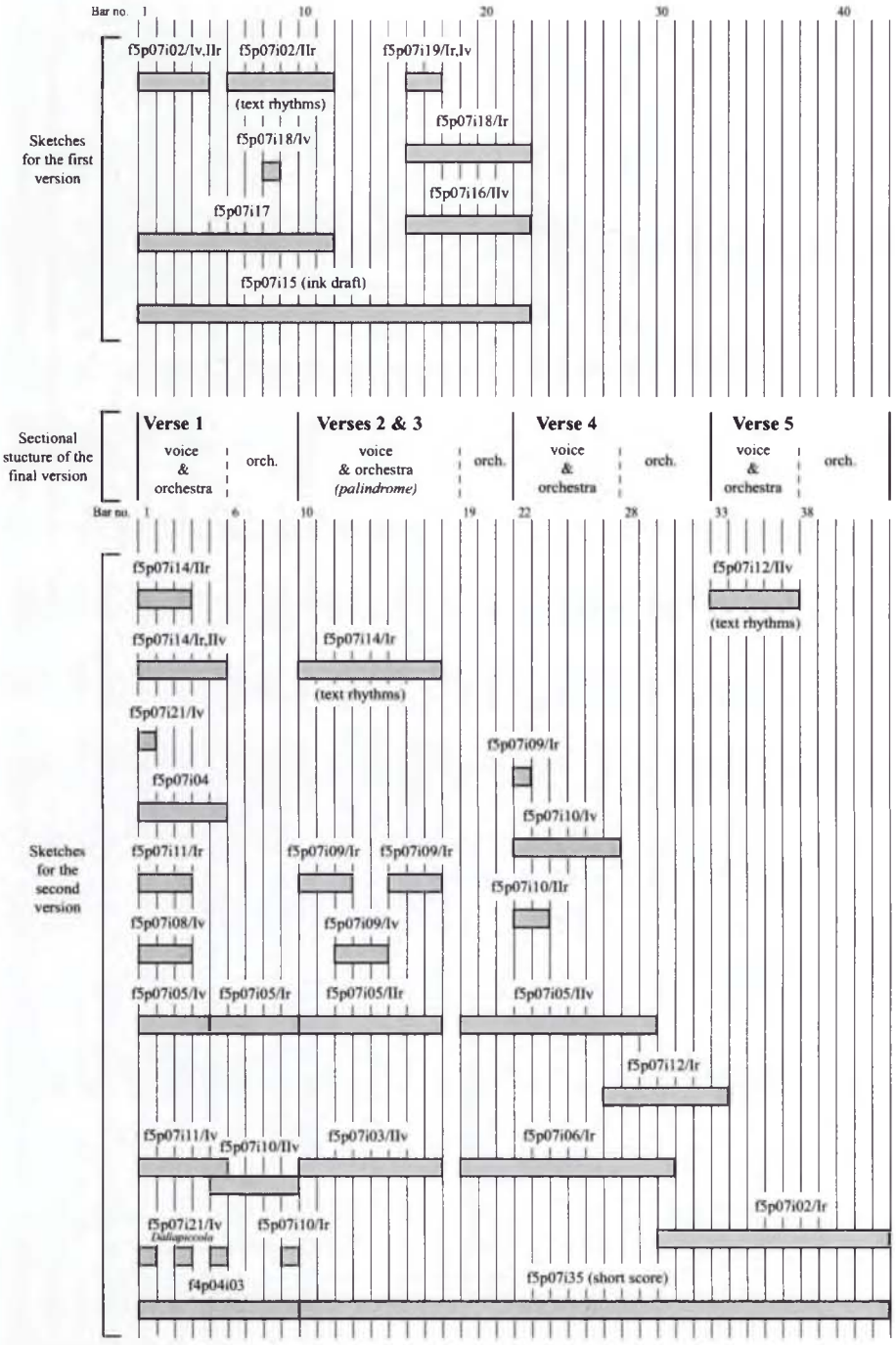


Figure 6.1: Sketch map for *Psalm 70*.

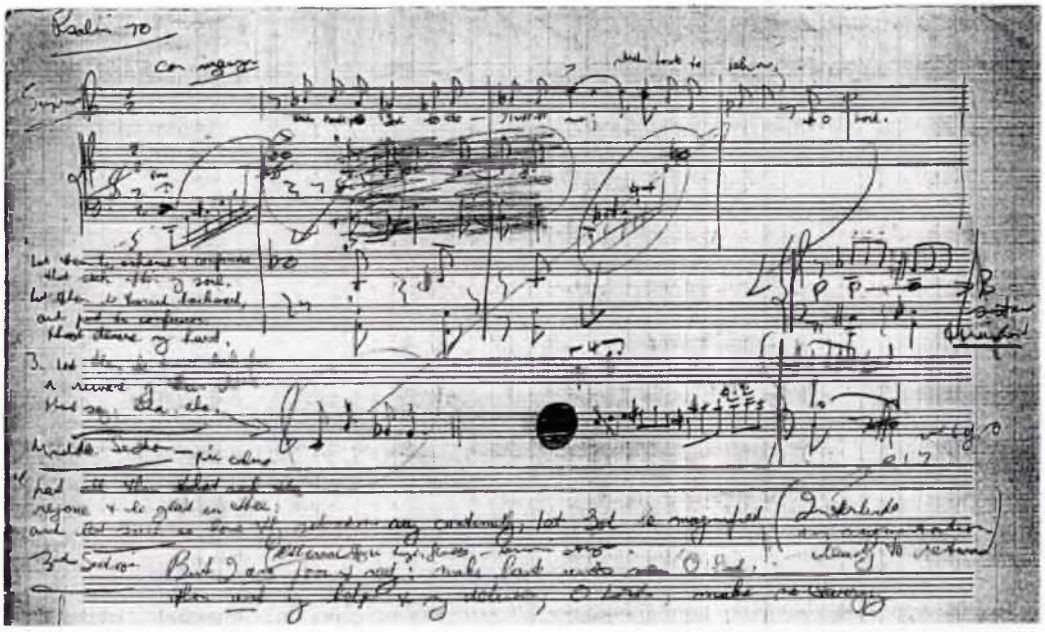


Figure 6.2: The text of psalm 70 [f5p7i02/II^{r}].

According to his notes, verses 2 and 3 were to follow directly on from one another, verses 3 and 4 were to be separated by a "middle section—*più calmo*", and verses 4 and 5 were to be separated by a third, "ethereal" section.

> Make haste O God to deliver me, Make haste to help me O Lord
> 2. Let them be ashamed & confounded
> that seek after my soul.
> Let them be turned backward,
> and put to confusion
> that desire my hurt.
> 3. Let them be turned back for
> a reward of their shame
> that say, aha, aha.
>
> ---
>
> middle section—*più calmo*
>
> ---
>
> 4. Let all those that seek thee
> rejoice & be glad in thee;

and let such as love thy salvation say continually, let God be magnified (Interlude in augmentation ready to return)

3rd Section ([*added between lines:*] ethereal type high flutes—harmonic strings]

But I am poor and needy: make haste unto me, O God,
thou art my help & my deliverer, O Lord, make no tarrying

The structure indicated on these notes was maintained right through to the final version of the orchestral setting. In the final version the first and second verses are separated by an instrumental section, as are the third and fourth verses, where the beginning of the fourth verse is marked *più tranquillo* corresponding to the *più calmo* written on this sketch. The fourth and fifth verses are also separated by a short instrumental section, although it is not characterised by high flutes or string harmonics as these notes indicate. (This reference to orchestration was apparently added later, as indicated by the difference in handwriting.)

The lower third of the page was given to working out the rhythmic setting of the text of the second verse.

The setting of the first verse was sketched again at the top of item `f5p7i02/Iv`, and at the bottom of the same page he wrote out the twelve-tone row that he used for this first version (figure 6.3 (a–c)).

Banks wrote his setting of the first two verses on item `f5p7i17` (there are two sketches for the second verse on this item—the first was crossed out and second was retained) and then rewrote them in ink, together with settings of the third and fourth verses, and took them to show Dallapiccola as he described in his letter to Seiber.

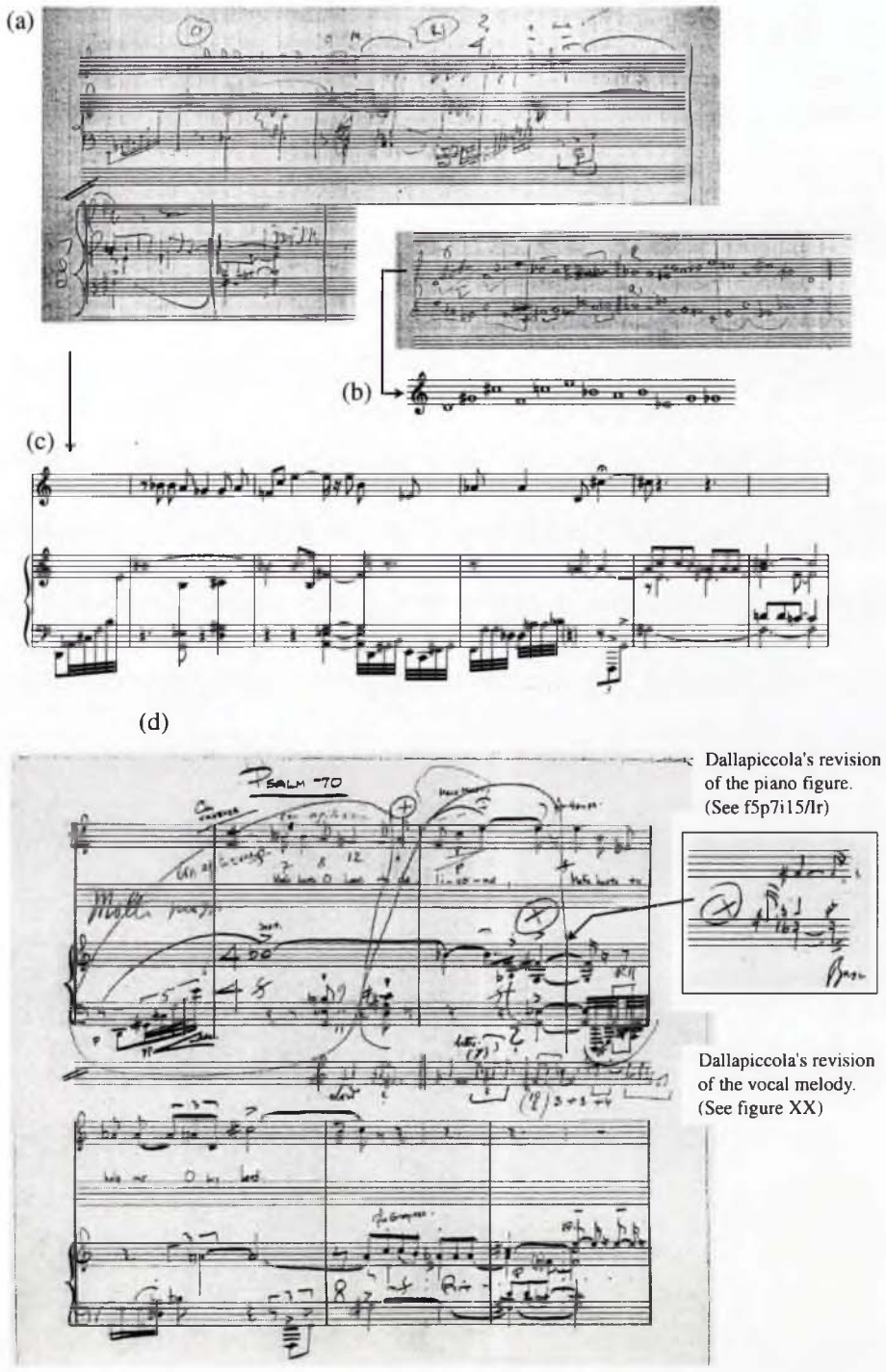


Figure 6.3: (a) The initial sketch of the opening five bars; (b) the corresponding row form; (c) transcription of the initial sketch; (d) the first six bars of the voice and piano draft (with Dallapiccola's annotations).

The voice and piano draft, item `f5p7i15`

The first three bars of this draft (item `f5p7i15/II`^{v}) set the first verse of the text:

> Make haste O Lord to deliver me; Make haste to help me, O my Lord.

On this draft, Dallapiccola circled the first two statements of the twelve-tone row that Banks used and drew attention to two places in the draft with '✗' symbols (figure 6.3 (d)). The first of these symbols points to the second occurrence of the pitch A in the vocal line, a pitch that is not accounted for by either of the two initial twelve-tone sets if they are to be applied in strict order. In the spare staff below this system on the score, Dallapiccola notated an alteration to the melody that both eliminated this pitch and refined the rhythmic setting of the text (figure 6.4). The second '✗' symbol marks a problem with the way in which Banks notated the piano figure at the end of the second bar, which Dallapiccola re-notated on the next page of the draft (figure 6.3).

The six bars that follow then set the second verse of psalm:

> Let them be ashamed and confounded that seek after my soul: let them be turned backward, and put to confusion, that desire my hurt.

Banks set these words to an exact musical palindrome, with the point of reversal coinciding with the word 'backward' and on his draft he drew arrows under the staves to show the position of the palindrome (transcribed in figure 6.5).

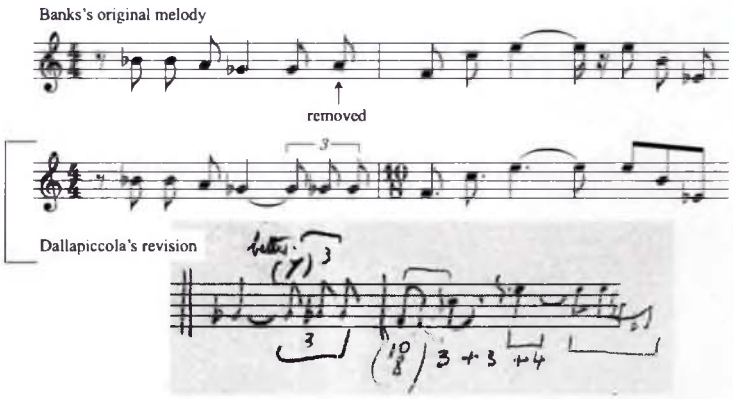


Figure 6.4: Dallapiccola's revision of the beginning of the vocal line.

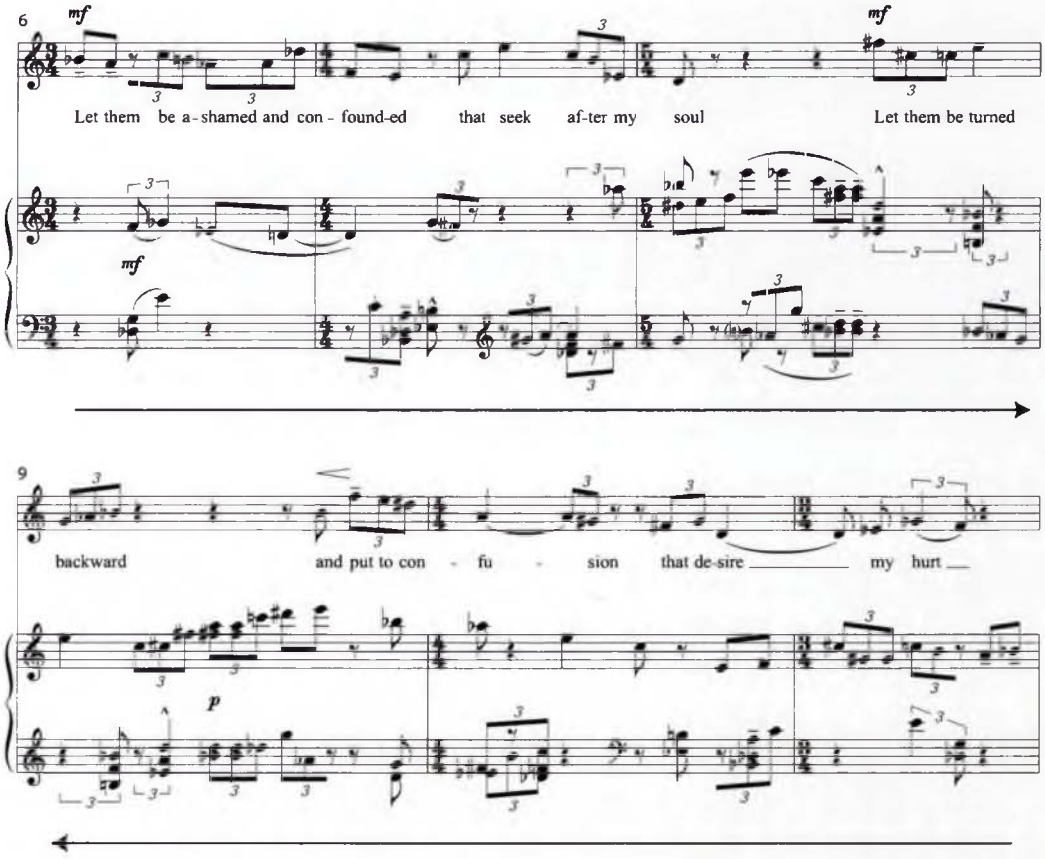


Figure 6.5: Bars 9–11: the arrows indicate the palindrome [f5p7i15].

He then followed this with a canonic section that sets the words of the third verse:

> Let them be turned back for a reward for their shame that say,
> Aha, aha.

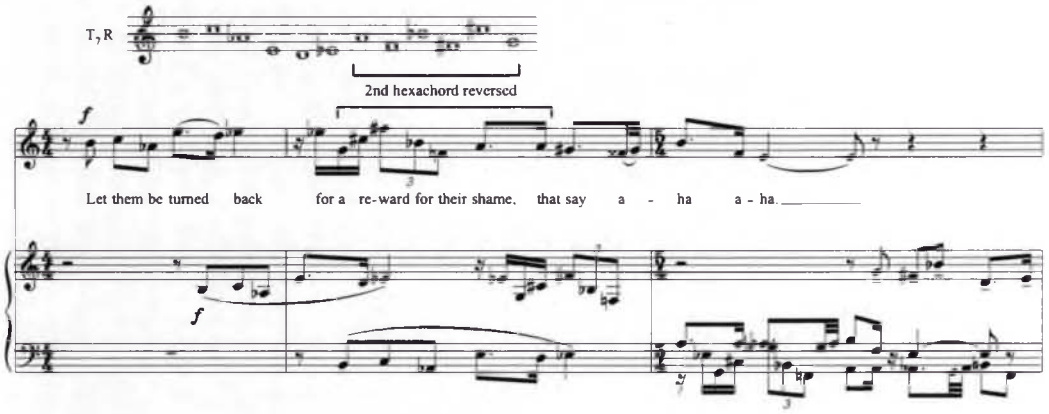


Figure 6.6: The canonic section in the voice and piano draft [f5p7i15].

Once again Banks referred to the text for the organisation of the music by setting the word 'back' on the sixth pitch of the row that he used and then followed it with a reversal of the expected order of the second hexachord of the row, reflecting the idea of being 'turned back' (figure 6.6).

That Banks experimented with palindromes and canons in his music is no surprise given that at the very time he was writing *Psalm 70* Dallapiccola was working on his *Goethe-Lieder*, well known for its application of palindromes and canons. In fact, in the letter that Banks wrote to Seiber on the 24th of February 1953, he said that Dallapiccola had shown him an early version of his *Goethe-Lieder* in order to demonstrate the construction of 'crab' canons.[19]

The setting of the fourth verse of the psalm then follows:

[19]Letter to Seiber, 24 February 1953, b36f269i02, Don Banks Collection.

> Let all that seek thee rejoice and be glad in thee: and let them
> that seek thy salvation say continually,
> Let God be magnified.

Banks took the last words of the verse, "let God be magnified", and once again referred to them in the way that he wrote the music (figure 6.7). In this case each of the syllables of this fragment of text are accented, and the piano accompaniment repeats this melodic fragment five times, beginning each time on the pitches E, G, B♭, B♮ and A♭. The lowest line in the piano texture reiterates the melodic fragment with accented notes in rhythmic augmentation, further symbolising the idea of 'magnification'.

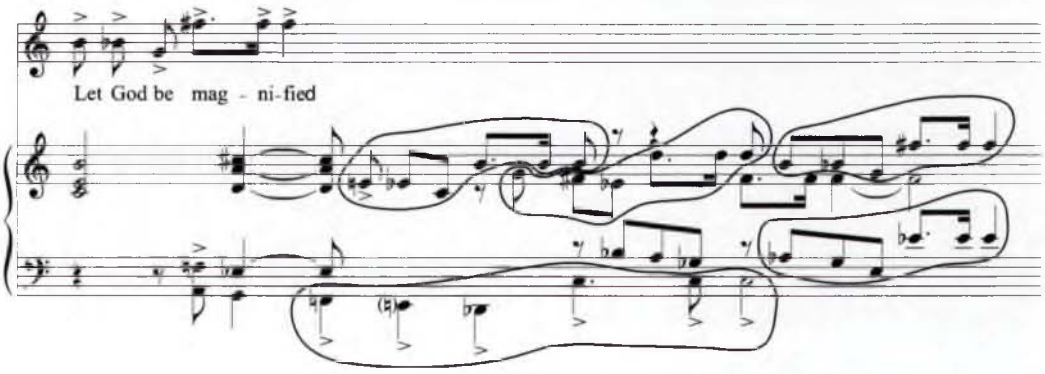


Figure 6.7: The ending of the voice and piano draft [f5p7i15].

It is at this point that the draft of this voice and piano version of the music stops.

6.2.2 The twelve-tone materials

In his letter to Seiber, Banks related Dallapiccola's criticism of it as being "too complicated altogether", a criticism with which Banks agreed.[20] In

[20]Letter to Seiber, 24 February 1953, b36f269i02, Don Banks Collection.

only twenty-two bars there are four sections that contain an abundance of ideas including canons and an extended palindrome, so it is no surprise that Dallapiccola thought it was too complicated.

Banks wrote that after Dallapiccola had "put the [first version] through the mill from all angles" and criticised his "trying to cram too much into the work", he said that he would encourage Banks to continue writing twelve-tone music and suggested that he rework the piece for orchestra.[21] In response to this encouragement, Banks not only set about re-composing the piece for voice and chamber orchestra, but he also took the opportunity to experiment more seriously with his twelve-tone materials. He wrote:

> ... since Friday I've been slogging away re-writing the whole thing as I was dis-satisfied too with the row I was using. I experimented over the week-end with the possibilities of a 'combinatorial' row à la Milton but this particular one gave me too limited a range of intervals to choose from and to arrive at the sounds I like became a very complicated process of using 3 versions of the row at once. I found this too difficult, and have finally constructed a row from which I can extract what I want.[22]

Banks's letter indicates that there were three different row forms in circulation through the composition of *Psalm 70*: (1) the row that was used in the first voice and piano draft, (2) the row that he referred to as being 'combinatorial' but too limited, and (3) the row that he finally constructed that was able to meet his requirements. The sketch material verifies that three row forms were used during the compositional process, of which the first, which has already been seen in figure 6.3 (b), was only used for the

[21] Letter to Seiber, 24 February 1953, `b36f269i02`, Don Banks Collection.
[22] Letter to Seiber, 24 February 1953, `b36f269i02`, Don Banks Collection.

piano and voice draft.[23] The second row form was used only briefly in the first sketches of the orchestral version, and the third is the row form that was used for the final version of the piece.

As Banks wrote in his letter, he showed Dallapiccola the draft of the voice and piano version on Friday night, and on the weekend he experimented with the construction of twelve-tone rows in the manner that he had learnt the previous summer from Babbitt. One of the sketches that resulted from the weekend's experiments is `f5p7i14/II`^{r}, and the first system of the sketch is shown in figure 6.8. That this sketch came after the voice and piano draft is indicated in the centre of the page by the annotation "solo violins", which is the only indication on this sketch that orchestral instruments were intended. The page also shows that Banks adopted Dallapiccola's revision of the beginning of the vocal melody from the first version of the composition.

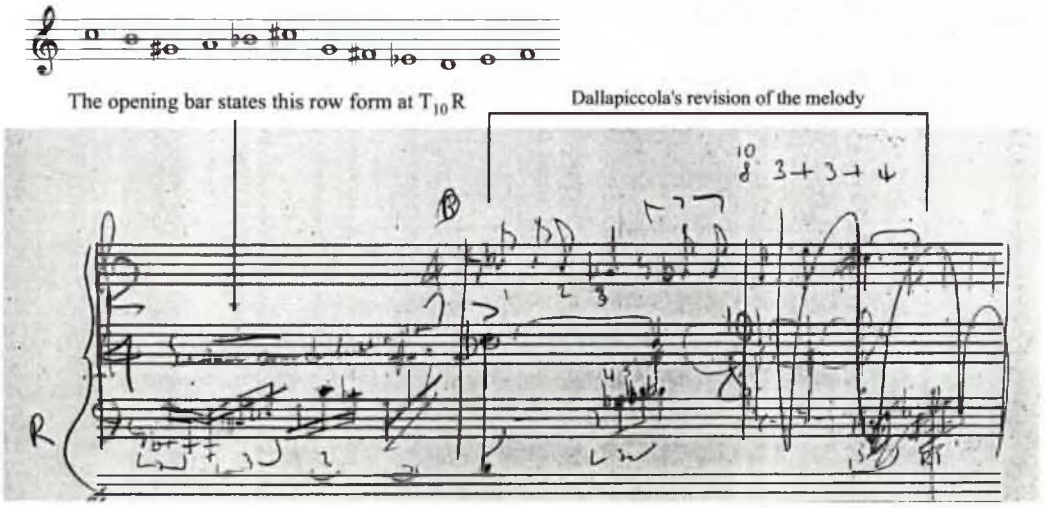


Figure 6.8: The first system of `f5p7i14/IIr`, and the row form that was used.

[23]Banks also prepared a complete table of all forty-eight forms of this row on item `f2p5i13/I`^{r}.

The row form upon which this sketch is based is stated in retrograde at the very start of the sketch (note the 'R' written to the left of the staff), and the bar that follows states the prime ('basic') form of the row (indicated by the annotation 'B' above the staff at the entry of the voice part).

The way in which Banks derived this second row form can, to a certain extent, be seen on sketch `f5p7i16/I`^{r} (figure 6.9). On the left-hand side of the lower part of the page, four forms of the new row can be seen written out. The row form sketched on the left of the very first staff on the page suggests that Banks's starting point for working out this new twelve-tone row was the succession of pitch classes as they were stated at the beginning of the draft for voice and piano, beginning with the B♭ with which the vocal melody began. The succession of pitch classes is taken from the voice and piano accompaniment, but in the following sketches Banks ignored the notes in the piano part and attempted to derive a new row from the vocal melody alone. On the right-hand side of the top staff is a statement of the six pitch classes of the opening phrase of the vocal line, and the third fragment on the staff shows the four ordered pitch classes starting on C from the second bar of the melody (C–E–B–D♯) followed by a transposed inversion of the same tetrachord (A–F–B♭–G♭).

On the second staff Banks wrote out the complete succession of pitch classes from the melody for the first verse and altered it slightly to create a twelve-tone row by changing the repeated A♭ to a G (and reversing the order of the last two pitch classes).

The beginning of the third staff shows a repeat of the eight-note row fragment from the first staff, which is then followed by the pitch classes G–

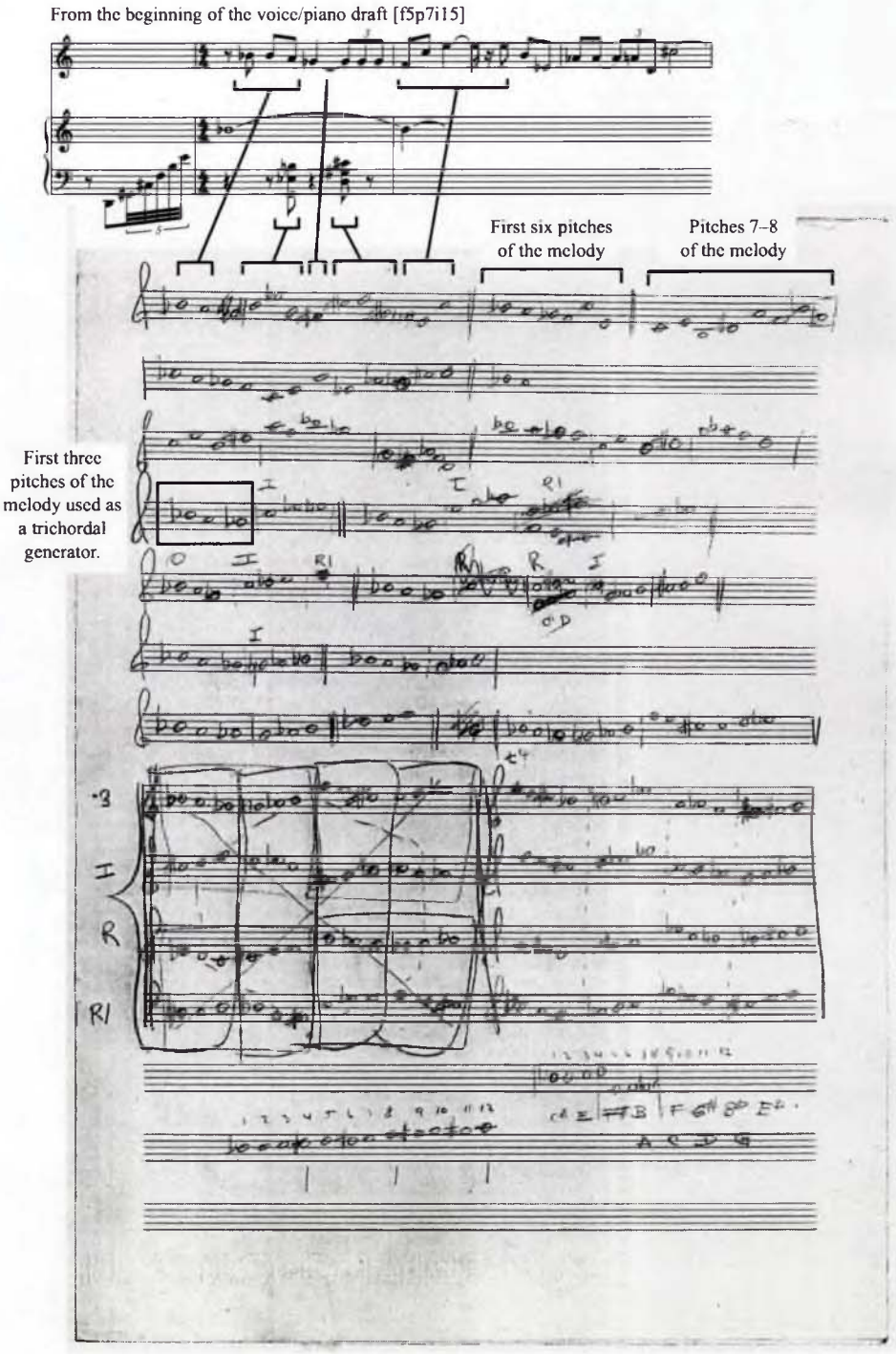


Figure 6.9: Sketch `f5p7i16/I`^{T}.

A♭–F–D. This succession of pitch classes does not constitute a twelve-tone set because of the repetition of F and omission of C♯, but this was corrected and rewritten on the second half of the staff with the order of the first two tetrachords reversed, and the internal order of what then becomes the first tetrachord was altered to correspond to the order of the opening notes of the melody, B♭–A–G♭–F.

This reordering of pitch classes highlights Banks's intention of creating a row that was compatible with the melody that he had already composed for the first phrase of the first verse. In this sense Banks's application of twelve-tone materials was in no way abstracted or removed from his specific musical ideas—in this case the initial vocal melody. Rather, the twelve-tone materials were subordinate to these specific ideas.

The steps that Banks took to create a new row on these top three staves of this sketch resulted in a row that bears a remarkable similarity to the sequence of pitches that comprise the original vocal melody that he took to show Dallapiccola. However, on the subsequent four staves, Banks continued the process of constructing a new row by using the technique of trichordal generators that he had learnt from Babbitt, and he applied this technique to the trichord with which his melody commenced, B♭–A–G♭. The annotations over the staves show the manner in which he experimented with the combination of various inversions and retrograde-inversions of the original trichord, eventually arriving at the row that was used on the sketch `f5p7i14/II`^{r}. This is the row that Banks referred to in his letter as a " 'combinatorial' row à la Milton," and the uniformity of the succession of intervals in this new row gives credence to Banks's complaint about its limitations.

The sketches in which Banks experimented with this second twelve-tone row show that the first bar of the vocal melody itself remains identical to Dallapiccola's corrected version on the voice and piano draft, but the second bar of the melody was changed to accommodate the ordered pitch classes of the new row, F–E–C♯, instead of F–C–E (figure 6.8). The rhythm of the second bar was also changed to that which Dallapiccola suggested ("$\frac{10}{8}$ 3 + 3+4") on the voice and piano draft. The accompaniment in the first bar was also changed from chords to a three-note figure that allowed the complete statement of the T_{10} form of the row to occur between the vocal line and the accompaniment. But despite the change of row form and the subsequent changes to the accompaniment, the original melodic idea in the first bar and the single-note accompaniment idea from the original voice and piano draft remain constant all through these revisions.

The third row form that Banks constructed appears suddenly at the bottom of a page of sketches on which Banks had otherwise been using his second row form (figure 6.10). The prime form of the row used in this sketch can be found stated in the melody and its accompaniment in the second and third bars of the last system of the page, and in retrograde in the first bar. This third twelve-tone row is the one that was used for the rest of the composition of ***p***.

However, the very last system of `f5p7i14/II`^{v} shows a sketch of the opening three bars of the piece that closely resemble the material in the preceding sketches with one major difference: a different twelve-tone row is used (figure 6.10).

The characteristic feature of the use of the interim row in the vocal melody

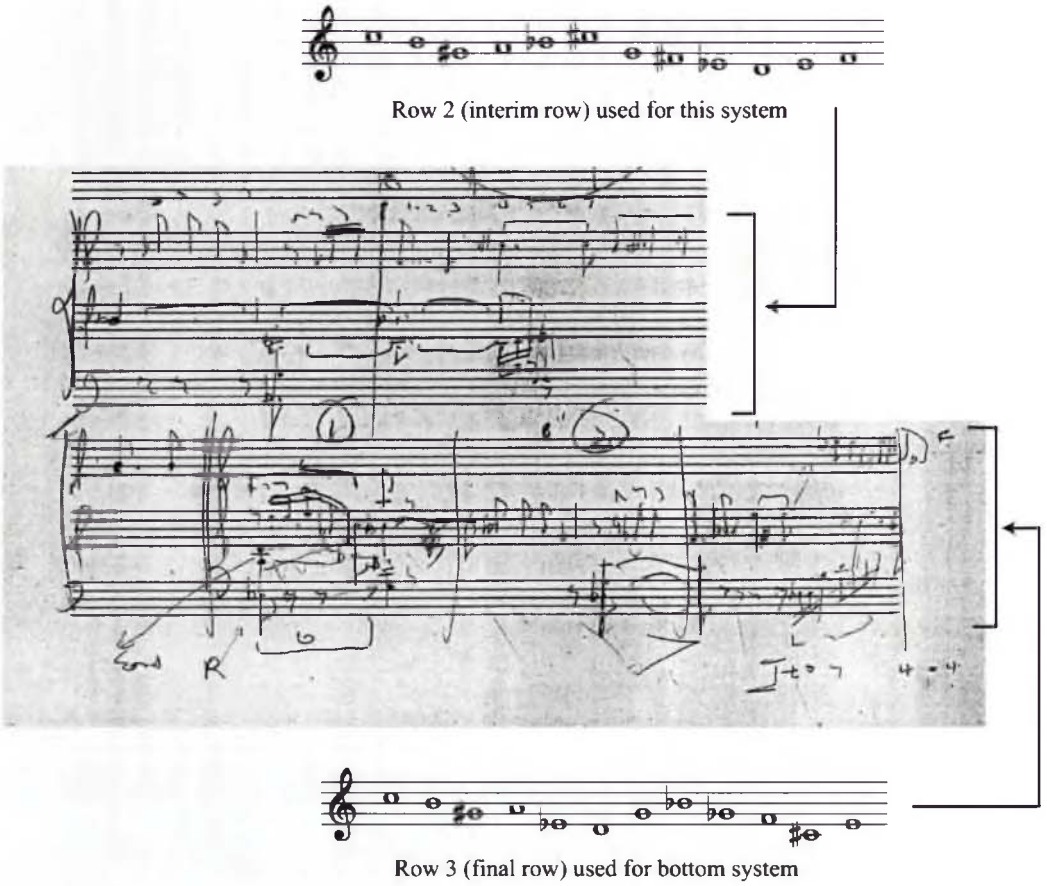


Figure 6.10: Last two systems of sketch `f5p7i14/IIv`.

is the alteration of the notes in the second bar to start F–E–C♯, but in this sketch these notes are changed again to become F–A♭–E, returning to the original melodic conception of a disjunct ascent from F to E, but this time through A♭ instead of the C in the original voice and piano draft. The prime form of the row used in this sketch can be found stated in the melody and its accompaniment in the second and third bars, and in retrograde in the first bar. This twelve-tone row is the one that is used throughout the rest of the composition of *Psalm 70*.

Nowhere in the extant sketch material is there a satisfactory explanation

as to how this row was constructed, or why it suddenly appears in use at the bottom of this page. What is clear, however, is that once more the first four pitch classes of the new row are the familiar B♭–A–G♭–G♮ of the original vocal melody, which again stresses the importance that Banks placed upon the retention of his original musical ideas.

Banks filled numerous pages of manuscript paper with charts and notes on the properties and relationships between various forms of this third twelve-tone row. For example, the page shown in figure 6.12 shows a chart of the relationships between pitch dyads of different row forms, and Banks summarised the result of these comparisons in the annotation that he made on the page:

> Complete pictures show that 3 series only of Semitone groups are possible with associated groups of 2 minor thirds (forming a separated diminished triad) (a series is of 4 rows transposed to the 4 levels of a diminished chord.)

What this means is that eight of the twenty-four basic row forms that result from transposition and/or inversion contain the same pitch dyads in different orders. These eight row forms therefore create their own closed subset of the twenty-four possibilities in terms of the dyads that they contain. The row forms in this subset ("series" is Banks's term for this) are each transposed a minor third from each other so that the vertical alignment of pitch classes of the same order number create a diminished seventh chord.

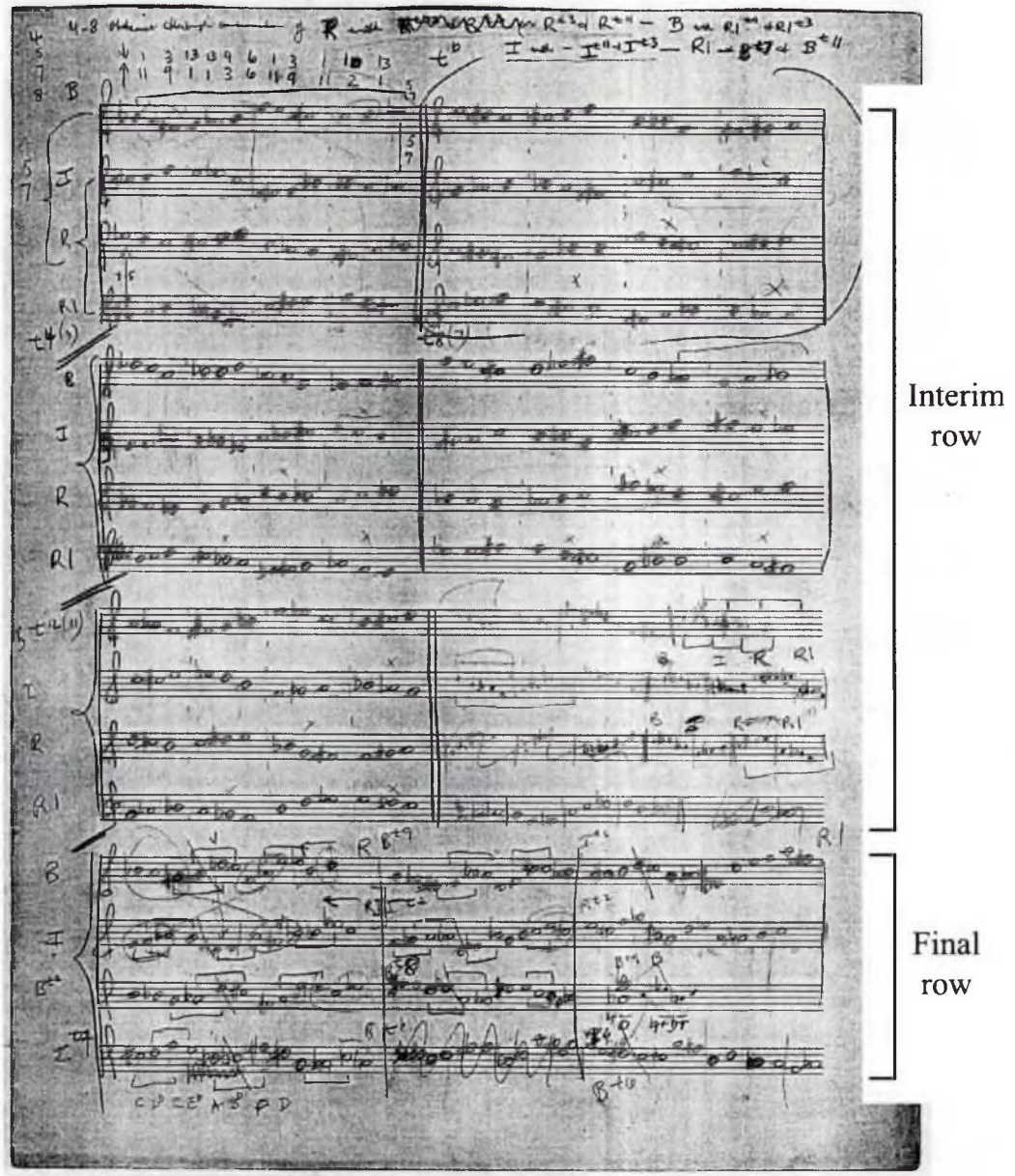


Figure 6.11: Item `f5p7i03/I`^{r}.

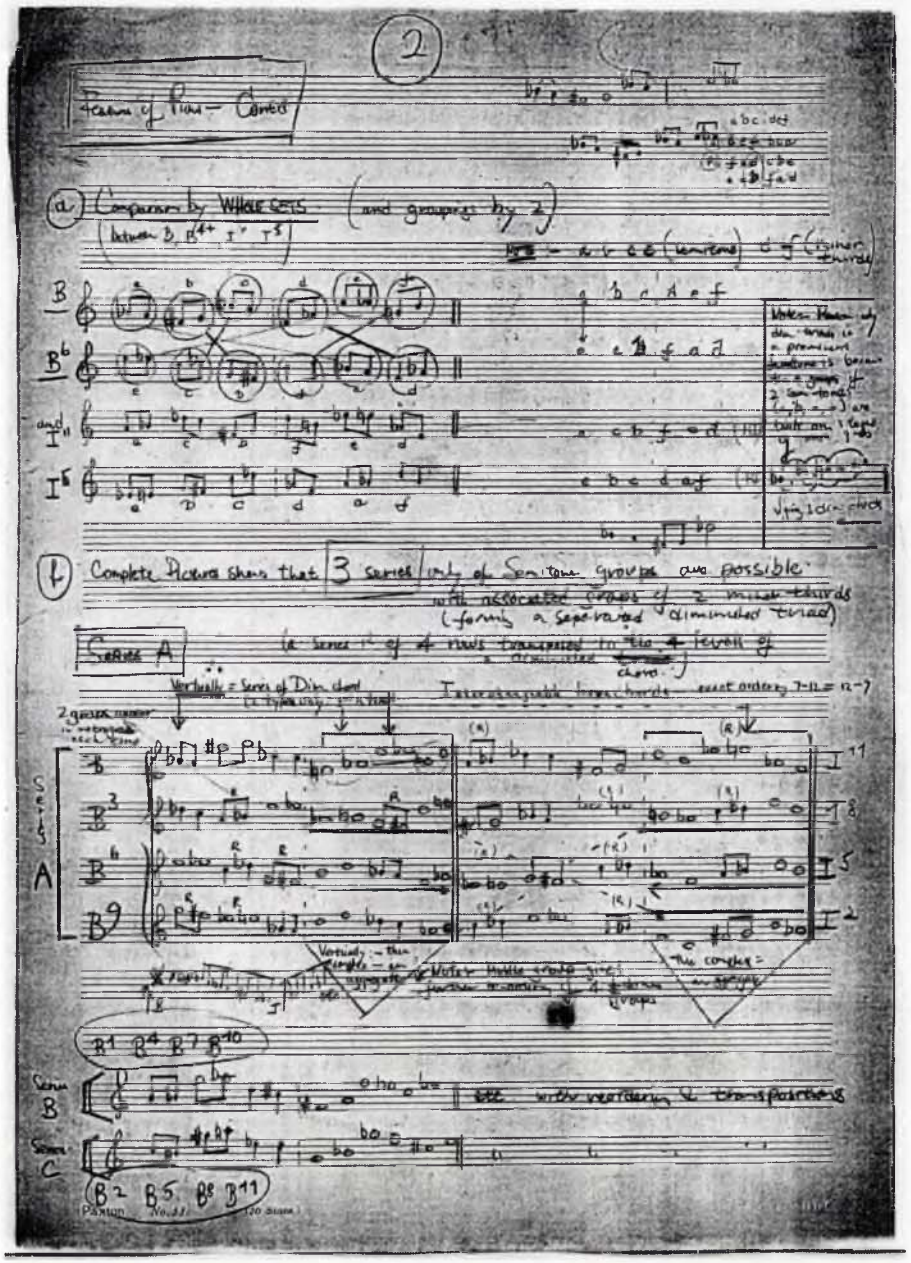


Figure 6.12: Item `f5p7i29/I`^{r}.

The first of these subsets, "Series A", was written out on this page, and all three subsets were written out in full on item `f5p7i24/I`^{r}, labelled "Tables A, B, C" (figure 6.13). Each of the three tables on this page show four prime rows of the series, spaced three semitones apart, paired with the *I* form of the row for which the content of its second hexachord is identical—as observed on `f5p7i23/I`^{r}—to create the eight rows of the sub-complex. The pairing of prime and inverted row forms generates secondary sets that are indicated on the top table by the dotted lines.

While this table shows various relations between hexachords and dyad pairs in different row forms, its main function is as a resource for the construction of further derived row forms, and for the construction of a wider variety of harmonic and melodic resources than those that are available using the fixed order of the forty-eight primary row forms. The clue to the way in which Banks set about deriving such secondary sets is with the annotation at the top of the table "$3^a + 1^b$". This is intended to indicate the trichordal constitution of the row into three trichords of type 'a' (3^a) and one trichord of type 'b' (1^b). Three of the four adjacent trichords in the rows in table A belong to the set class [0,1,4] and the fourth is of type [0,1,6]. On the bottom of the reverse side of the same page, `f5p7i24/I`^{v}, Banks wrote out the possibilities for the different combinations of these two trichord types in the construction of new row forms: $(3^a + 1^b)$; $(2^a + 2^b)/(2^b + 2^a)$; $(3^b + 1^a)$; (4^a); (4^b). And in the top left-hand corner of `f5p7i24/I`^{v} is Banks's construction of a "$(3^b + 1^a)$" row—that is, three [0,1,6] trichords and one [0,1,4] trichord (figure 6.14).

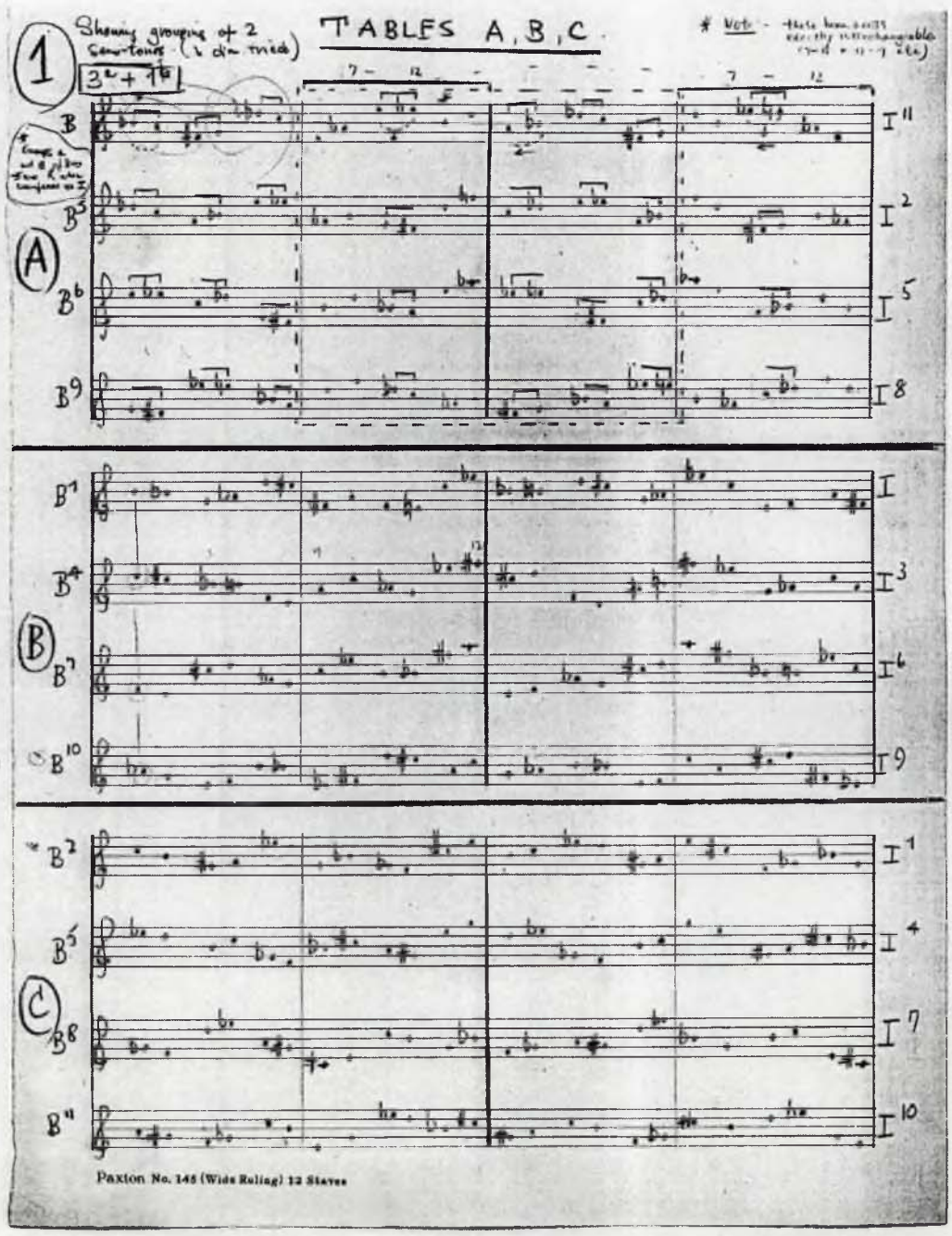
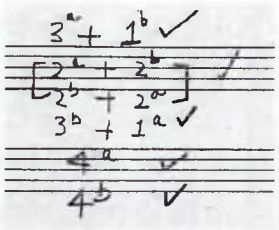


Figure 6.13: Item `f5p7i24/I`^{r}.



Different combinations of 'a' and 'b' trichords for the construction of new row forms.

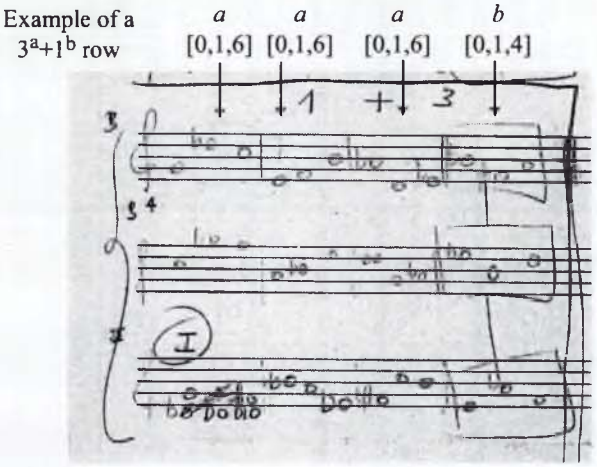


Figure 6.14: Twelve-tone row derived from two trichords (`f5p7i24/I`^{v}).

6.2.3 The opening bars of the final version

Figure 6.15 shows transcriptions of the opening bars of the piece that use the third of Banks's row forms. The first bar of all of the sketches states a single, complete twelve-tone set, but what follows in bars 2–3 from the second sketch on is less clear because the row from which the vocal line was constructed becomes lost in the rest of the texture. The vocal line in bars 2–3 is exactly the same as it was on the top sketch of the diagram, but in the second one the pitch material for the orchestral accompaniment is drawn from a different row—T_{11} instead of T_{10}—and some of the pitches in the vocal melody are claimed by this row instead of T_{10}. In other words, while the original melodic idea and the single-note accompaniment remain constant, their relationship

to the twelve-tone structure of the composition is altered.

The essential ideas for the first bar and for the accompaniment of the melody in bars 2–3 continue to remain the same in the third sketch of `f5p7i11/I`$^{\mathtt{r}}$, but Banks made some effort to clarify the use of both T_{10} and T_{11} by, for example, reversing the order of the pitches D and C♯ in the second bar of the orchestral accompaniment in order to make them correspond to their prescribed order within the different twelve-tone set. However, in the third sketch the two rows are entangled with each other to the point that any meaningful musical distinction between them is lost.

Banks continued to use these three row forms in the first two bars of the music and revised them further on an ink draft (`f5p7i05/I`$^{\mathtt{r}}$, the last of the transcribed sketches on figure 6.15) that he took to show Dallapiccola at one of his regular Friday evening lessons (evidenced by the presence of annotations in Dallapiccola's handwriting on the original page (`f5p7i05/I`$^{\mathtt{v}}$), in which he altered the orchestration of the opening bar). Banks's annotations on this draft show that in the first four bars, four different row forms were used in order to account for some thirty-seven notes, R_{10}, T_{10}, T_{11}, and RI_{10} (labelled R, B^{t1}, B, and RI^{t4}).). Ignoring the first bar, which states one complete row in isolation, Banks used three rows to account for twenty-five pitches between them. Therefore some eleven notes are held in common between at least two of the rows, meaning that almost an entire row is redundant as a result of the degree of intersection that occurs between them. This is a long way from the simplicity of the two aggregates that sat side by side in the original voice and piano draft shown in figure 6.3(d).

The intersection of these row forms is mixed in such a way that attempting

to understand the result in terms of established analytical methods makes little sense. However, what does make sense in terms of understanding Banks's approach to twelve-tone composition is that the two original musical ideas—the melody and its single-note accompaniment—still remain unaltered. In a pencil sketch at the bottom of the ink draft that he took to show Dallapiccola he deleted the opening bar of this latter draft so that the piece starts with the entry of the single note B♮, thereby paring the beginning of the music down to the two essential ideas: the single, sustained note under the original vocal melody (figure 6.16).

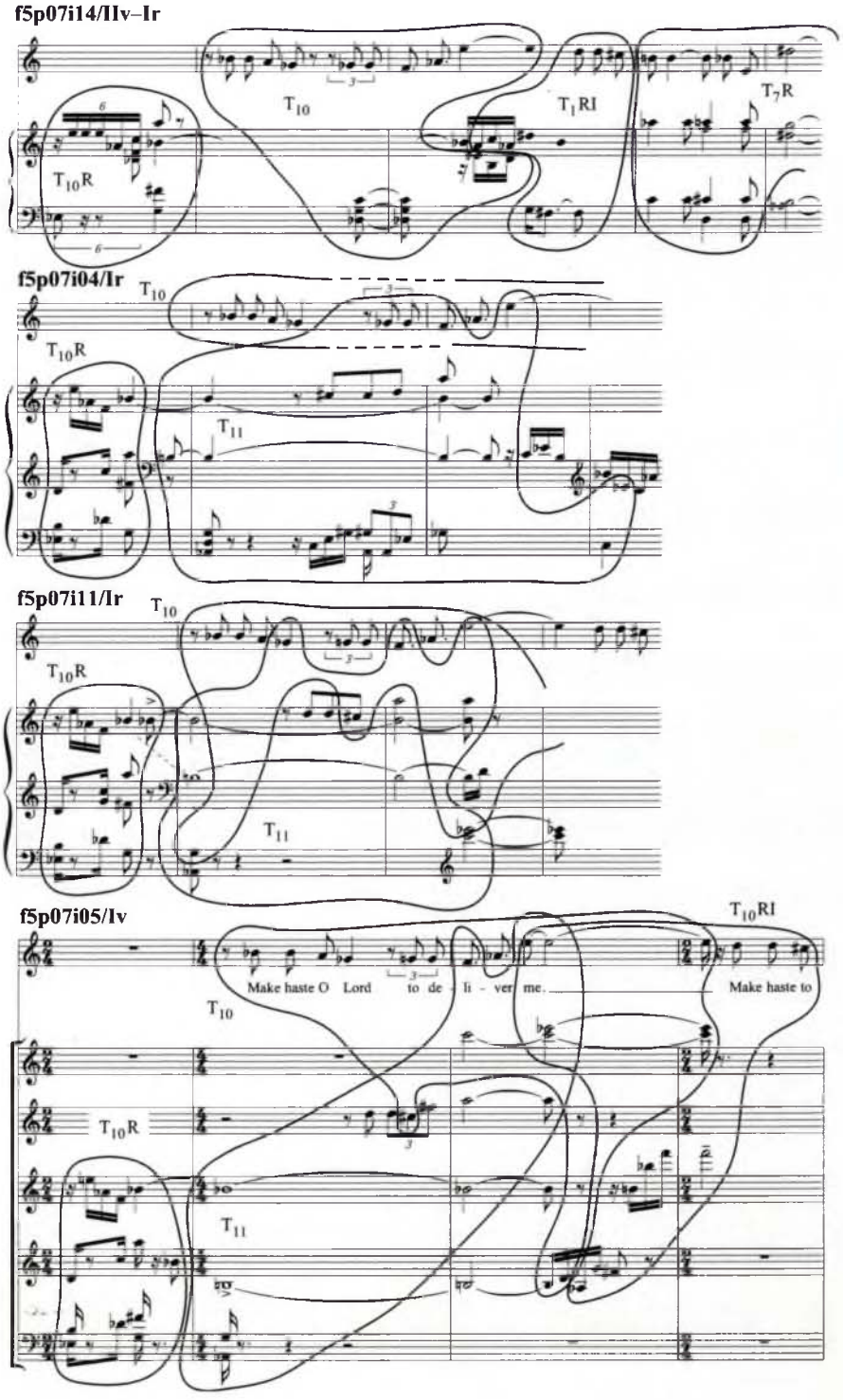


Figure 6.15: Transcription of sketches of the composition of the opening bars of the final version.

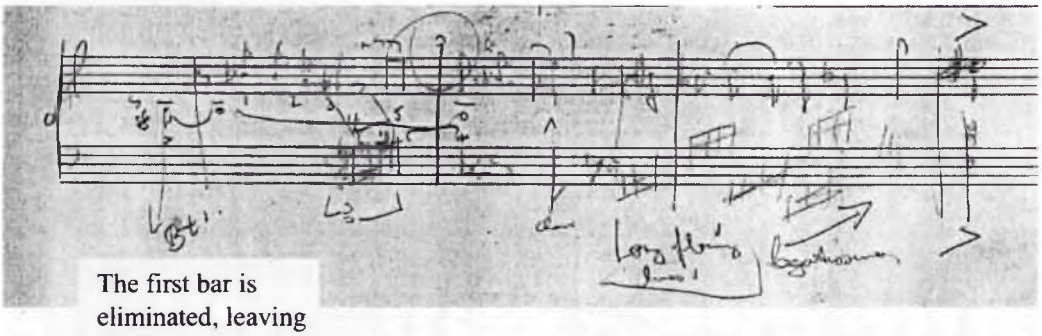


Figure 6.16: Banks's pencil sketch at the bottom of the ink draft that he took to show Dallapiccola.

Banks sketched this revision out again on `f5p7i11/I`^{v}, and it shows that because this revised opening was, in effect, extracted from the previous, more complex opening bar, the relationships between the ideas and the twelve-tone materials were fractured once again. As a consequence of this rupture, Banks attempted to reconcile his revised sketch with the twelve-tone structure that (nominally) underpinned the music (figure 6.17).

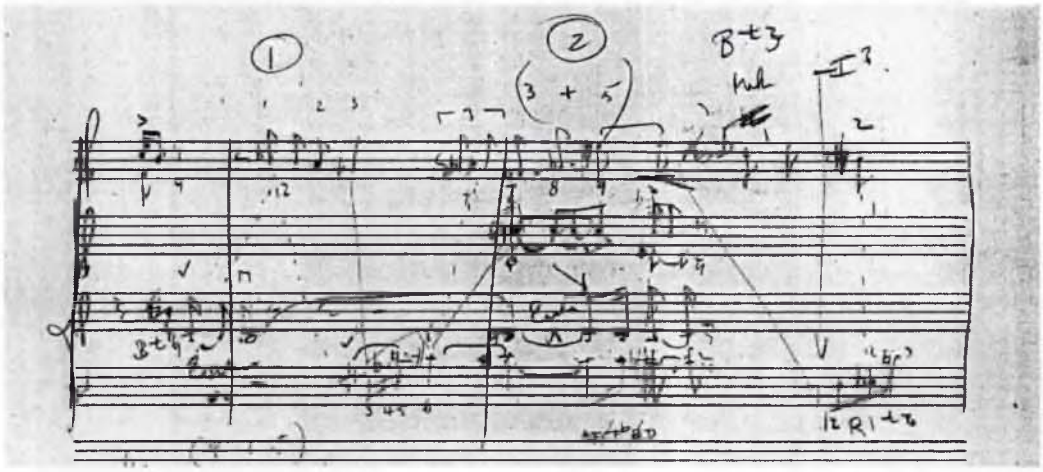


Figure 6.17: The top system of item `f5p7i11/I`^{v}.

In order to achieve this rationalisation, Banks retained the row from which the first note of the sketch, B♮, originally belonged (T_{11}), and then altered the subsequent accompaniment figure at the end of the first bar in order to make the row fit with the rest of the material. The dotted lines that Banks wrote on this sketch indicate the way by which he made (that is, forced) the row T_{11}) to fit into his revision. The effect of this was to make the twelve-tone structure of these opening four bars so obscure as to be meaningless from the point of view of analysis, but the fact that Banks felt compelled to continue to work to reconcile his music to his twelve-tone materials, as this sketch illustrates, is a clear example of the tension between Banks's approach to composing his music and the twelve-tone system that he was trying to adopt.

In terms of the composition of the beginning of the piece, the sketch on item `f5p7i11/I`^{v} contains the last significant change that Banks made, and on this sketch the opening bars are in the form that they retain for the final version of the music.

6.3 Conclusion

There are three important elements of Banks's compositional style that the composition of *Psalm 70* illustrates.

The first of these is Banks's reliance on something beyond the musical materials themselves to drive the formal design of the music. The notes on item `f5p7i02/II`^{r} (figure 6.2) show that Banks had a clear overall conception of how the music was to be structured, further indicated in later drafts

where Banks left spaces where the instrumental passages between the verses were to go, such as those on item `f5p07i05` for example. However, this formal (sectional) design of the composition was driven by the sectional, versified structure of the text itself. This way of proceeding with a text-based composition is not, in itself, significant, but the reliance on a predetermined structural framework as a starting point is characteristic of Banks's compositional method, one that was encouraged by his studies with Seiber, and specifically by the use of the Bach (and other) models as structural frames within which to compose.

The second aspect of the composition of *Psalm 70* is the apparent irrelevance to the final composition of the extensive 'pre-compositional' study of the properties of the twelve-tone rows that Banks prepared. His notes on the harmonic possibilities of the row forms and of the means of generating secondary sets did not find direct application in the composition of the music. Rather, the way in which Banks composed the music *denied* the possibility of successfully utilising pre-determined materials such as these, as the composition of the first four bars of the piece demonstrate. The nature of Seiber's influence, however, was such that he undertook to "know all of the possibilities" as part of his compositional practice, but this pre-compositional work did not function to determine *what* Banks might use to compose his music, but served the more modest function of allowing him to become familiar with *how* the materials might be used.

The third aspect of Banks's work is the distance between the twelve-tone materials and the motivic/thematic ideas with which he composed, resulting in a tension that Banks was unable to fully reconcile. Once again the influence

of Seiber stands out; Banks was attracted to twelve-tone composition but the materials with which he actually worked were motivic (Seiber's "atoms and cells") and while he could see the theoretical possibility of reconciling the two by managing the invariant properties of the row forms using the techniques that he had learnt from Babbitt, such that they might successfully exploit his specific motivic and thematic ideas, he was unable to do so in this, his first, twelve-tone composition. The result was that his method of composing effectively negated any value or structural function that ordered aggregates might have had in the composition of this piece. Instead, twelve-tone materials assume the role of reservoirs from which to draw pitches (as if out of a hat), a role that was subordinated to both the outer form of the music and to the internal arrangement of the motivic/thematic ideas.

The first and third of these aspects are features of the finished piece, while the second cannot be so readily determined without examining the way the piece was composed. However they all serve to explain why the finished composition is the way that it is. They all, therefore, contribute to the growing account of Banks's stylistic development in terms of his technical practices.

The specific influence of Dallapiccola, however, was more direct: he awakened in Banks a lifelong sensitivity to the timbrel qualities of the sounds that he prescribed in his compositions, and Banks himself acknowledged this in his interview with Hazel de Berg.[24] In this respect Dallapiccola's influence was significant in terms of shaping *what* Banks used to compose his music (the characteristics of the sounds that he chose) but his influence over Banks was not as significant as either Seiber or Babbitt in terms of the *way* that

[24]DEBERG.

he composed his music.

Pause: pre-composition

Banks's sketches discussed in the last chapter suggest that pre-compositional activity was, for him, a way of getting to know the possibilities and the compositional potential of his materials—particularly of his pitch resources—and it did not relate any more directly to the actual composition of the surface of the music. That this was the function of pre-compositional work for Banks is further confirmed by the pieces that he wrote throughout the remainder of the decade, as the following chapters will continue to show, but it was also confirmed by Banks himself in a lecture that he gave to his students many years later, in September 1976. In his notes for that lecture, he wrote the following:[25]

> There was a vogue phrase in the 1950s which was called 'pre-compositional activity' and was spoken about as though it was something new and may be even suspect. Actually it never worried us composers much for all it meant was the actual pre-planning which went into the beginning of a composition and was particularly directed towards the planning of a 12-tone composition. The consideration of a 12 tone series and all its permutations (P, I, R, RI) and the mathematics which may be involved. Crazy! Look at Beethoven's sketch books where he is trying all the possibilities of a theme, rejecting some, considering others, constantly altering his original thoughts and hammering away until he is finally satisfied he has what he wants, then the work gets under way.
>
> Apart from this constant rather cold examination of the possibilities of a motive or theme all we're doing is building and storing into our subconscious a whole stack of information for future use in the piece.

[25] 'Lecture on C20 Music,' `b34f252`, Don Banks Collection.

For Banks, 'pre-compositional activity' was about adhering to Seiber's maxim that the composer know "all of the possibilities" latent in the materials. It was also about acquiring a "whole stack of information", not about *what* materials to use, but about *how* to use them.

Chapter 7

The *Three Studies for Violoncello and Piano*

7.1 Introduction

The *Three Studies for Violoncello and Piano* were written at the beginning of 1954 for the cellist Nelson Cooke and the pianist Colin Kingsley, who gave its first performance at the Royal Festival Hall in London on the 10th of March 1954. Although Banks claimed that this was his "first essay in composing twelve-tone music" [b28f212], it was, in fact, his second completed twelve-tone composition, having been written one year after *Psalm 70*.[1]

7.2 First version

Both *Psalm 70* and the *Four Pieces for Orchestra* evolved into something quite different to the way Banks initially conceived them; *Psalm 70* started as a setting for voice and piano and ended as a piece for voice and chamber orchestra, and the *Four Pieces for Orchestra* started as a 'sinfonietta,' which became five pieces for orchestra and, finally, four pieces. In this regard, *Three Studies* is no different. Banks's initial concept for this piece was a single-movement work comprising two sets of three contrasting sections, framed within three varied statements of a theme. This structure was sketched by Banks on item f5p8i11.13/I^{r} (figure 7.1).[2]

The circled annotations "B–Inv" and "R–RI" on the first two "theme"

[1] Banks wrote that his first twelve-tone composition was the *Three Studies for Violoncello and Piano* in a handwritten draft of a program note for that piece in box 28 folder 212 of the Don Banks Collection: "The pieces are quite short & represent my first essay in composing 12 tone music." He made the same claim in an interview with Hazel DeBerg (Banks, Interview, 7707): "... and I wrote my *Three Studies for Cello and Piano* ... and these were my first strict twelve-tone pieces."

[2] All of the sketches referred to in this chapter are located in folio 5, pack 8 of the Don Banks Collection. Henceforth sketches will be identified by the item number alone (e.g. "item 11.13/I^{r}").

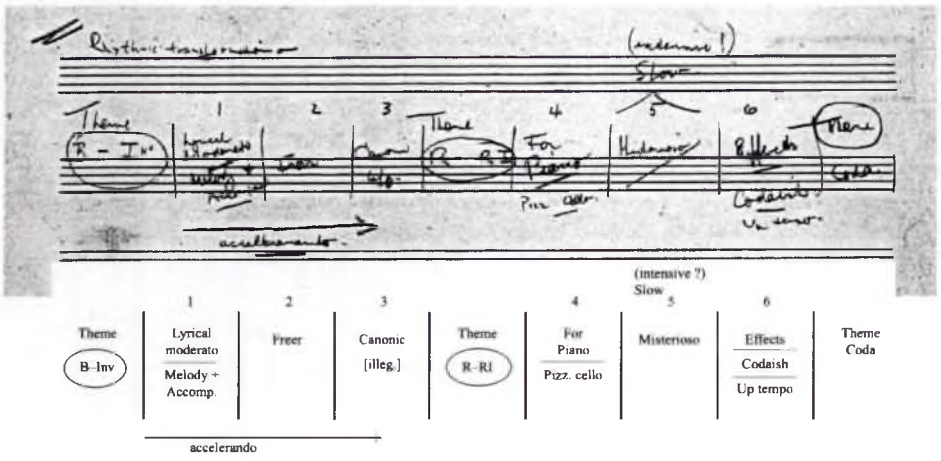


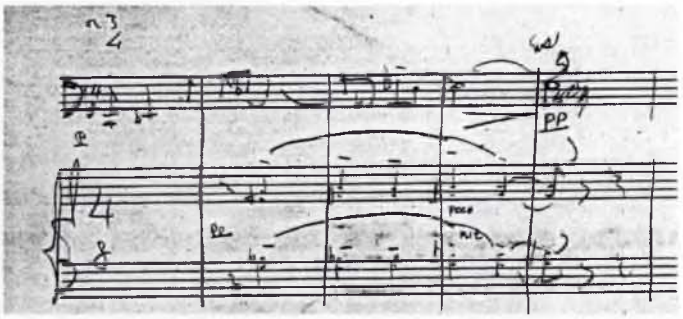
Figure 7.1: Initial sectional plan for the *Three Studies* (`11.13/I`^{r}).

sections indicate that, like *Psalm 70*, the twelve-tone aspect of the piece was not considered in terms of its potential to organise large-scale structures but, rather, as a technique for effecting variations on local thematic and motivic ideas.

A sketch for the opening theme was made at the top of the page and consists of a lyrical cello theme accompanied by repeated four-note chords on the piano (see figure 7.2a). A second sketch of the same idea, this time in a $\frac{6}{8}$ metre instead of $\frac{4}{8}$, was also written on the lower half of the page. Together the eight-note cello theme and the four-note piano accompaniment constitute the ordered twelve-tone set that appears at the bottom of the page along with its inversion (figure 7.2b).

The sketch on the right of figure 7.2b is a fragment of a canonic idea between *pizzicato* cello and piano, and the circled '3' labels this as an idea for the "canonic" section (section number 3) on the sectional plan. At the bottom of the reverse side of this page, `11.13/I`^{v}, the same 'canonic' idea

(a) Thematic idea sketched at the top of 11.13/Ir



(b) Thematic idea sketched at the bottom of 11.13/Ir

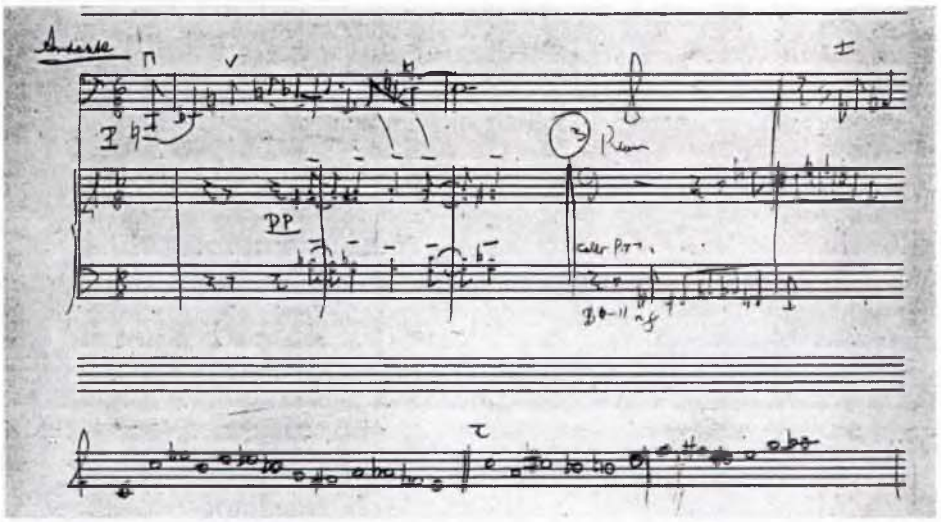


Figure 7.2: Sketches and twelve-tone row at the bottom of item 11.13/I^{r}).

was sketched immediately after a set of tremolo chords in the piano, under the annotation "head to 3", suggesting that the idea for the "freer" section of the piece, section '2', was intended to be characterised by tremolo figures such as these in the piano (figure 7.3).

While sketch 11.13 gives an indication of the proposed structure of the music and of some of the ideas for the different sections, sketch 11.9/I^{v} offers a more complete draft of the first section of the piece. Above the sketch for

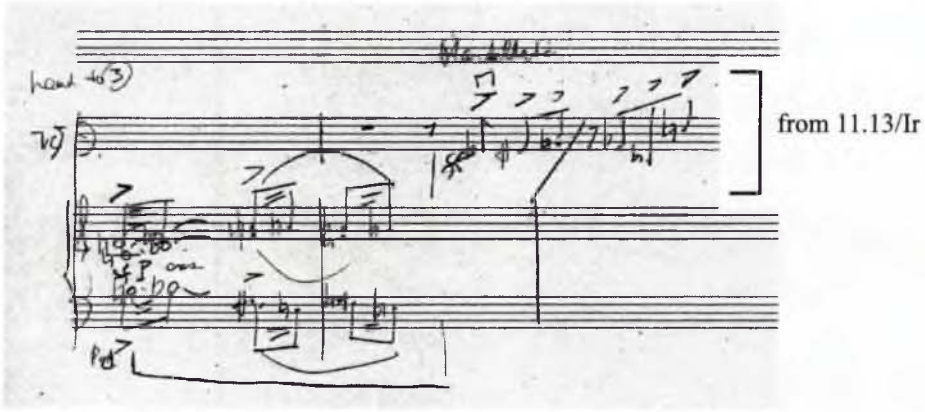


Figure 7.3: The sketch at the bottom of item 11.13/I^{v}).

the theme written in $\frac{4}{8}$, at the top of 11.13/I^{r}, Banks wrote "or $\frac{3}{4}$", and this is the metre in which the sketch on 11.9/I^{v} was written (figure 7.4).

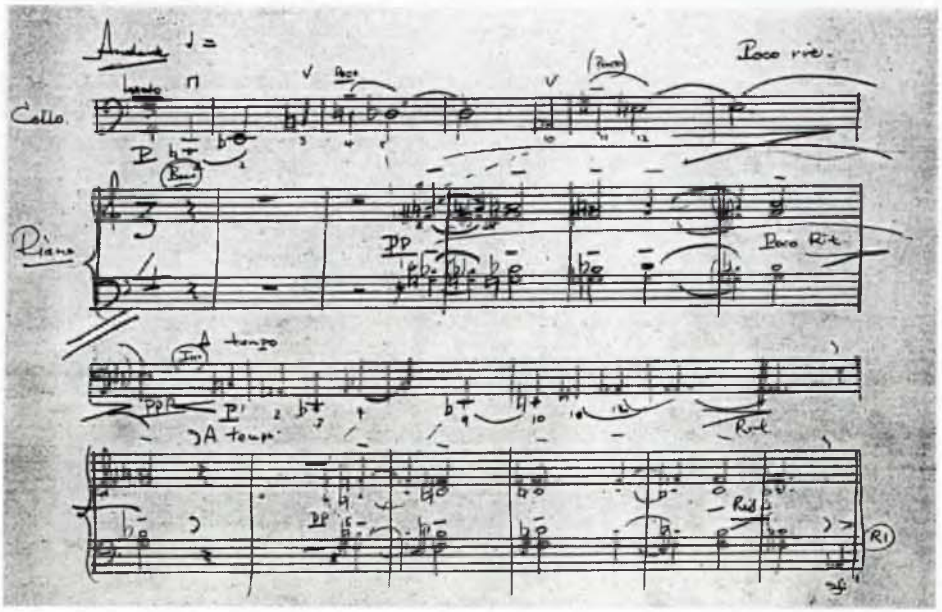


Figure 7.4: Draft of the first 'theme' section on 11.9/I^{v}).

The original thematic and accompaniment ideas were retained, but the note durations were altered in order to augment what was a four-bar idea at

the top of 11.13/I^{r} to a six-bar idea. These six bars state the prime form of the twelve-tone row, and are followed by a five-bar phrase, stating the inverted form of the same row, which functions as the consequent phrase in a familiar antecedent–consequent phrase pair, in accordance with the notes on the original structural diagram.

The sketch on the system that follows this opening section is, according the structural diagram on 11.13/I^{r}, a sketch for the "lyrical moderato" section.

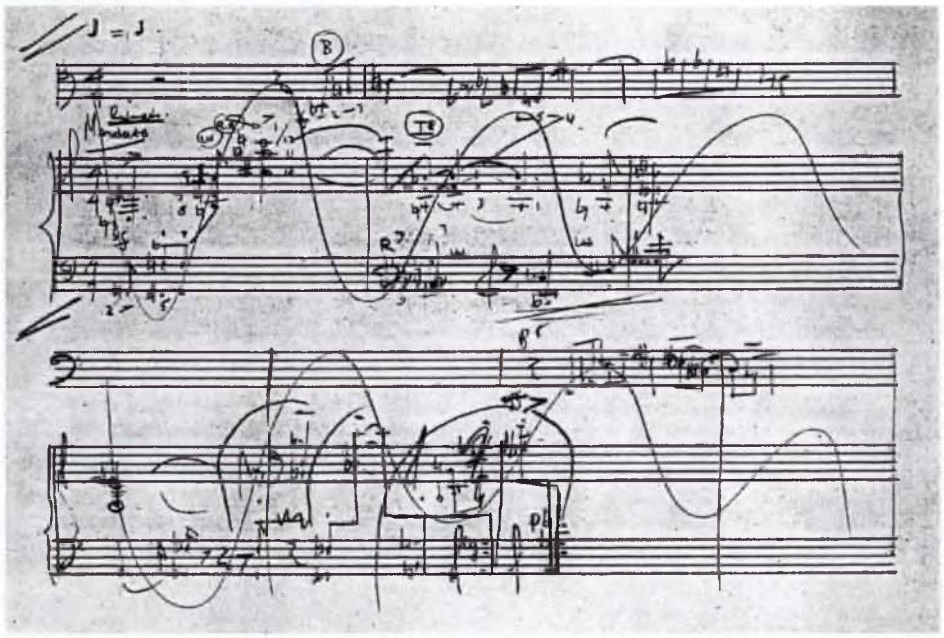


Figure 7.5: Sketch of the 'lyrical moderato' section on 11.9/I^{v}).

Despite the fact that this system was subsequently crossed out, it reveals a number of similarities to the way in which the opening bars of *Psalm 70* were composed in terms of the use of their respective twelve-tone materials. This section of the sketch begins with one bar of piano material that states the RI^0 form of the row such that the last note of the set, C, elides with the

first note of the prime ('B') form of the row, which is subsequently stated by the cello. In all of these respects, the similarity with the voice and piano draft of *Psalm 70* is clear since it, too, started with one bar of piano material whose row form elides with the prime row form stated linearly by the voice. Furthermore, the way in which the accompaniment material in the piano in the second bar of the system relates to the cello theme is analogous to the corresponding bar in *Psalm 70.* Here the piano accompaniment states two forms of the row simultaneously—I^8 in the right hand and R^3 in the left hand—and the fourth to ninth pitch classes of I^8 (F♯, G, B♭, C♯, D, B) overlap with the prime form of the row being played by the cello. Independently partitioned row forms are not a characteristic of Banks's twelve-tone technique—in fact, the opposite is true—and the overlapping of this segment of the I^8 and prime row forms results in a reversal of the order of pitch classes in this segment of I^8 that is consistent with the emphasis that Banks placed on the segmental construction of the row forms (in terms of trichords, tetrachords and hexachords) rather than on a rigorous adherence to the individual pitch-class ordering of the twelve-tone set as a whole.

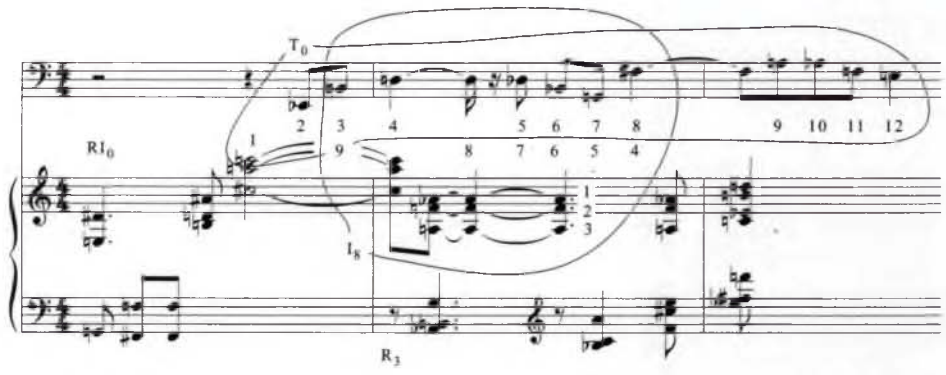


Figure 7.6: Twelve tone rows in part of the 'lyrical moderato' fragment on item `11.9/I`^{v}).

The last system on item 11.9/I^{v} and its continuation on 11.9/II^{r} revise the start of this lyrical moderato section by extending the initial piano material and by altering the cello theme. With the exception of the RI^0 row form at the beginning, the row forms that are used in these subsequent revisions change from I^8 and the prime, T^0, form to R^3 and T^5, reiterating the point that Banks's use of these twelve-tone materials was not predetermined in any way, but was subject to change as the composition of the music progressed.

Sketch 11.11/II^{v} further extends the opening section of the music from the twelve bars that were drafted on 11.9/I^{v} to sixteen bars by following the first two row forms played by the cello with one statement each of the prime row form in retrograde and then in retrograde-inversion, all labelled by Banks and shown in figure 7.7.

The original plan for the piece indicated that the return of the theme in the middle section was to be characterised by the use of the R and RI row forms and so their use in this first section as a means of extending the material compromised the function of the different row forms to act as a basis of thematic identity and variation. Of course there would be many compositional alternatives to this construction, but the initial conception of how the music was to proceed was forced to change as a result of this compromise. The need to find an alternative basis of variation was perhaps one of the contributing factors that eventually led Banks to abandon this plan for the piece altogether and start again.

A second reason concerns the nature of the ideas themselves. The initial plan was to create a piece based on the succession of contrasting sections, but this raised the problem of how these contrasting ideas might be used

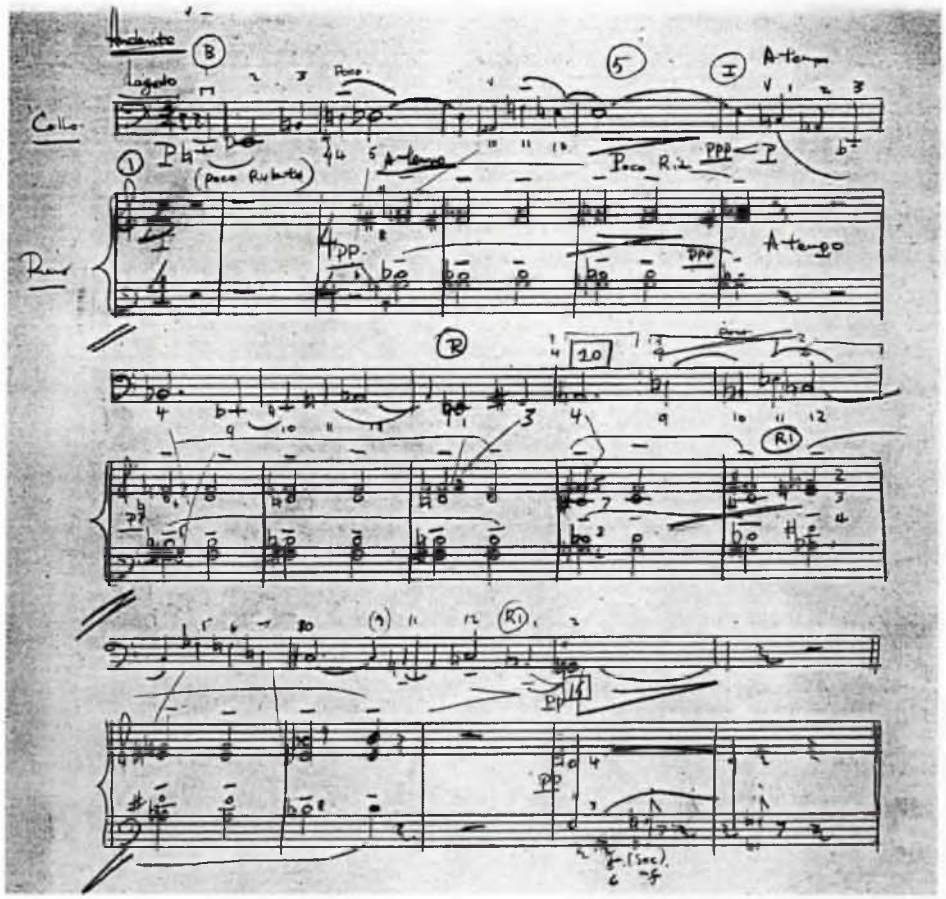


Figure 7.7: Extended version of the opening thematic material (11.11/II^{v}).

in such a way as to create an integrated composition overall. The sketches on 11.13/I^{r-v} suggest that the ideas that were to characterise each of the sections were conceived with the intention of injecting as much uniqueness within each section as possible—the initial theme and accompaniment idea, the canonic section, and the piano tremolo figures are all uniquely characteristic ideas. As a consequence, however, these separate ideas resisted integration.

The sketches on 11.10/I^{v} and I^{r} highlight this tension between contrast

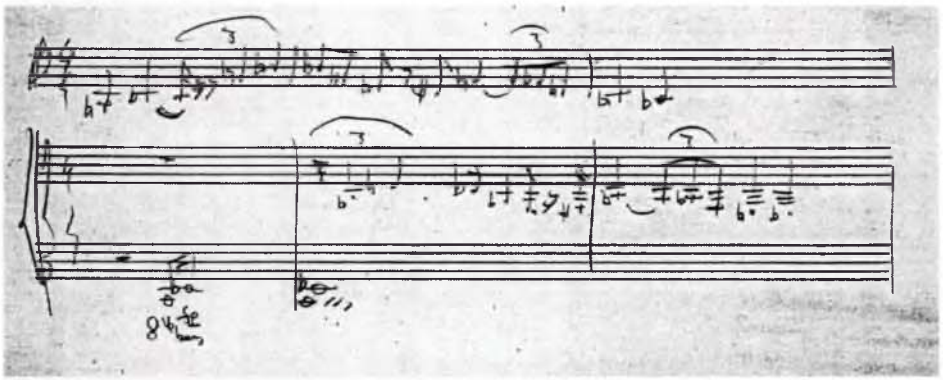


Figure 7.8: The tremolo idea combined with the canonic idea (11.10/Iv).

and integration from a different aspect. The sketches on this page show the working out of a thematic idea that appears in canon between the cello and the two hands of the piano. The canonic idea—although different to the one on 11.13/I^{r}—suggests that this is a sketch for the canonic section of the plan, which, as 11.13/I^{v} indicates, was to follow the section characterised by piano tremolos. At the bottom of this sketch, however, tremolo figures appear in the piano part, making this the only place where Banks attempted to reconcile the disparate ideas (figure 7.8).

7.3 Second version

The sketches that were based on the single-movement plan progressed no further than the few sketches discussed above before Banks decided to separate his material into three separate movements, thereby avoiding the difficulties of integrating many disparate ideas into a unified composition. But although the plan was abandoned, the musical ideas that Banks had already begun to develop were retained in the new three-movement structure. For example,

a canonic section occupies the middle of the first movement, and aspects of both the cello theme and the piano tremolo figures that Banks began to sketch on item `11.10` characterise most of the second movement of the final version of the piece.

For this second version Banks also took the opportunity to use a different twelve-tone row as the source of his pitch material, but, unlike the composition of the *Psalm 70*, there are no sketch items that show why or how he adopted this new row form, shown in figure 7.9.

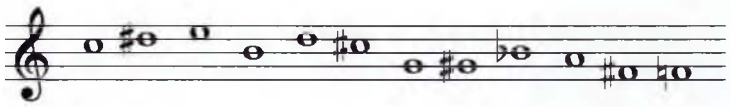


Figure 7.9: Twelve-tone row used in the final version of the *Three Studies*.

The formal design of the first movement (shown in figure 7.10) still retains sectional characteristics, but the three general sections that comprise the movement are not based on contrasting musical ideas like those indicated in the original single-movement plan. Rather, they are distinguished by the way in which the basic motivic ideas, derived from the first five bars, are used.

The function of the first section of the movement, delineated by the double bar line at the end of bar 17, is to state, reiterate, and extend the ideas stated in bars 1–3.

The second section, whose end is marked by double bar lines at the end of bar 43, comprises two subsections. The first is characterised by a canonic passage between the cello and the right hand of the piano that extends from bar 23 to bar 32. The second subsection, between bars 33 and 43, features

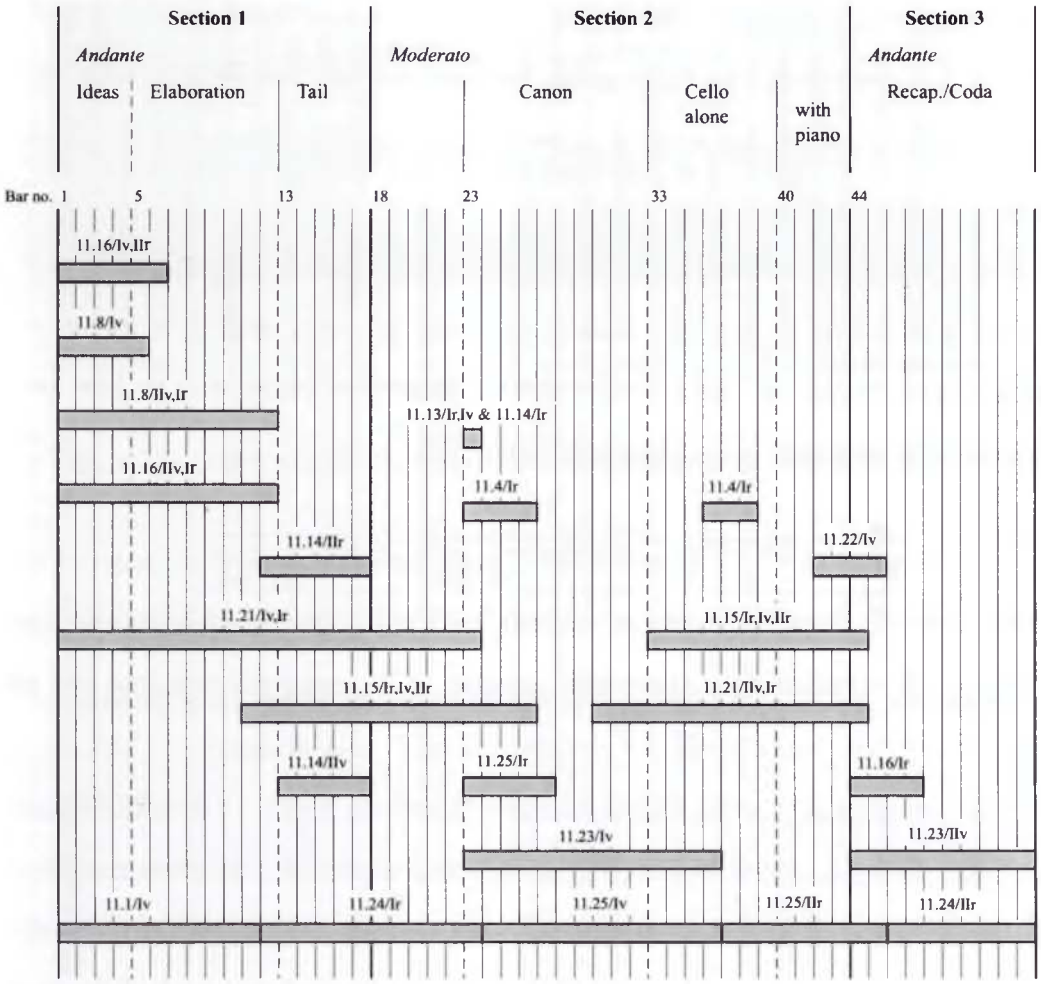


Figure 7.10: Sectional structure and sketch map of the first movement of the *Three Studies*.

the cello playing an ascending passage, at first on its own and then accompanied by the piano playing staccato quavers. This leads to the third and last section, from bar 44 to the end of the movement, which functions as a recapitulation of the material from the first section.

7.4 The composition of the first movement

The sketch map for the first movement shows that, like *Psalm 70*, more attention was given to the beginning of the music than to the other sections (figure 7.10). And again, like *Psalm 70*, the section that received the least attention was the 'recapitulation'.

7.4.1 First section: bars 1–17

11.16/I^{v} and II^{v}

The beginning of the cello theme, written at the top of 11.16/I^{v}, is clearly based on the lyrical moderato theme that was written for the original single-movement version (figure 7.6). Here, however, the theme has been altered as a result of using a different twelve-tone row, but the similarities of contour and rhythm identify their relationship (figure 7.11).

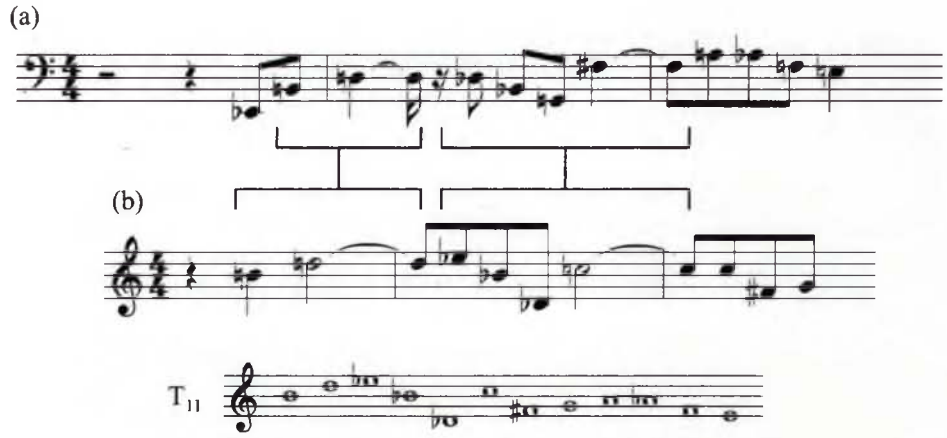


Figure 7.11: (a) The original theme on 11.9/I^{v}; (b) the theme on 11.16/I^{v}.

The first note of the original theme, E♭, was omitted so that the first two notes become B♮ and D♮, two octaves higher than the original theme. The

retention of these first two pitches determined the row form choice of T_{11}, from which the theme in this sketch was composed, since this is the only row form of the forty-eight primary rows that begin with B–D.

The motivic and thematic ideas in this first sketch were, in effect, a continuation of the composition of material from the first version of the music, but the choice of which row forms to use at any given point is not clear. While the use of T_{11} for the cello theme can be related to the previous sketch, there is no evidence to suggest that the use of specific twelve-tone row forms was planned or structured in any way. Rather, where possible, the choice of row form successions was often determined by opportunities to intersect one row with the next. For example, the first bar of the sketch is a statement of T_0, and most of the second bar of the piano accompaniment uses row form T_5. The choice of T_5 allows the second piano chord in bar 2 to retain the pitches A and F in common with the first chord of the bar (figure 7.12)

Once Banks had chosen the individual rows for any particular part of the music, he tended to keep them even though successive drafts and revisions might substantially alter the surface of the music. The sketches on `11.16/I`^{v} illustrate this characteristic in these opening few bars (figure 7.13). The second system on the page, although crossed out, shows another sketch of the first two bars, with the second bar reworked on the same system. The use of row forms T_{11}, T_0, and T_5 remains unaltered, despite the substantial revisions to the piano accompaniment in bars 2–3.

On the sketch on the last system of the page the first bar remains identical in content to the previous two sketches but the subsequent bars were

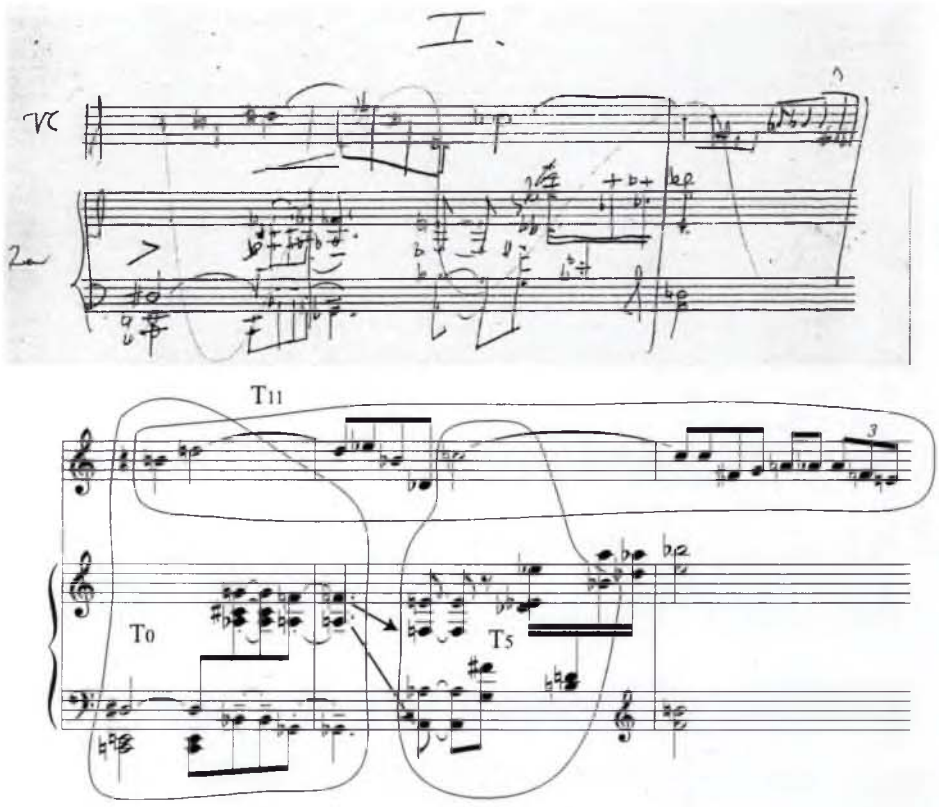


Figure 7.12: Use of row forms on the first sketch on item 11.16/I^{v}. The arrows show the pitches A and F in common between T_0 and T_5.

reworked yet again. The sketch of this last system continues at the top of 11.16/II^{r} and shows that the piano accompaniment continues with the row forms T_9 and T_8 in succession while the cello theme continues with R_4. The piano accompaniment for bars 2 and 3 is sketched again at the bottom of 11.16/II^{r}, but this time the statement of T_9 is incomplete, with B♭ and B♮ missing.

Substantial alterations were made with each successive sketch on these pages to everything except the material in the first bar. But despite the continually altering surface of the music, the underlying arrangement of the rows T_0, T_{11}, T_5 and T_9 remained invariant.

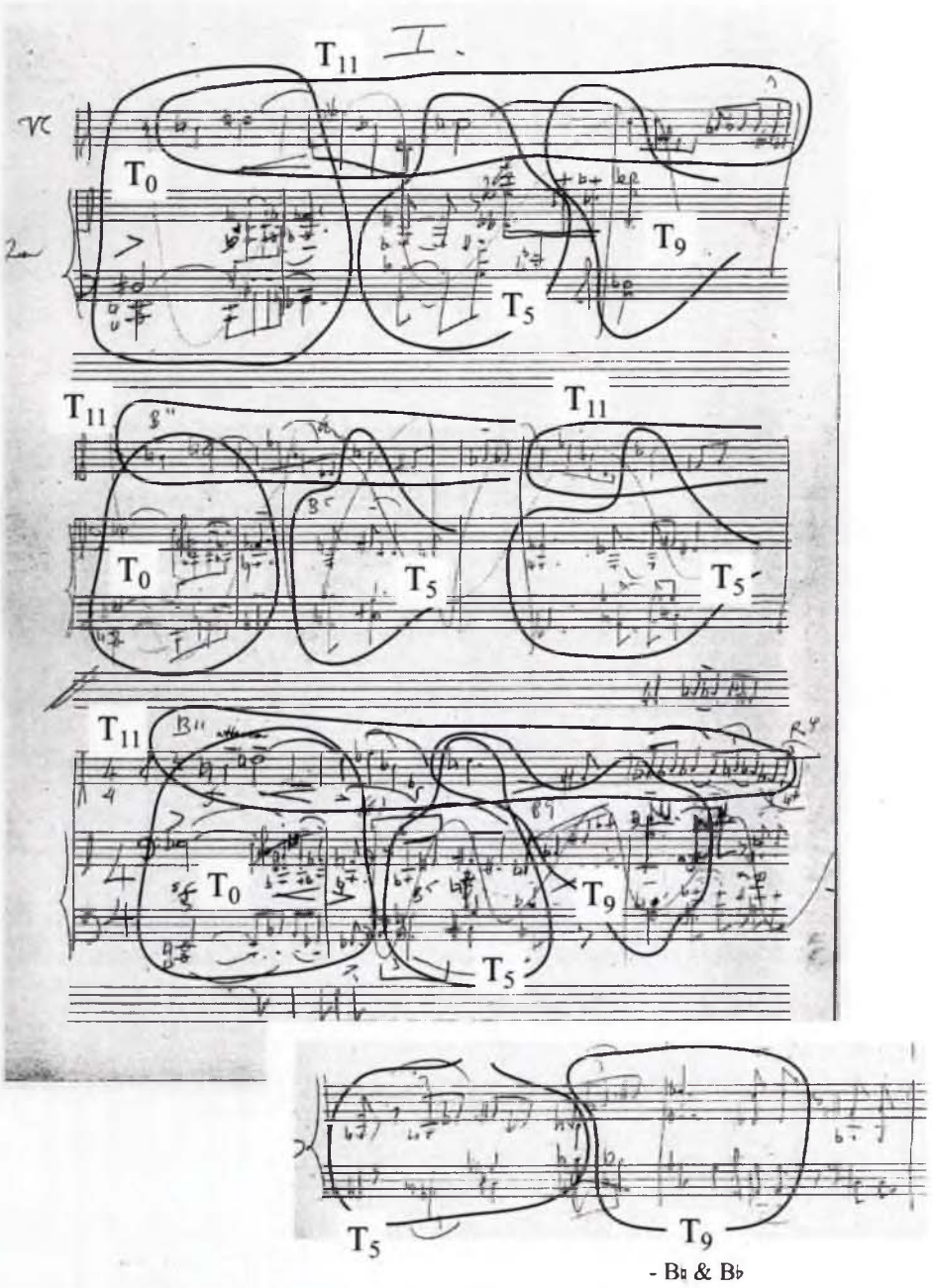


Figure 7.13: Use of row forms on item 11.16/I^{v}.

11.8/I^{v}

This page contains a relatively neat draft of bars 1–5 that was worked out on 11.16, and the annotation in the third bar shows that the statement of T_9

at the bottom of 11.16/II^{r} was deliberately left incomplete (figure 7.14).

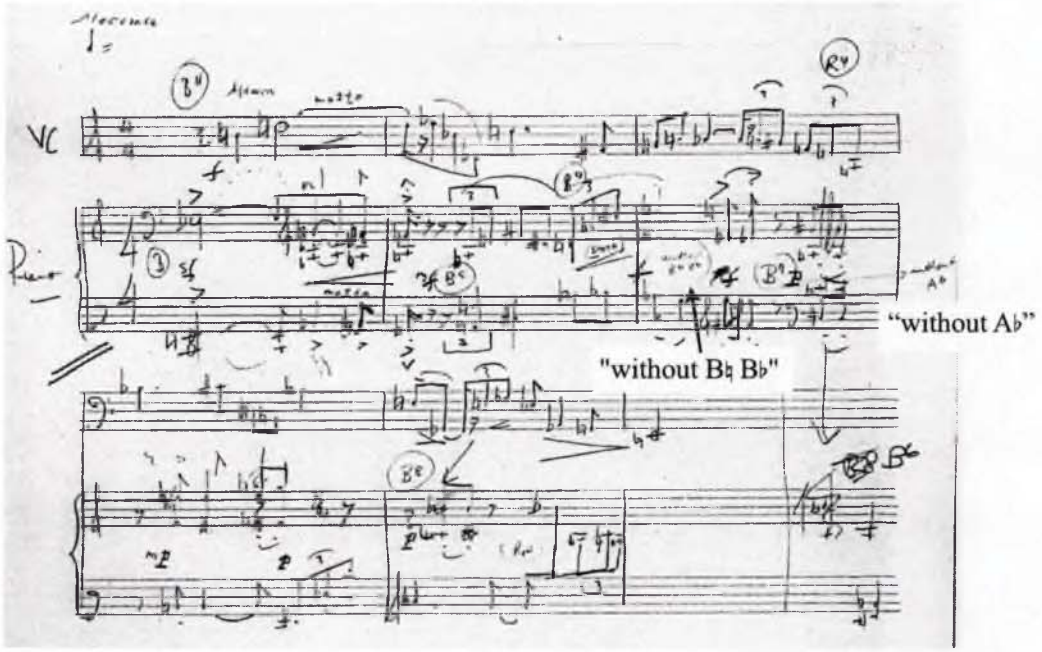


Figure 7.14: Bars 1–3, with annotations, sketched on item 11.8/I^{v}.

At the end of the third bar of the piano accompaniment, the chord with which row form T_9 began (A♮, C♯, G♯) initially omitted the second pitch class of the row, C. On this sketch, however, the C was added to the chord but the G♯ was deleted in lieu, and the adjacent annotation, "without A♭" indicates that this, also, was a deliberate omission.

The reason for that omission can be found in the construction of the harmonies in the piano accompaniment. The first chord of the piece, C–E♭–E♮, dictates the harmonic environment of at least these opening bars—specifically, a chord characterised by only one strong dissonance (the semitone). Most of the chords in these first five bars are members of the same set class ([0,1,4]) and so prolong a constant harmonic environment. And those

chords that do not belong to this set class still adhere to the limitation of only one semitone in their intervallic structure (figure 7.15).

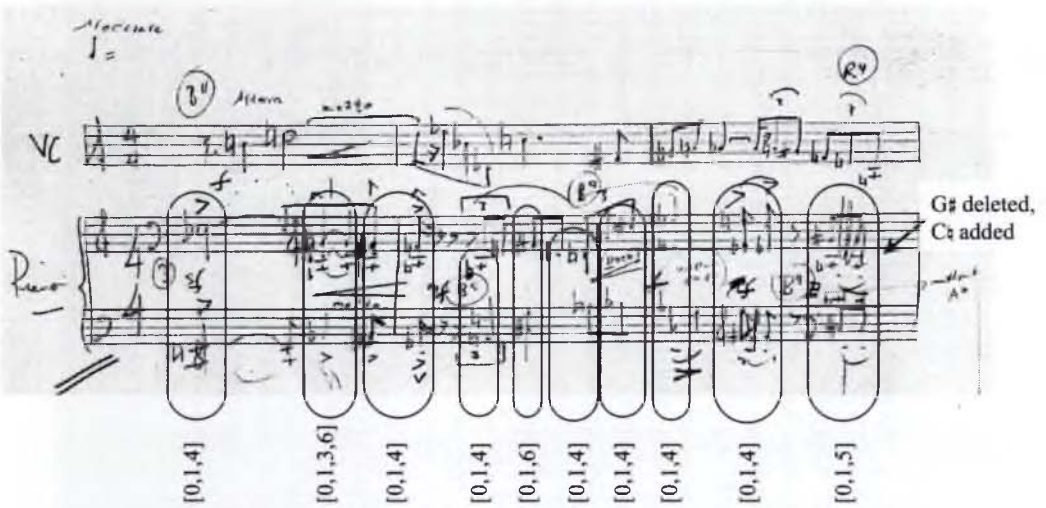


Figure 7.15: Harmony in bars 1–3 of item 11.8/I^{v}.

The addition of the C♮ at the end of the third bar (indicated in figure 7.15) therefore required the removal of either the G♯ or C♯ to maintain this harmonic consistency and so either way the row form was going to remain incomplete unless the omitted note could find a place elsewhere. Banks, however, decided to change the material altogether by rewriting this harmony using the first three pitch classes of the row form T_6, which is indicated with the arrow pointing down to the new chord (F♯–A–B♭) written underneath on the next system (figure 7.14). The new material for bars 4 and 5, sketched on the last system of the page (figure 7.16), then uses the remaining pitch classes from T_6 for both the piano accompaniment and the cello theme (and the first chord of this new material, an [0,1,3] trichord, maintains the established harmonic environment).

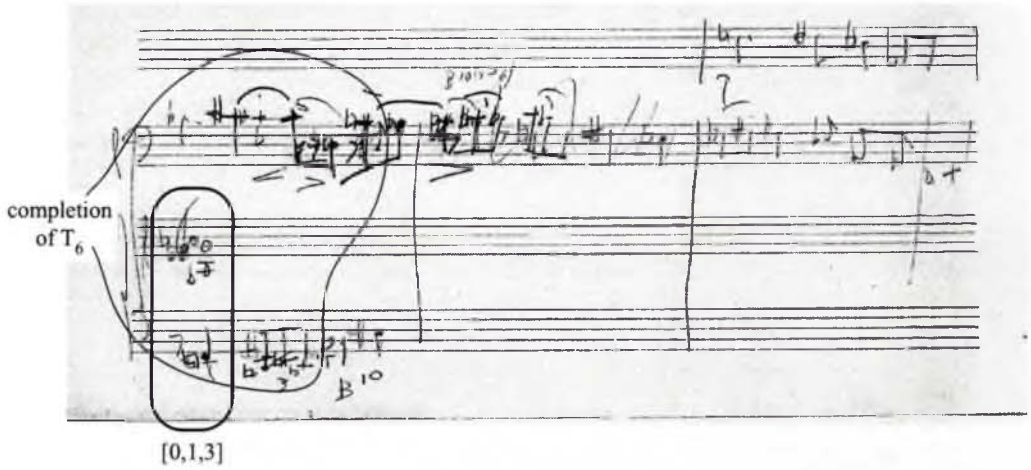


Figure 7.16: Last sketch on item 11.8/I^{v}.

11.8/II^{v} and I^{r}

The opening bars of the movement were completely revised again on the two outer faces of the same item, 11.8/II^{v} and I^{r} (shown in figure 7.17). The piano accompaniment figure in the first bar remains the same but on this sketch it is stretched across two bars instead of one by allowing the first trichord to occupy a complete bar, and the tetrachord that followed was, on this sketch, altered to a [0,1,3] trichord. With the exception of displacing the initial piano chord by one crotchet, which does not occur until the final complete draft of the whole score, the piano accompaniment in these first two bars is now, in all other respects, the same as the published version of the score.

The second significant modification to these first two bars occurred in the cello theme. The only elements of the previously sketched theme that are retained in this revision are the first two pitches, B and D; the thematic material sketched on the remainder of this page is new.

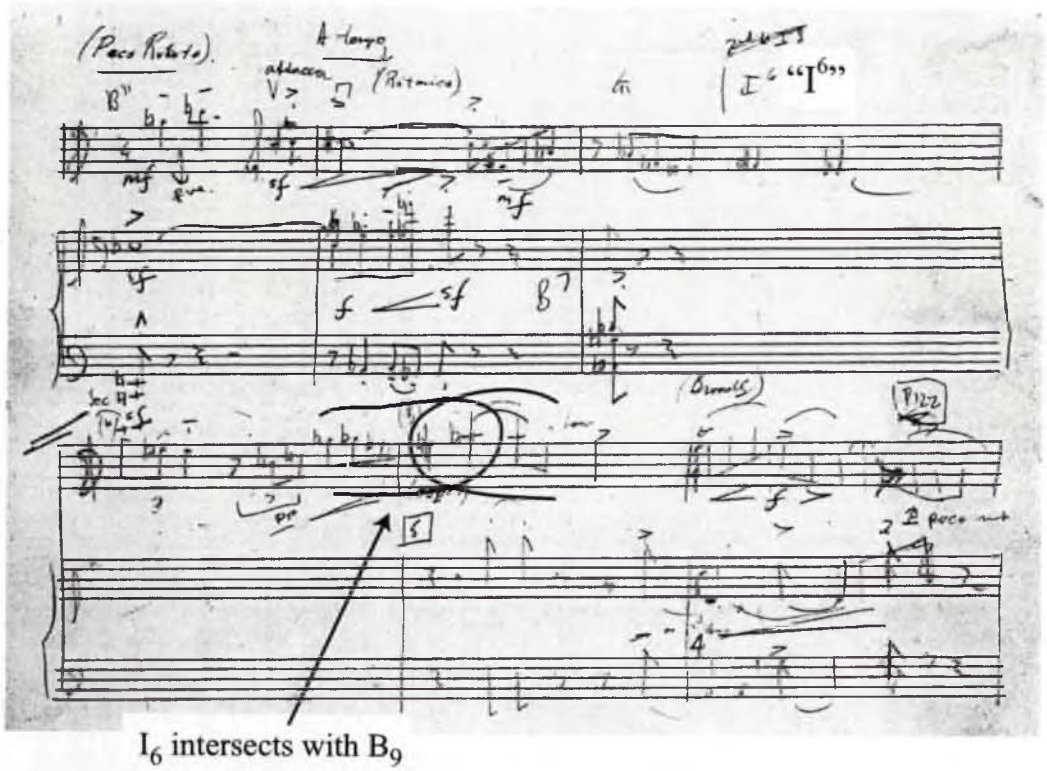


Figure 7.17: Bars 1–3 sketched at the top of item `11.8/II`^{v}.

The material on the rest of this page shows that Banks not only reworked all of the material that was previously sketched, with the single exception of the piano accompaniment idea in the first two bars, but he also altered the choice of rows from which the pitches were derived. On the previous sketches the row form R_4 was to follow T_{11} in the construction of the cello theme, but on this sketch R_4 was replaced by I_6, which follows successfully because of the effect of the reiterated F♯s between bars 2 and 3. Similarly, the piano accompaniment started with row T_0 and was followed by T_5 on the previous sketches, but on this page it was altered to T_7 as the annotation indicates. (Despite this annotation, however, no material was sketched for the piano

accompaniment in bars 3 and 4.)

The row T_9 was evidently intended to follow I_6 from the fifth bar of the cello theme, a choice that was likely to have been made because of the intersection of pitch classes that it has with I_6—the last three pitch classes of I_6 are the first three of T_9.

The continuation of the sketch is on `11.8/I`^{r}, and this is the first sketch that pushes the composition of the movement beyond the opening few bars. It is a very rough sketch and bears little resemblance to the sketches of the same bars that follow.

`11.16/II`^{v} and `I`^{r}

Approximately the same section of the music that was sketched on `11.8/II`^{v} and `I`^{r} was sketched again on items `11.16/II`^{v} and `I`^{r}. As rough as the sketches on these two pages are, they show the final form of the music beginning to emerge. The cello theme in the first three bars is the same as the previous sketch, but its continuation, still using I_6 and T_9, is refined and the bars that were merely concept sketches on the previous page were here given some definition.

Bars 4–9 in particular were being worked out on this page, made clear by the rough nature of the sketches and by the presence of crossings out and subsequent rewriting of parts of the sketch— bars 8 and 9, for example, were crossed out altogether and rewritten on the last system of the page. Despite this, however, the sketches of bars 1–9 on this page contain almost all of the final version of these bars, albeit in rough form. The only thing missing is the final version of the piano accompaniment in bars 3 and 4, the two bars

that were left blank on the previous sketch.

The use of row form RI_9 is indicated in bar 5 and it illustrates once more the idiosyncratic manner in which Banks used row forms that intersect with each other to the extent that any meaningful analysis of the music in terms of its twelve-tone structure is denied (figure 7.18). Here RI_9 intersects with I_6, T_9 and T_6 in such a manner that all except three of its pitch classes, E, E♭ and D, are made redundant by their intersection with the other row forms.

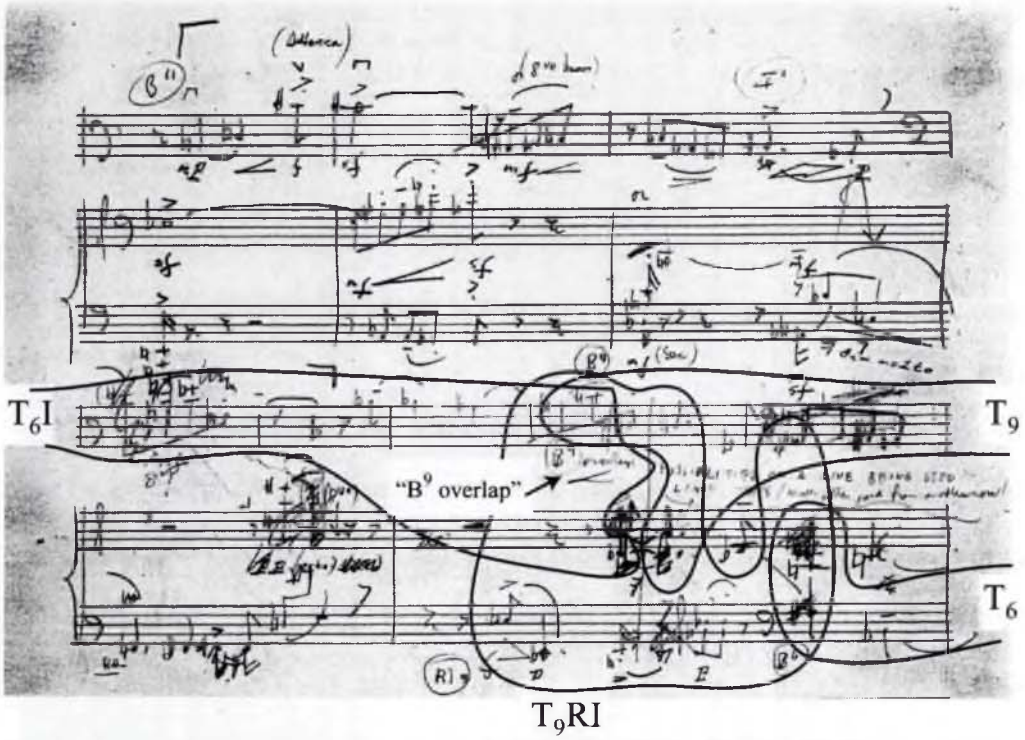


Figure 7.18: Intersection of rows in the sketch of bars 4–6 on item `11.16/II`^{v}.

`11.21/I`^{v}

Banks was again aware of the fractured manner with which he used his twelve-tone resources because, as the sketches on item `11.21/I`^{v} indicate, he

attempted once more to reconcile the surface of the music with the twelve-tone rows from which he drew his pitch material.

The cello theme and the piano accompaniment in the first two bars in the previous sketch were clearly satisfactory to Banks because this is the form that they take in the final version. But in the process of composing these opening bars the use of T_{11} had become fragmented such that its first five notes were subsumed by T_0. However, in this sketch, Banks attempted to change this again such that the integrity of the two row forms might be kept intact. For this reason he placed a B♭ into the right hand of the piano accompaniment in the first bar, along with a B♮-D♮ semiquaver dyad in the left hand. He also altered the cello theme in bars 3–4 to include C♮ as the annotation above the stave reveals (see figure 7.19). Similarly, by placing B♮ and D♮ in the left hand of the piano part in the first bar Banks was able to eliminate at least some of the overlap between T_{11} and T_0. With these alterations Banks restored T_{11} to its complete form (although the strict order of the pitch elements was not maintained) and was thereby able to account for each of the two row forms, T_{11} and T_0.

The same reconciliation was attempted with the row T_9 in the third bar. The piano accompaniment in this bar was still not fully worked out on this sketch, but Banks attempted to account for all of the pitches of T_9 by adding D♮ in the right hand and by drawing lines to indicate that the pitch A♭ in the cello theme was to be considered part of T_9 as well as part of T_{11} (figure 7.19, bar 3).

These alterations are transcribed in figure 7.20, in which item `11.21/I`^{v} is shown in comparison to `11.16/II`^{v} and the final version. There was clearly

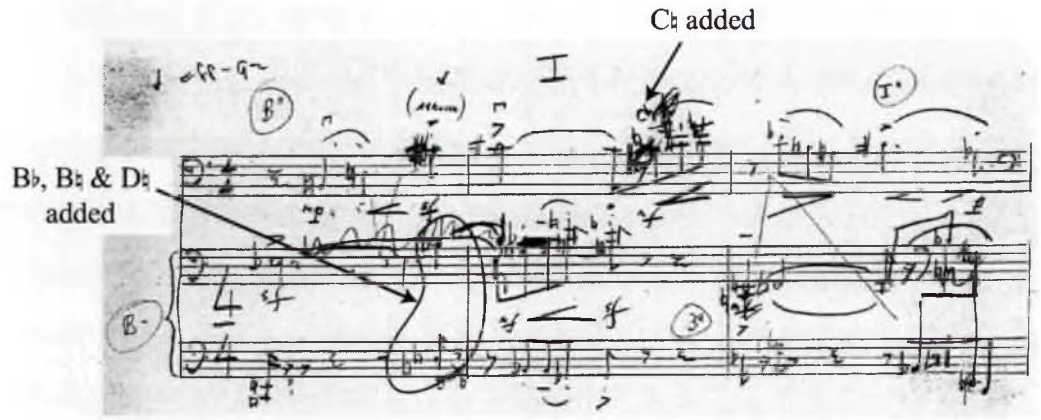


Figure 7.19: Sketch of bars 1–6 on item 11.21/I^{v}.

a tension between the abstracted demands of the twelve-tone system that Banks adopted for the composition of the piece and the integrity of the musical ideas in terms of the themes and motives with which Banks was already satisfied. The final version of the music makes it clear that the latter prevailed since the alterations that were sketched on 11.21/I^{v} were not carried forward to the final version of the score.

7.4.2 Second section: bars 18–43

The sketch map in figure 7.10 shows that there are three main sketch items that cover that composition of the second section of the movement. They are items 11.21, 11.15 and 11.23. Of these, item 11.21 is the first sketch to extend beyond the first section of the music to include parts of the second section. Similarly, item 11.15 was also used to sketch the same parts of the second section, while item 11.23 was used to compose the central canonic part of the movement.

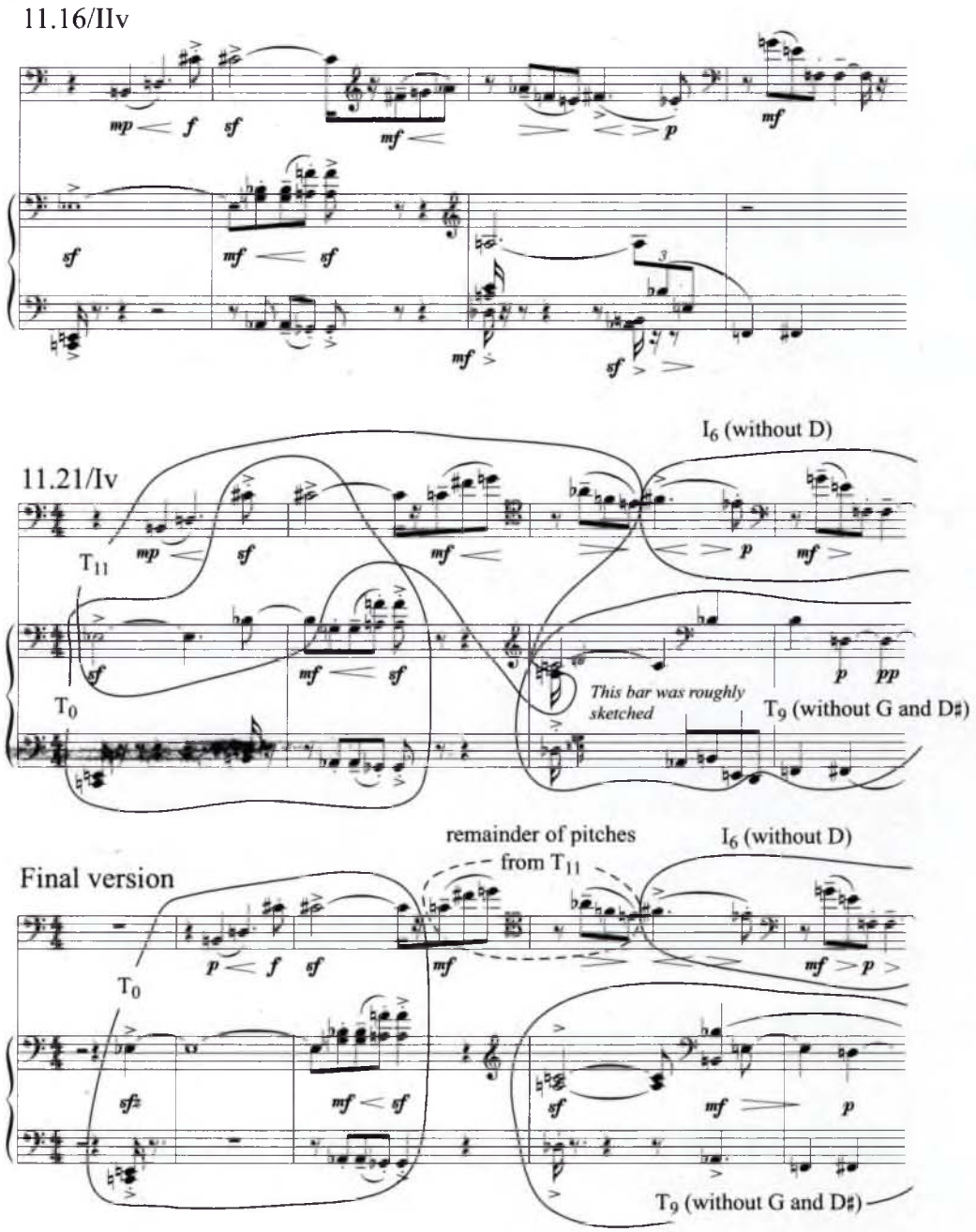


Figure 7.20: The final version of bars 1–4 and sketches from items `11.16/II`^{v} and `11.21/I`^{v}.

11.21/I^{v} and II^{v}

Item 11.21 pushes the movement well beyond the sketches that have so far been discussed to the point where the canonic section begins at bar 24 (although it appears as the twenty-first bar on the sketch). The sketches on the rest of this item, 11.21/II^{v} and II^{r} pick up from the end of the canonic section and continue to the beginning of the recapitulation section.

The sketch on 11.21/I^{r} continues from the end of the first section of the movement into second section, and most of this material was kept, with minor refinements, for the final version of the score. The only main correction that occurs on this page is that the first two bars were discarded, allowing the repeated C♯s at the end of bar 11 (sketched at the bottom of 11.21/II^{v}) to connect directly to the C♯ at the beginning of the bar numbered '12' at the top of 11.21/I^{r} (shown in figure 7.21). In making this revision, the material on this page is the same as the final version of bars 16–22, the only main difference being that the piano material in bars 13–15 is not included on this sketch. With the exception of the later insertion of this piano material there were no substantial revisions to what was written on this page, which suggests that these bars, although written roughly, were composed with an apparent ease that stands in contrast to the labours of the first section, for which many revisions were made.

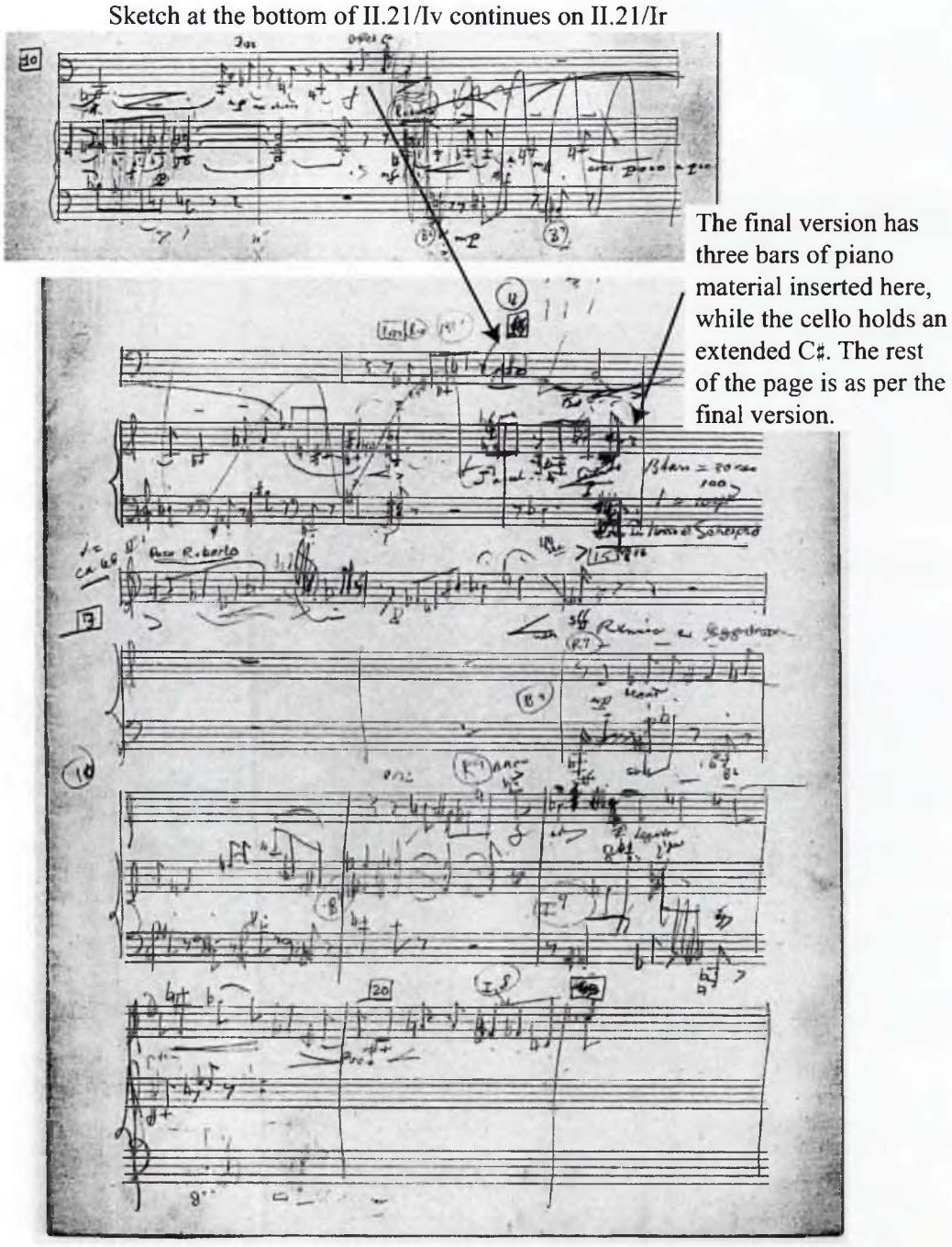


Figure 7.21: Item 11.21/I^{r}.

The sketches on 11.21/II^{v} and II^{r} are of the end of the second section of the movement, which bridges the end of the canonic material in the middle of the section with the last, 'recapitulation' section. The annotation "Towards end of Canon", at the top of 11.21/II^{v}, identifies the location of this material on this page and shows that Banks had a clear idea of how he intended to integrate the end of the canonic section with the continuation of the movement.

If allowance is made for the fact that an additional bar was added at the beginning of the final draft of the score (to allow the first piano chord to start one crotchet beat earlier), then the bar numbers written on this page match the final version of the score. This indicates that by the time this material was sketched, all that came before it had already been composed—even if small refinements were yet to be made. In particular, the canonic section would have been composed, and the bars that were inserted into the end of the first section of the movement would have been written (as discussed above and indicated in figure 7.21). This suggests that Banks did not work concurrently on the different sections of the whole movement, but from beginning to end. To some extent this is verified by the sketch material discussed so far, in that Banks reworked the beginning many times and only when that was taking satisfactory shape did he push forward into the rest of the composition.

Although the sketches on items 11.21/II^{v} and II^{r} are fragmented, as a result of working things out as he composed, the final form of this section was composed on these two pages. Figure 7.22 illustrates this in relation to bars 39–42 of the final version.

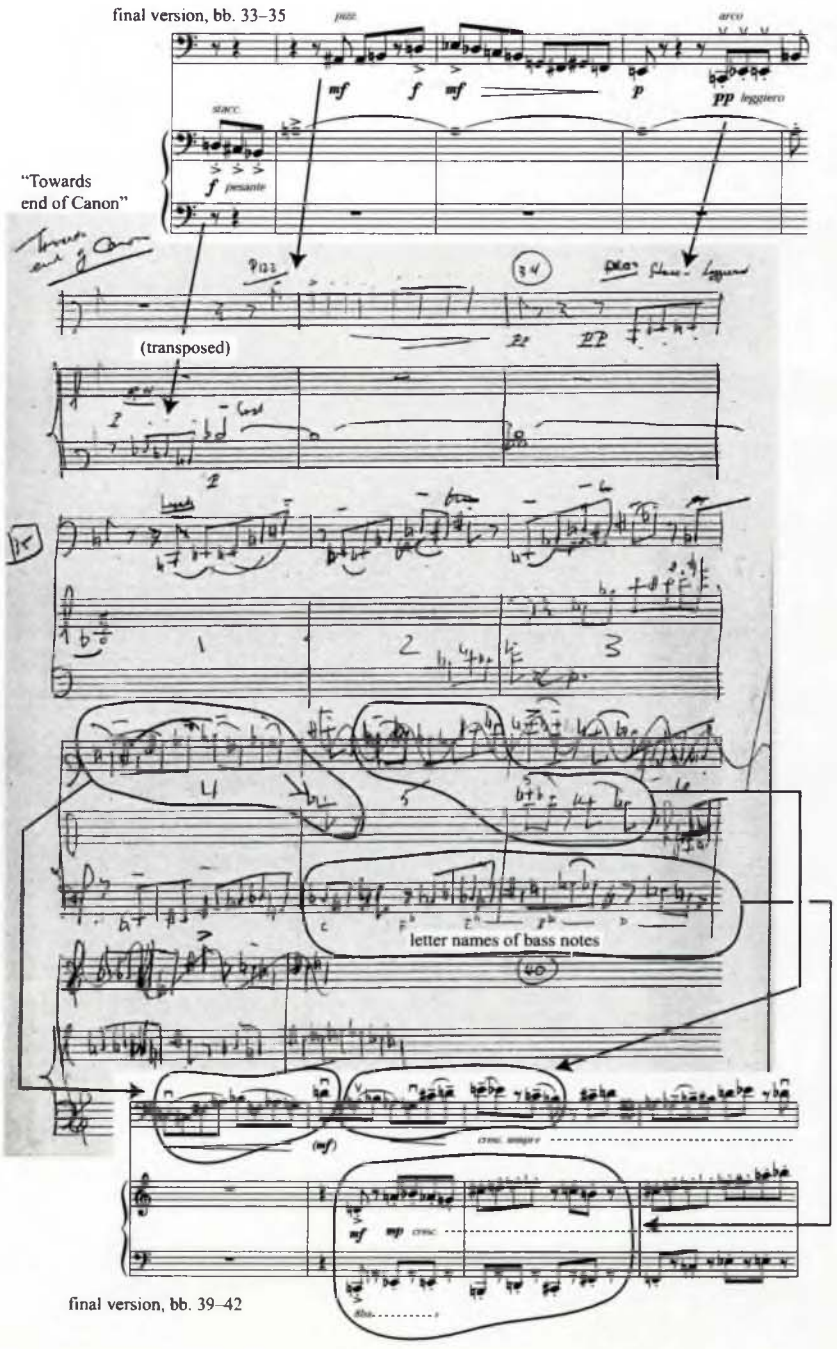


Figure 7.22: Item 11.21/II^{v} shown with excerpts from the final version.

The sketches on 11.21/II^{r} complete the section from the piano accompaniment in bar 42 (labelled '6' on the sketch) to the end of bar 44, at which point the last sections begins.

11.15

The second of the three items on which most of the second section of the movement was composed is 11.15. The first page of this item, 11.15/I^{r}, has the page number '2' written at the top right-hand corner, and it contains a neatly written out copy of bars 10–18 as they were sketched on item 11.21/I^{v} and I^{r}. The material then continues for another five bars on 11.15/I^{v}. That these two pages were written after 11.21 is also indicated by the fact that crossings out and less sure handwriting begins at exactly the point where the sketches stop on 11.21.

Pages 11.15/I^{r}, I^{v}, and II^{r} have the page numbers 2–4 written on them and so it is likely that these pages were intended as a fair copy of the material that had been composed to that point, and they follow on from item 11.1/I^{v}, which was numbered page '1' and which contains an equally neat copy of bars 1–9. This latter item was eventually retained for the complete pencil draft of the whole movement, since no further changes were made to these first nine bars, but the original pages 2–4 that followed it on item 11.15 were subsequently rewritten.

From this it is clear that when these three pages were written neither the bridging passage at the end of the first section (bars 13–15 of the final version), the canonic section (bars 23–32), nor the last 'recapitulation' section had been composed, since none of these components are present on

these numbered pages—although space had been left for the intended canonic material.

In the case of bars 13–15, the fact that they were included after this draft is made explicit by Banks's own annotation, "see new version", at the top of `11.15/II`^{r}. This "new version" was sketched out on items `11.14/II`$^{r-v}$ and the acceptable version was given a tick in the right-hand margin and subsequently included in the final pencil draft of the complete movement (figure 7.23).

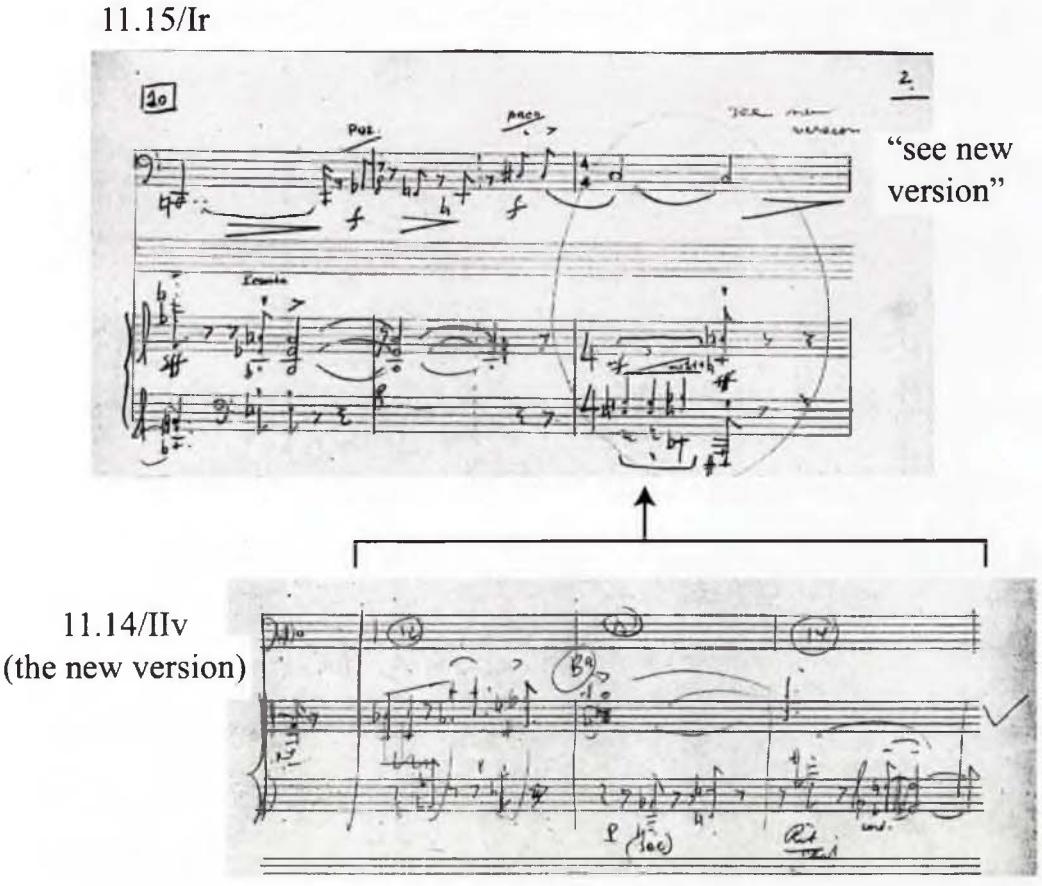


Figure 7.23: Item `11.15/II`^{r}, indicating the point at which the new version of bars 13–15, sketched on item `11.14/II`^{v}, was inserted. (Note the bars numbers specified on the "new version".)

11.23/I^{v}

The beginning of the canonic section had been sketched on 11.25/I^{r}, but of this material only the first two bars were retained. The completed version was worked out on the last of the three main sketches for the second section of the movement, item 11.23/I^{v}.

The canon begins with one complete statement of a twelve-tone row in each voice, but the rest consists of fragments—mainly hexachords—of various row forms (figure 7.24). No indication is given on either 11.25/II^{r} or 11.23/I^{v} as to why the canon was constructed in this manner but, like the other components of this section, it was composed with only two sketches (the initial material on 11.25/II^{r} and the revised completion on 11.23/I^{v}), with only the staccato quavers that appear in the left hand of the piano in the final version missing.

7.4.3 Third section: bars 44–53

The last of the sketches are of the recapitulation section—the last ten bars of the movement.

A sketch fragment on 11.22/I^{v} shows the beginning of the recapitulation section following on from the cello and piano passage that immediately precedes it, but the pitch material is different and the bar numbers written above the sketch indicate that it was written well before the first two sections were complete (figure 7.25). However, it shows that Banks had a clear idea of how the movement was going to unfold, and how this last section would be approached.

The sketch fragment reveals Banks's intention to reverse the contour of

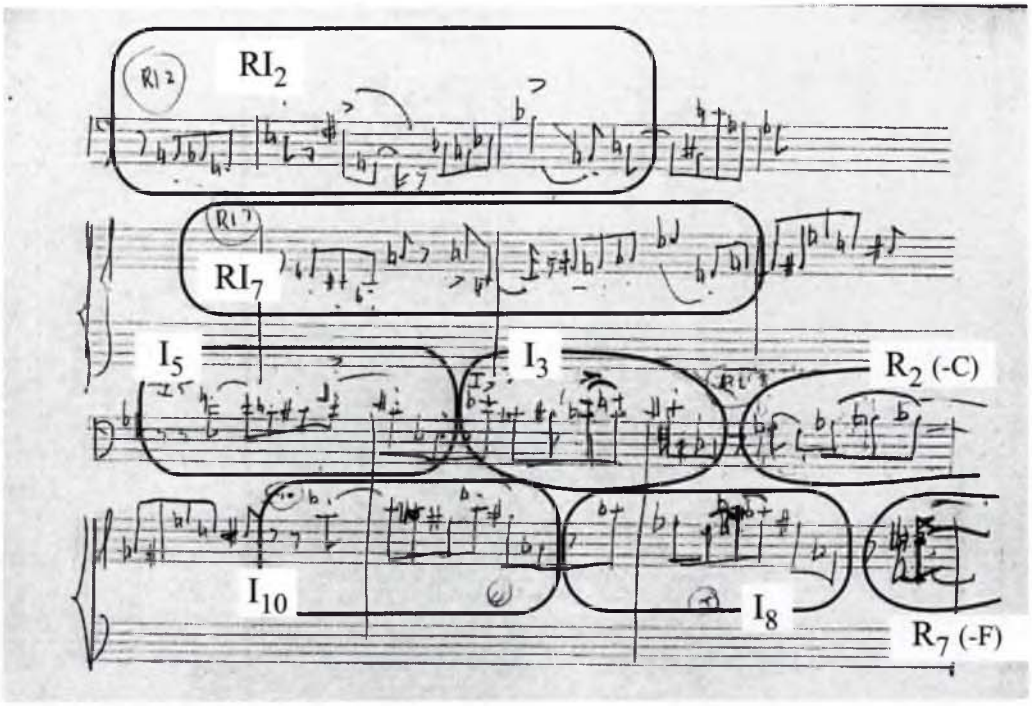
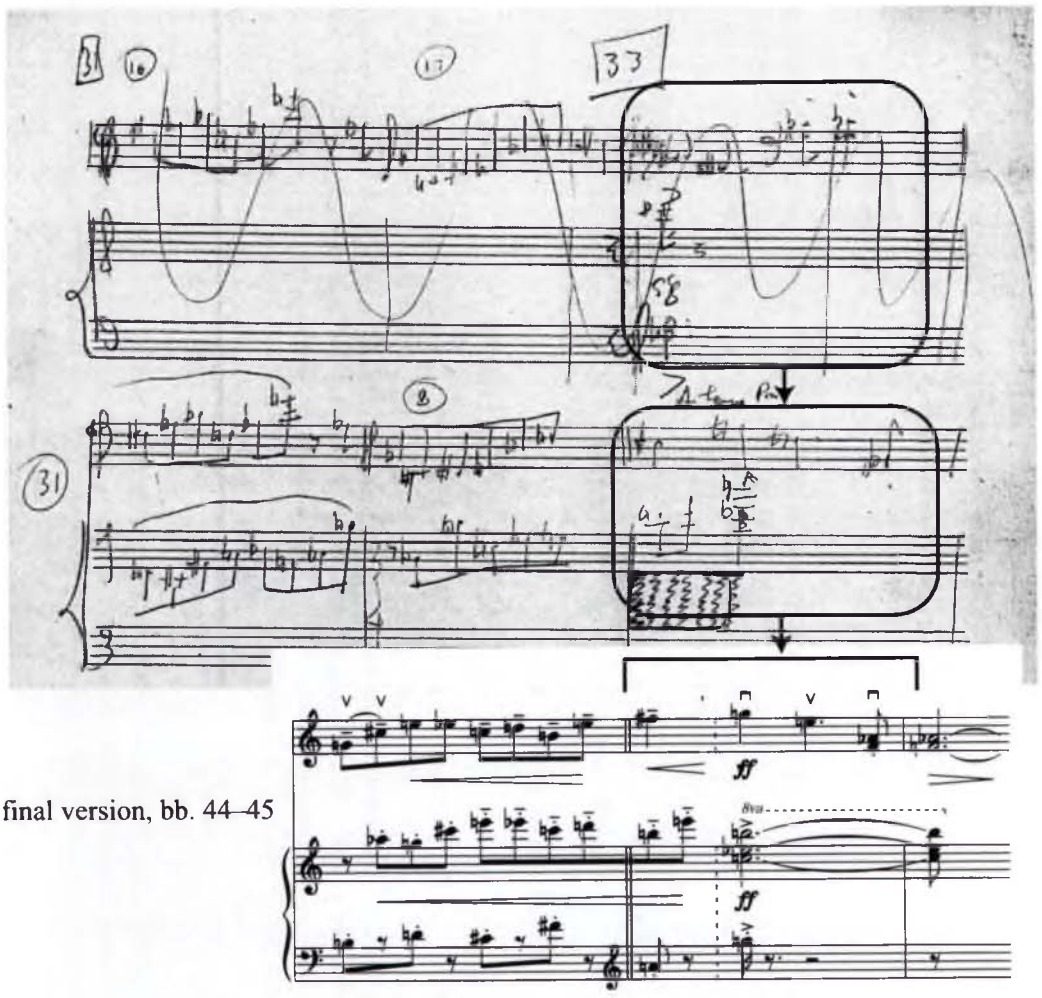


Figure 7.24: The sketch of the canonic section on item 11.23/I^{v}, showing the use of complete and fragmented twelve-tone rows.

the opening gesture (from ascending to descending) as a means of signalling closure, and this idea was continued on the rough sketches of the first four bars of the section on 11.16/I^{r}, but, again, with different row forms than those used for the final version. The first six of the ten bars that comprise this recapitulation section are based on the reversal of the melodic contour of the first six bars of the movement (figure 7.26).

The recapitulation was rewritten and completed on item 11.23/II^{v}, and this single sketch completes the movement. The bar numbers on this page again match those of the final version (allowing for the addition of the first bar on the final draft), revealing that this section was written after all of the preceding material had been worked out.



final version, bb. 44–45

Figure 7.25: Sketch fragment on item 11.22/I^{v}, and the corresponding bars of the final version.

The movement ends with a descending cello line, reiterating the sense of closure, and concludes, without accompaniment, on the familiar motivic ideas first heard at the beginning of the work.

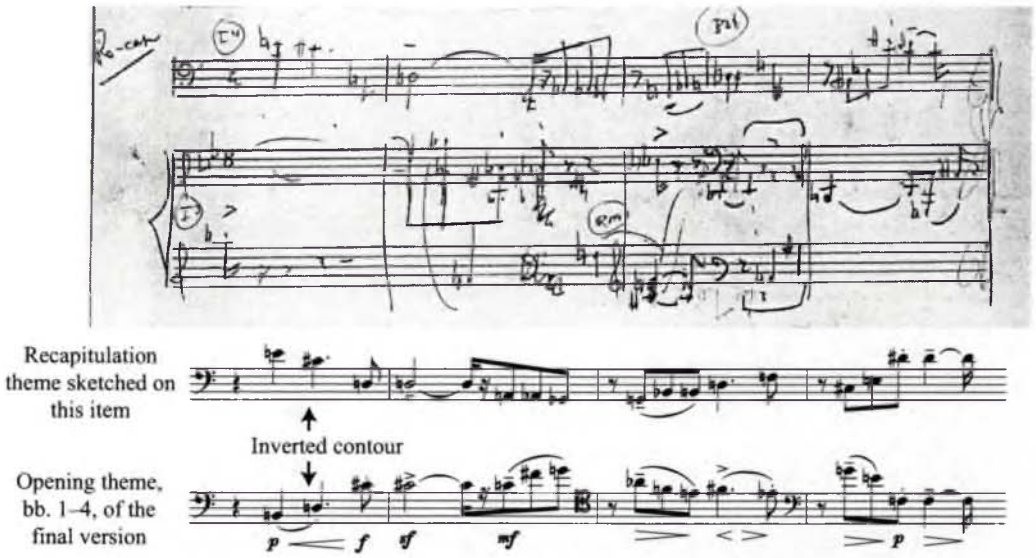


Figure 7.26: Sketch of the first four bars of the recapitulation on item `11.16/I`^{r}.

7.5 Conclusion

The composition of the *Three Studies* demonstrates that for Banks the act of composing music was not just a matter of expressing or communicating musical ideas, but it was also a process—one of discovering, refining, and relating musical ideas together. It was not sufficient to draw a sectional plan and then compose music in accordance with the plan, as Banks attempted to do for the first version of the piece, because the plan did not account for the manner in which the disparate ideas were to relate to each other in a unified manner. His plan for the first version placed contrasting ideas next to each other in a contiguous fashion but because his sense of musical organisation was essentially grounded in the 'organic' model, encouraged by Seiber, it necessarily failed.

For this reason the *Three Studies* was an important composition because

Banks was forced to abandon his initial design and adopt the quintessential, tripartite, exposition–development–recapitulation model because it provided the necessary discursive frame within which to exercise his organic, motivic conception of musical continuity. It provided a formal template that suited both what he composed and how he composed it, because the model determined how his ideas were to be used, not the nature of the ideas themselves. This gave Banks the freedom to concentrate on refining his ideas without being concerned with form, and this parallels the way that Seiber encouraged Banks to write his composition exercises in 1950.

This freedom to concentrate on initial ideas is reflected in the sketch map since most of the compositional activity focussed on the beginning of the music, in which each sketch concentrated on smaller numbers of bars. Once the beginning of the music was brought under control the remainder of the piece was composed in a relatively easier and freer manner, where each of the sketches tackle larger sections of the music. This is a pattern that has already been seen in the composition of both the *Duo* and *Psalm 70.*

In the composition of the *Three Studies* Banks did not go to the same degree of trouble in exploring the ways in which derived row forms could be constructed as he did during the composition of *Psalm 70*; he limited the range of his twelve-tone rows to just the forty-eight primary row forms. This fact tends to reinforce the irrelevance of the pre-compositional work that Banks did for the composition of *Psalm 70*, because he did not attempt the same sort of pre-compositional work for the *Three Studies.*

However, the first movement of the *Three Studies* reveals a different approach to the relationship between twelve-tone materials and harmony. In

Psalm 70 Banks experimented with the derivation of harmonic material by fragmenting his twelve-tone sets and recombining them in different ways to generate successions of three- or four-note chords, and he simply ticked those that he liked. In the *Three Studies* however, Banks combined pitches to form chords with the same interval vectors, enabling him to control his harmonic resources in a much more successful way, as the bars shown in figure 7.15 illustrate, without resorting to the trial and error of the techniques with which he experimented in the composition of *Psalm 70*.

That the material at the beginning of the composition, the exposition of the motivic/thematic ideas, were the 'real' compositional elements from which Banks composed his music is clear not only from the amount of attention that they received relative to the rest of the music, but also from the fact that he worked to retain the ideas that he had already begun to compose in the first version of the piece. Despite the structural revisions and the change of twelve-tone rows, Banks retained his initial ideas through to the end of the process. However, the tenacity with which he retained this material resulted in a tension between the ideas and the integrity of the twelve-tone rows that he used. Banks was evidently aware of this and attempted to reconcile the two toward the end of the process in the manner previously described, but ultimately the twelve-tone structure of the music was subordinated to the motivic "atoms and cells" of the music.[3]

[3]Once again, this is a stylistic feature of Banks's music (seen as an idiosyncratic use of twelve-tone materials), and is one that is well accounted for by the way in which he composed the music—as described in this chapter—further underlining the close relationship between *technique* and *style*.

Chapter 8

Pezzo Dramatico

8.1 Introduction

There are three important differences between the composition of *Pezzo Dramatico*, written for solo piano, and the composition of previously written pieces. The first of these is that, in contrast to the composition of the *Three Studies*, which began as a formal plan that was eventually abandoned, the composition of *Pezzo Dramatico* started with a specific musical idea that provided most of the basic motivic resources for the whole work. This basic idea is stated in the first bar of the composition as follows:

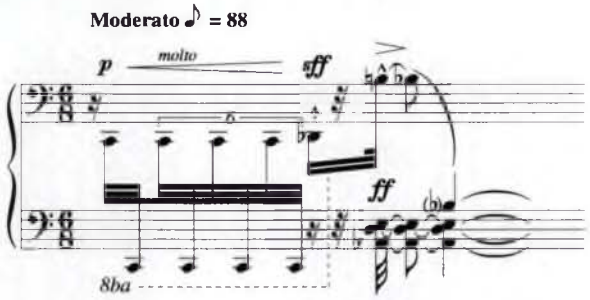


Figure 8.1: Opening idea (b. 1)

Evidence to support the claim that this musical fragment is not only the beginning of the music itself, but was also the beginning of the compositional process can be found both in the sketch materials and in a set of analytical notes that Banks wrote concerning this piece. The notes in question are a set of some sixteen handwritten pages of analyses, notes, charts and diagrams, found at the end of the collection of sketches in `folio 5 pack 10`, that offer a detailed insight into Banks's own understanding of the music.[1]

In these notes Banks wrote, in relation to the construction of the twelve-tone row that he used, that the row form itself "sprang from the initial idea

[1]These are the 'Pezzo notes' referred to in previous chapters.

... in this case the opening statement (the 1st 7 notes of the row)".[2] This claim is verified by the sketches since, of at least six pages of sketches that include this opening idea, it is always essentially the same as that of the final published edition, suggesting that the idea was settled upon from the very beginning of the compositional process. The only negligible differences that do occur between the successive sketches are in the details of the way the idea is articulated and notated, as the sketches shown in figure 8.2 illustrate.

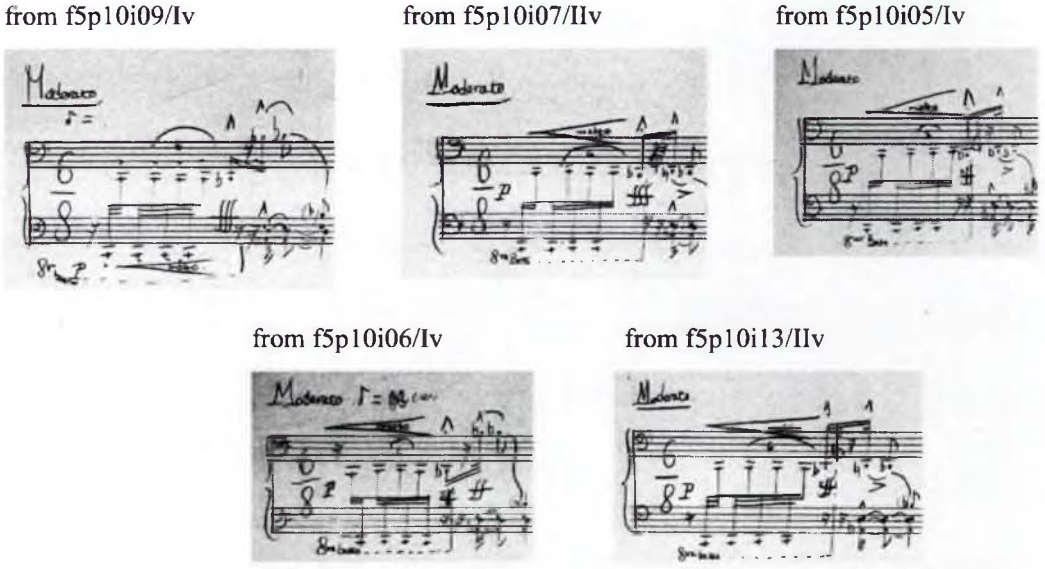


Figure 8.2: Sketches of the first bar of *Pezzo Dramatico.*

All of the sketches of the opening material for the piece show two common characteristics: the initial opening material did not change, and the idea of starting the piece with a short introductory section of a few bars' length in which this material is presented is consistent with all of the sketches. The implication is that, unlike the composition of the *Three Studies*, Banks did not struggle with the relationship between the specific musical ideas and the

[2]'Pezzo notes,' `f5p10i16`, Don Banks Collection.

form that the composition might eventually take, because he had in mind a formal plan that he knew would work—that he knew would suit the way in which he composed—because it is the same as that of the first movement of the *Three Studies*. Banks gave his own description of the sectional form of the piece in his analysis as follows:

> a 6 bar Introduction which states all the material to be used, a 1st Section—Bars 7 → 58 inclusive which subdivides into smaller sections
>
> **(a)** 7 → 38
>
> **(b)** 39 → 52 — heading to a major climax at
>
> **(c)** 53 Moderato maestoso → 58
>
> a 2nd section "Lento espressivo"
>
> 59 → 86
>
> and a 3rd Section (Recapitulation)
>
> 86 → till the end which refers to the moderato maestoso, the Lento espr — and for a very short 1 bar coda "Vivace".

This structure is the same as that of the *Three Studies*, and it shows, once again, Banks's reliance on the use of formal models as a means by which to compose his music. But, more significantly, Banks not only relied on structural models as part of the compositional process, he relied on them as discursive models—that is, as ways of making the presentation, succession, and continuity of his musical ideas comprehensible.[3]

Further evidence that Banks composed to a preconceived structure is given by the way in which he used twelve-tone materials in the piece. In his

[3]See pages 274ff of this chapter.

analysis of the work, Banks wrote the following about the way in which the twelve-tone rows were distributed throughout the music:

> I've found that I was using the rows in a particular way and was coupling certain transpositions together i.e., B1 follow by B12 (down a minor 2nd) or B1 followed by B7 (the transposition down an Aug 4th)—then B8 being linked etc,—and this characteristic of a row being linked to these 2 transpositions occur frequently throughout the piece—This also has another effect on the unity of the piece in that in the introduction and the 1st section, the rows frequently used are BR1 BR2 BR7 BR8—that is these maintain the transpositions of the min 2nd and aug 4th and this perhaps gives a certain underlying "feel", one hesitates to use anything as strong as say "harmonic field" but it does give a demarcated area in which I am moving.[4]

The actual disposition of row forms throughout the piece resists the notion of a deliberate design that establishes "demarcated" areas in the sense that Banks implied, but despite the final version of the score, there is evidence in the sketches that this was, in fact, the intention.

The clearest evidence of this is offered by a set of row form sketches on `f5p10i05/I`^{r} (figure 8.3). This page shows the twelve 'basic' ('B') forms of the row written out in non-sequential order. The row forms T_0 and T_{11} (labelled '1' and '12') are bracketed together, as are the two row forms T_5 and T_6 (labelled '6' and '7'). Although the reason for the pairing of these row forms is not given, it is clear that they were intended to delimit an 'area' of some sort because of the annotation "for middle section?" next to the pair formed by T_8 and T_9. These are the only three pairs of rows that were bracketed and so if the remainder are understood as free to be used

[4] 'Pezzo notes,' `f5p10i16`, Don Banks Collection.

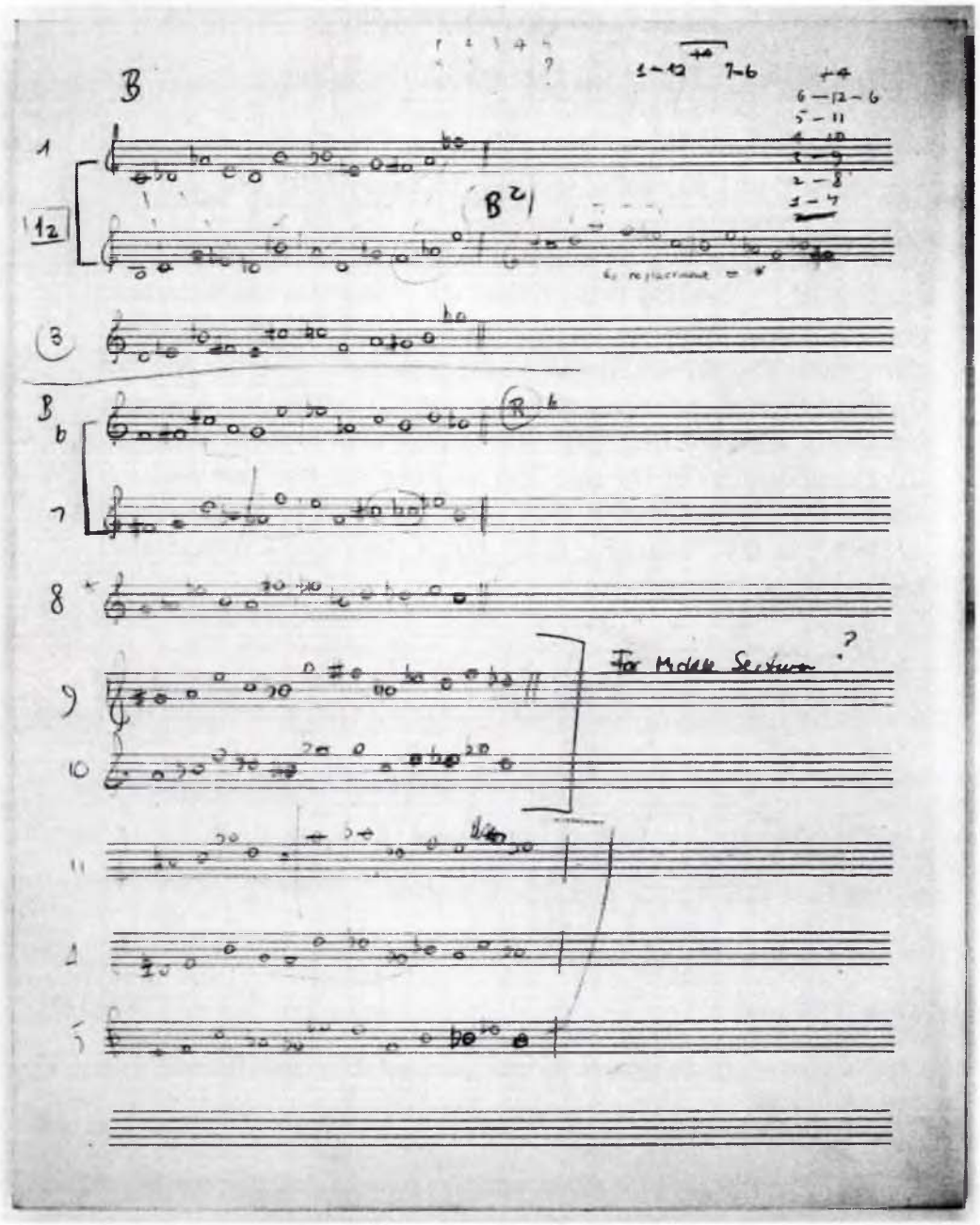


Figure 8.3: Item `f5p10i05/I`^{r}.

anywhere, then the elements of a structural design start to emerge. The actual disposition of the row forms in the final version of the score show

that this intention was not adhered to throughout the whole composition, although the first and third sections are characterised by the marginalisation and complete absence, respectively, of the two row forms T_8 and T_9 that were reserved for the middle section. But the middle section, although making more use of T_8 and T_9, can hardly be said to be characterised by them (see figure 8.5).

The use of twelve-tone rows in the music introduces the second major difference between the composition of *Pezzo Dramatico* and of Banks's previous two twelve-tone compositions.

The sketches of *Pezzo Dramatico* show a very conscious effort to limit and control the role of the twelve-tone material within the piece, and consequently it is characterised by relatively clear partitioning of the twelve-tone materials within the music, unlike the previous twelve-tone pieces. In particular, Banks limited the pitch materials that he used to just the prime and retrograde row forms. For example, the first two systems of the published edition are parsed into their constituent twelve-tone sets as shown in figure 8.4. The succession of aggregates sit side by side in this manner throughout the entire composition, and this relatively ordered use of twelve-tone rows is completely unlike the use of row forms in either the *Three Studies* or *Psalm 70.*

This relatively straightforward application of twelve-tone materials allows the piece to be understood in terms of a chain of contiguous twelve-tone rows, some of which overlap each other while the rest sit side by side without their content intersecting. This chain of row forms was listed by Banks in one of the charts that accompany his analysis of the piece (figure 8.5).[5]

Allowing for the three small errors that were corrected in this diagram, it

[5]'Pezzo notes,' `f5p10i16`, Don Banks Collection.

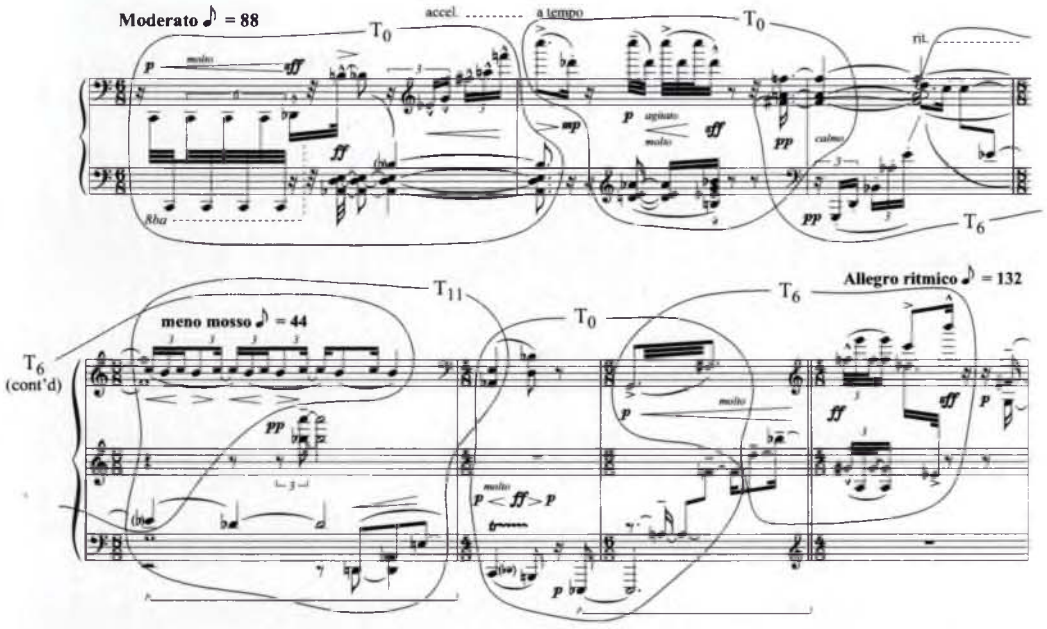


Figure 8.4: The parsing of bars 1–7 into their constituent twelve-tone rows.

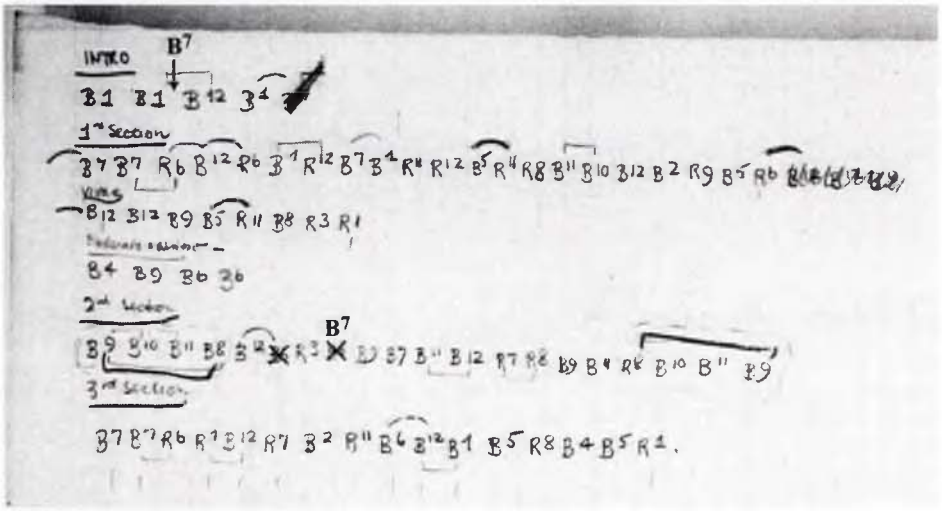


Figure 8.5: Banks's chart (with corrections) of the succession of twelve-tone rows in *Pezzo Dramatico*.

shows that Banks's intention to characterise the three major sections of the music by his choice of row forms was certainly the case for the first twenty-

one bars of the music, where the row forms are limited to just those indicated on the sketch `f5p10i05/I`^{r}: T_0/R_0, T_{11}/R_{11}, T_5/R_5, and T_6/R_6. Thereafter, however, the adherence to this plan was not maintained since the remainder of the first section of the music (excluding the introduction) is 'characterised' almost as much by those row forms intended for the middle section (T_8/R_8 and T_9/R_9) as by those listed above. Similarly, the middle section comprises almost equal occurrences of row forms from both of the above listed groups. The only concession to the intention indicated on `f5p10i05/I`^{r} is that the row forms that were intended to characterise the middle section (T_8/R_8 and T_9/R_9) are entirely absent from the third section of the piece.

Nonetheless, even if the actual disposition of row forms throughout the piece does not fully support Banks's claim in his own analysis, the fact remains that there was an intention to apply limitations and controls on the use of the materials in a manner that relates to the structure of the music. And it is certainly clear that Banks adhered strictly to his intention of limiting his choices of rows to only the prime and retrograde forms.

There is another aspect to the chain of row forms used in this composition that distinguishes *Pezzo Dramatico* from previous pieces, which is that instead of the row-form usage becoming increasingly compromised as the compositional process continued, the chain of row forms in *Pezzo Dramatico* became increasingly consolidated and fixed in place. In the earliest sketches of the music the row forms that were used were less determined than in later sketches where the row forms remain stable even though the surface of the music was still being worked out. This stands in stark contrast to the composition of both *Psalm 70* and the *Three Studies*.

8.2 The composition of bars 1–21

8.2.1 The sketches of bars 1–6

The sketch map shown in figure 8.6 shows items `f5p10i09/I`^{v} and `II`^{r} as the earliest sketches of the opening bars of the piece.

On `f5p10i09/I`^{v}, the row T_6 follows after the two initial statements of T_0, as it does in the final version of the score, but the remainder of the sketch, and what follows on `II`^{r} is far less determined—as the degenerating clarity of the handwriting itself signifies. The last chord in bar 2 on this sketch—the F♯–A–F♮ trichord—constitutes not only the last three pitch classes of the row form T_0, but it also intersects with both T_6 in the following bar (compromising the order of pitch classes in T_6) and with R_0 in bar 4 (figure 8.7). This intersection of pitch classes with multiple row forms is typical of Banks's previous twelve-tone compositions, and its occurrence here shows that these earlier practices have not disappeared in this composition, however the redundant intersection of rows at this trichord were eliminated as the compositional process continued.

Sketch `f5p10i07/II`^{v} contains a neatly written out version of same material as `f5p10i09/I`^{v}, but on the sketch that was made after this, `f5p10i05/I`^{v}, the use of R_0 as a means of concluding the introductory section was replaced by T_{11} and T_0 instead (figure 8.8). At this point, even though the final version of the introduction was not yet fully composed, the succession of row forms underwent no further changes.[6]

[6]While the alteration to the end of the introduction had the effect of cleaning up the three-way intersection of the trichord at the end of the second bar, this was not necessarily the motivating factor in this instance. The use of R_0 may well have been intended as a means of ending the introduction by virtue of the fact that it would present the pitch

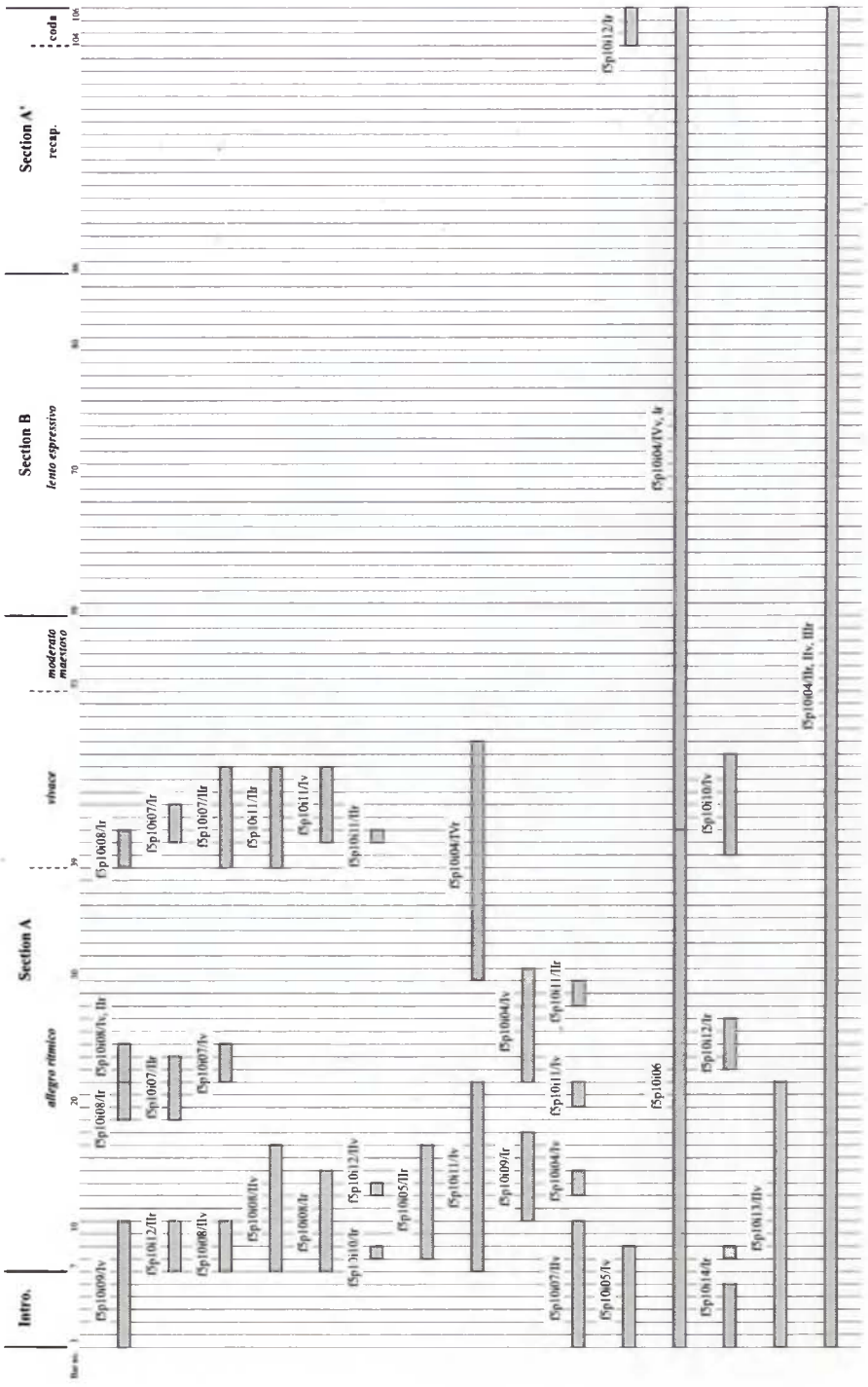


Figure 8.6: Sketch map for *Pezzo Dramatico.*

classes heard at the beginning in reverse order, thereby functioning as a closing technique. In fact this technique was not abandoned but simply moved to a place where a strong closure such as this is more appropriate—at the very end of the piece.

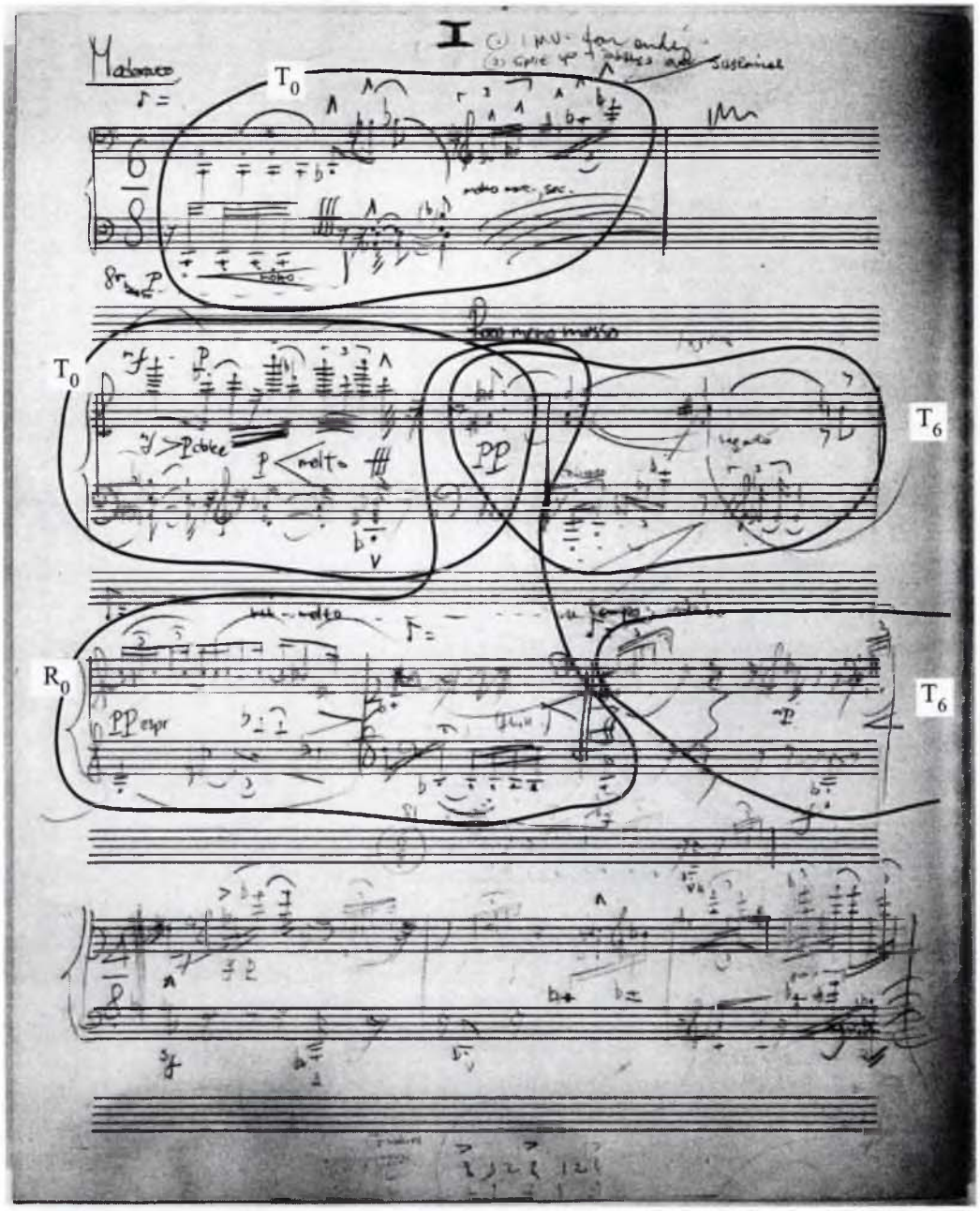


Figure 8.7: Use of twelve-tone rows on item `f5p10i09/I`^{v}.

8.2.2 The sketches of bars 7–21

The composition of part of the subsequent section, bars 7–21, however, continues to demonstrate the way twelve-tone materials were consolidated as the

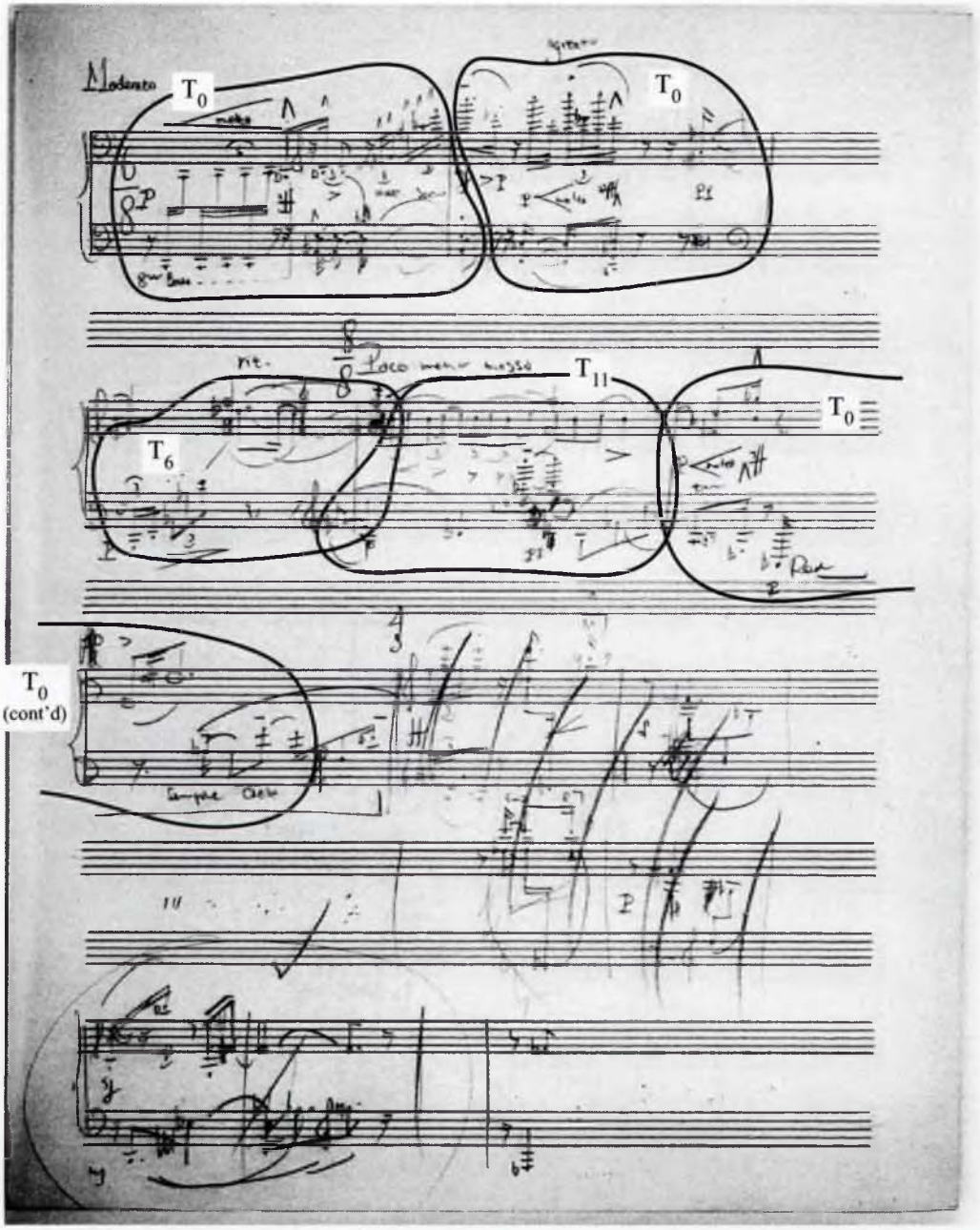


Figure 8.8: Use of twelve-tone rows on item `f5p10i05/I`^{v}.

composition of this piece progressed.

The beginning of the *allegro ritmico* section at bar 7 was sketched in a very

tentative, fragmented manner on items `f5p10i09/I`^{v} and `II`^{r}, and is nothing like the final version of the score. However, the row form T_6 was used to begin this section and this remains constant throughout the compositional process (figure 8.7). The sketch continues on to show that T_6 potentially intersects with another row form that cannot be convincingly identified, however the most likely source of pitch material for the end of this sketch is T_5 or R_5, and R_5 is the row form that follows on from T_6 at this point in the final version.

Similarly, the sketch on the top system of the following page eludes definitive twelve-tone parsing (item `f5p10i09/II`^{r}), but the second system is clearly a statement of the succession of row forms T_{11}, R_5, and T_0, which correspond to the last system of the published edition, bars 13–16. (Note that the last chord in the first bar of the third system of the sketch—a reworking of the second bar of the second system—is still present in the final version at the beginning of bar 16.)

The beginning of the *allegro ritmico* section, bars 7–9, begins to take a more recognisable form on item `f5p10i12/II`^{r}. Here the two successive statements of T_6 occur, as they do in the final version, and the opening 'double shake' figure that starts the section is clear on the sketch. The origin of the gesture comprised of the two simultaneous dyads in the middle of bar 7 of the final version can also be seen on this sketch, although here the two dyads are stated in succession. Likewise, the remainder of the sketch can be easily mapped onto the final version as the diagram in figure 8.10 illustrates:

The composition of this part of the music continues on item `f5p10i08/II`^{v}, where bar 7 in particular was revised almost to the point where it is identical to that of the final version (figure 8.11). The subsequent two and a half bars

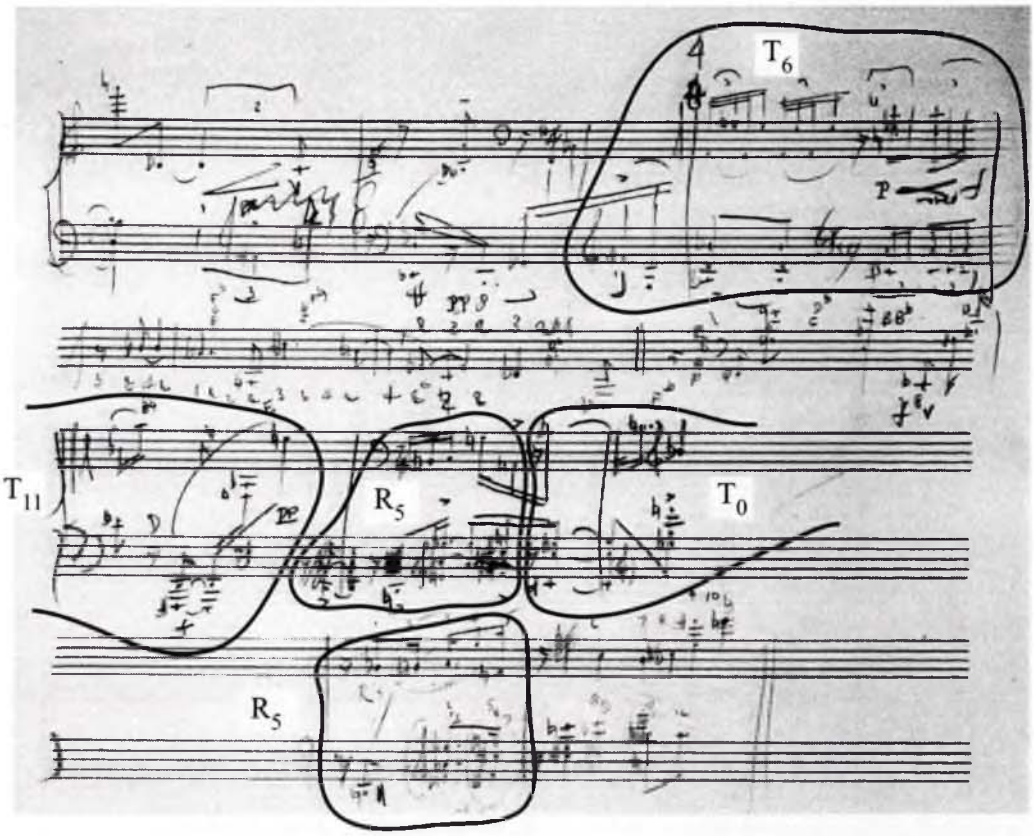


Figure 8.9: Use of twelve-tone rows on item `f5p10i09/II`^{r}.

state the row form, T_6, in a manner that is very close to the final version, although details of rhythm and octave placement of pitches have not been fully decided. For example, in the second bar of the sketch (bar 8 of the final version of the score), the G–F♯ dyad is sounded into the second bar, but is eventually moved to the end of bar 7, and the rhythm of the two pitches that follow, D and B♭, have also yet to be determined. In the third bar of the sketch (bar 8) the content—in terms of the musical ideas—is clearly that of the final version, except that the first two pitches of the bottom stave are displaced both rhythmically and registrally in the final version. The intention to alter the octave placement of these two notes is indicated on the sketch

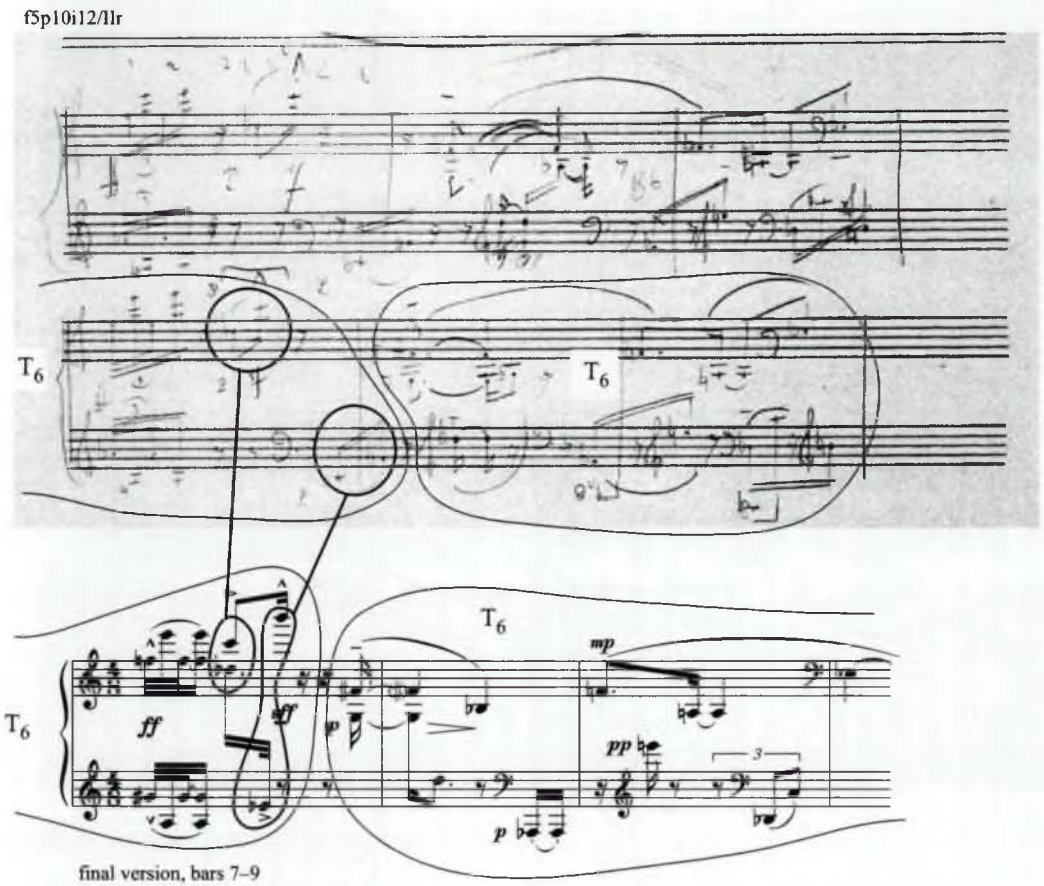


Figure 8.10: Item `f5p10i12/II`^{r} its relationship to the final version of the score.

by the arrows adjacent to the notes pointing down and up respectively (seen in the third bar of figure 8.11).

The state of the handwriting on this sketch corresponds to the degree of similarity that it has with the final version. Bar 7, which bears the closest resemblance to the finished score, was written with a sure hand and contains no corrections. Bars 8–10, whose content is identifiably the same as the final version without the rhythmic and registral refinements that occur later in the compositional process, were clearly written but contain corrections and

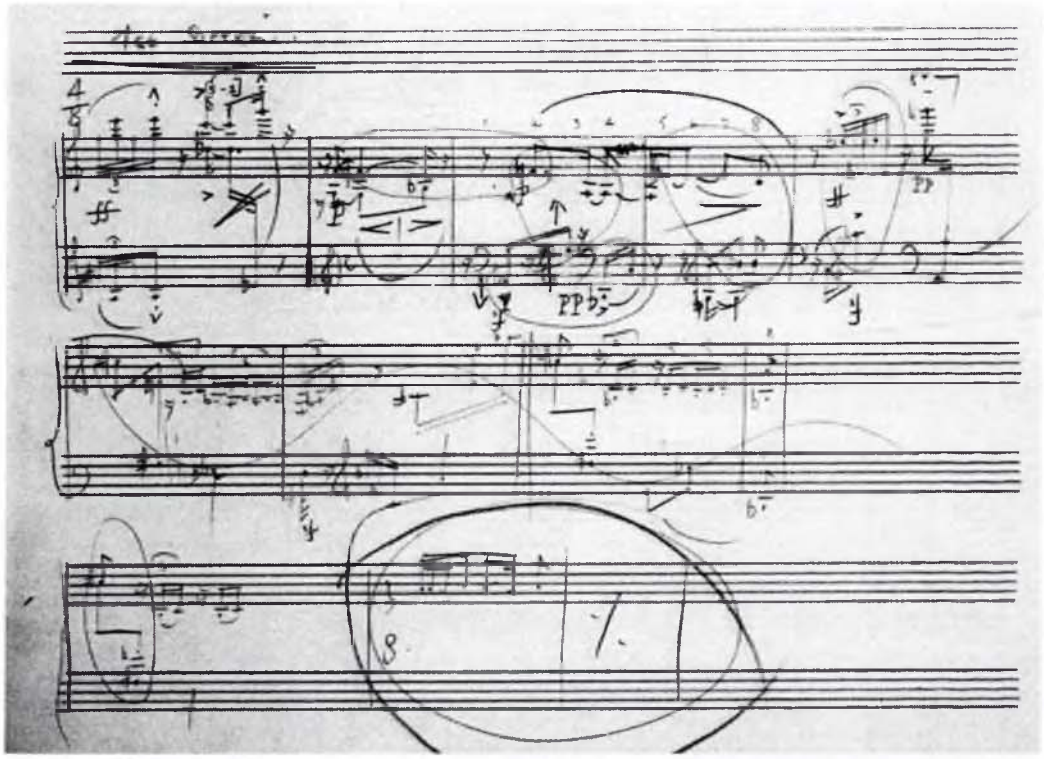


Figure 8.11: Item `f5p10i08/II`^{v}.

annotations. The bars that follow on the sketch are more fragmented and do not contain the details of phrasing, articulation and dynamics that are present at the start of the sketch. Accordingly, this remaining section of the sketch is the least similar to the final version of the music. Row form R_5 starts in the middle of the fourth bar of the sketch (bar 10), as it does in the final version, and shows the beginning of the fifth bar (bar 11) beginning with the familiar shake figure in the right hand. Like the previous three bars in the sketch, the other pitch classes in this bar and the beginning of the next (C, A♭, G, A♮, C♯, F♯, F♮) are used in more or less the same way as in the final version although, as before, their rhythmic and registral placement differ. However, from this point on the content of the sketch differs entirely

from the final version. The row form T_{11} follows on from R_5 as it does in the final version, but this is then followed by a statement of the beginning of R_6, not R_5 as happens in the final version. So this sketch can be seen as a microcosm of the compositional process for this piece overall—a relatively certain beginning, most of the row structure of the music had been decided upon and remained constant, and the details of the surface of the music remained to be worked out.

The sketch on the top half of item `f5p10i08/I`^{r} then follows (figure 8.12).

The first bar of this sketch is identical to that of the previous sketch, and the second bar is almost identical—the only difference being the slight rhythmic alteration of the B♭. The third, fourth, and fifth bars are also very close to those of the previous sketch, with the main differences being in the left hand of the third bar where the registral displacements indicated by the arrows on the previous sketch were incorporated, and the dyad D♭–C was moved so that it now straddles the bar line into the fourth bar. However, substantial revisions of the previous sketch start to occur from the point at which the row form T_{11} is used. The semiquaver triplets that occupied most of T_{11} in the previous sketch were abandoned and instead the material starts to approach the *idea* of the way by which the music proceeds in the final version, even if the actual content still bears little resemblance to bars 13–14 of the finished score. In other words, the triplet semiquavers would have constituted a new motivic idea at this point in the music, whereas continuity based on the dyads that characterise the previous bars in the sketch is musically more congruent. Banks indicated his awareness of this in this sketch by removing the triplet semiquavers at this point, and also by crossing out the subsequent

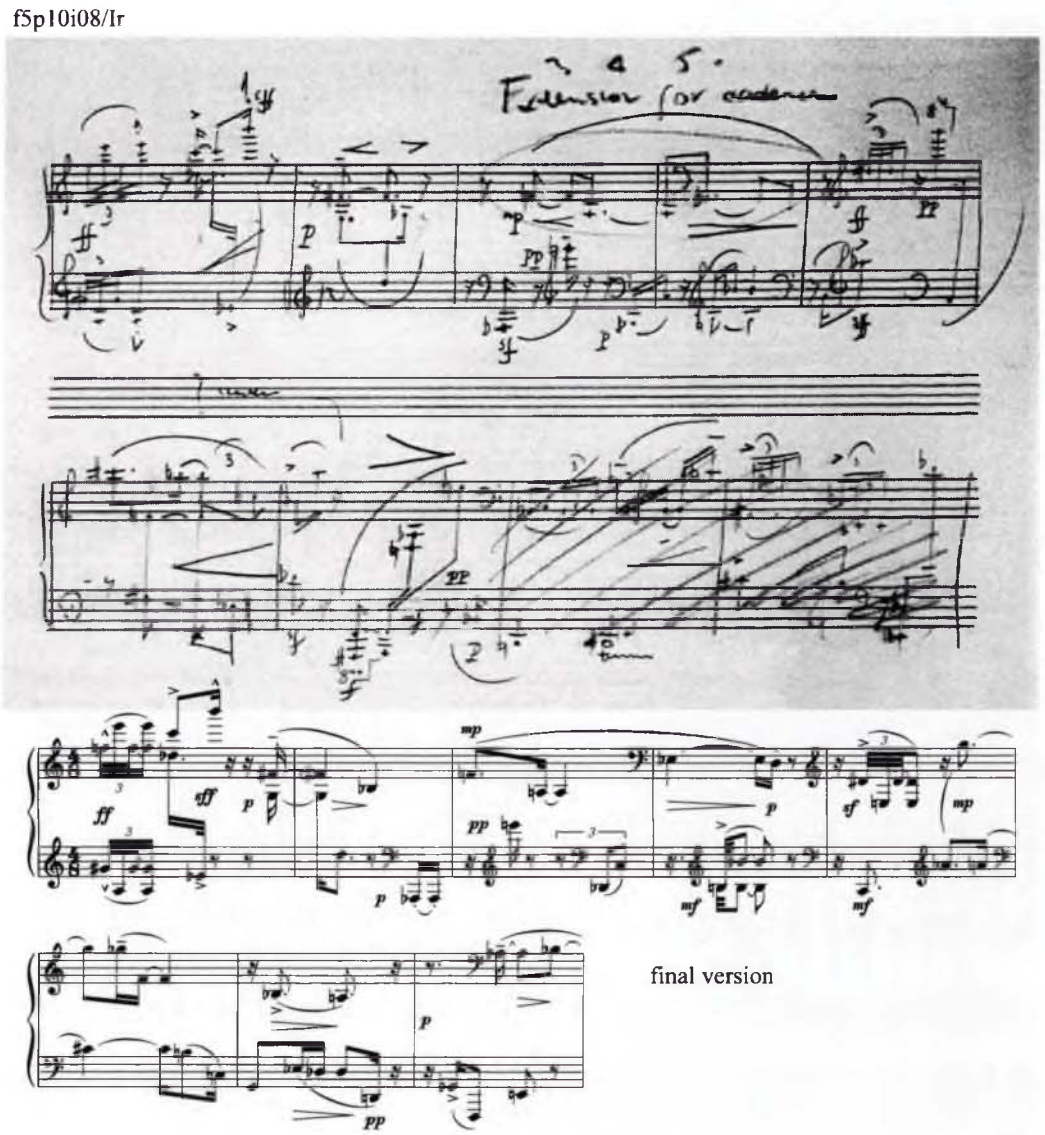


Figure 8.12: Item `f5p10i08/I`^{r}, and the final version of the score.

material, using R_5, that also began with the triplet semiquaver idea. The one and a half bars now occupied by T_{11} can now, at least, be compared with the final version of the score in terms of the use of pitch dyads.

Although the material in the last two bars of the sketch was crossed out, it shows that the row form R_6 that occurred at this point in the previous

sketch was replaced here by R_5, which remains constant from this point in the compositional process to the final version of the score. Also, on this sketch, R_5 is followed immediately by T_{11}, whereas on the final score it is followed by T_0. The small sketch fragment underneath the last bar of the sketch (between R_5 and T_{11}) is a statement of T_0, and its content, which duplicates the material on the first quaver beat of the bar above it on the sketch, indicates that it was intended to replace the last bar of the sketch.

The bars that were crossed out at the end of sketch `f5p10i08/I`^{r} were subsequently reworked on `f5p10i05/II`^{r} (figure 8.13). This sketch begins with the bar that immediately precedes the crossed-out bars of the previous sketch (the end of T_{11}), and follows with completely reworked content that utilises the same row forms that were decided upon on the previous sketch, R_5–T_0, and extends it with R_{11} and T_6. The content of the music is far from fully composed, but from this point on the chain of row forms that constitute what becomes the first eighteen bars of the music do not change.

The first two bars of the sketch have yet to be reworked into a form that is comparable with the final version, but the newly reworked material that follows on this sketch is in a form that remains essentially the same for the rest of the compositional process. The last half of bar 15 of the final version can now be seen on this sketch, as can the material on the rest of the sketch. The main differences between the sketch and the final version are notational. The content of the sketch that relates to this part of the music stops at the point where the vertical line was drawn through the second and third systems. This point corresponds with the end of bar 17 of the final version of the score.

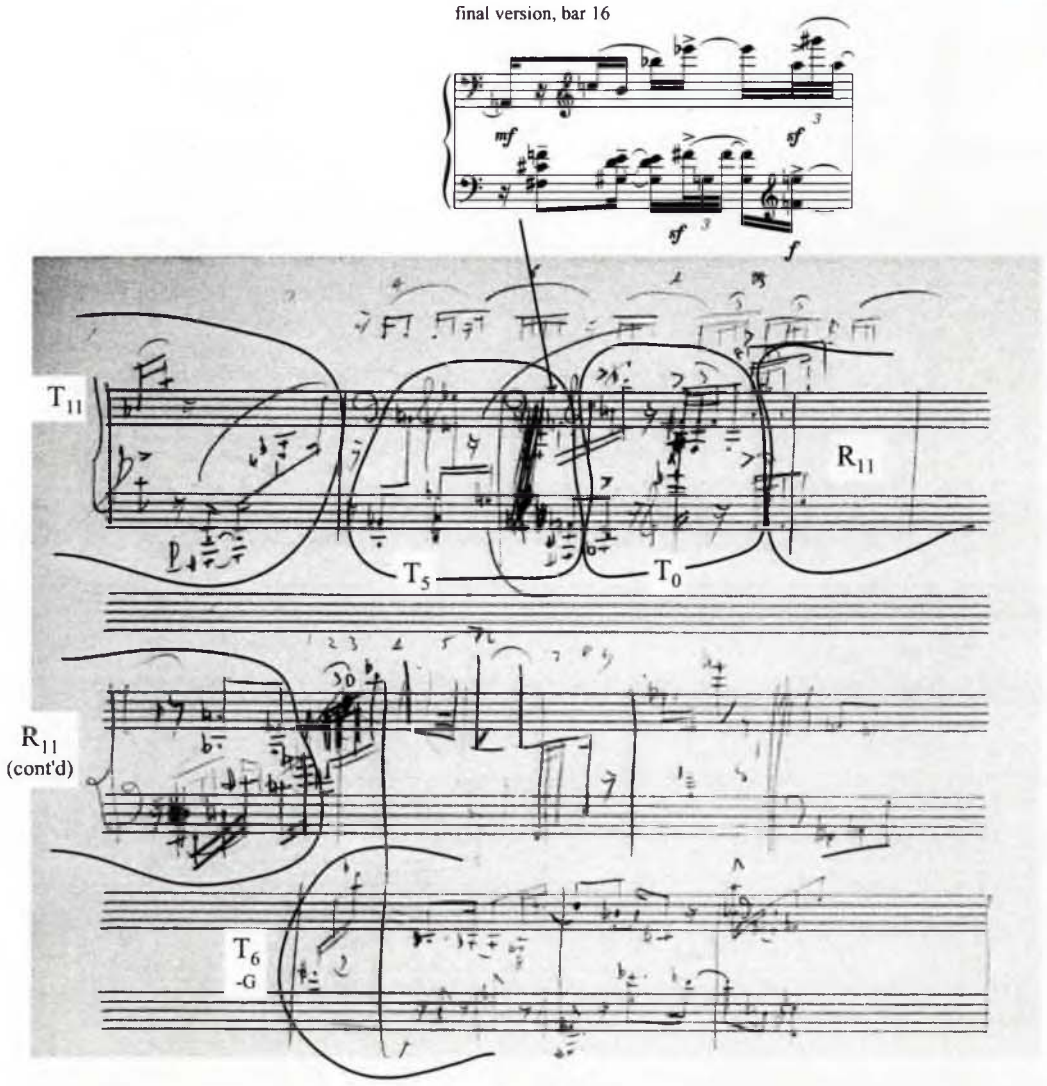


Figure 8.13: Item `f5p10i05/II`^{r}.

Item `f5p10i11/I`^{v} is a neatly copied version of the first section as it stood at that point in the compositional process (figure 8.14). It neatly consolidates and slightly refines and extends all of the material that has been discussed above onto the one page. And, furthermore, it extends beyond the point at which the material on `f5p10i05/II`^{r} ends, at bar 17, with four bars of

music that have not been discussed but which were clearly composed before this page was written. Note, however, that the last three bars were further reworked at the bottom of the same page.

The material in these last three bars of this draft had been previously sketched out at the bottom of a page that has already been partly discussed, `f5p10i08/I`^{r}. The very last system of this page shows a sketch of these three bars, although the first bar was notated in a manner quite different to that on `f5p10i11/I`^{v}. Nonetheless, even from this early, rough sketch (the system ends with two bars of concept sketches and shows that at this point Banks did not yet know how this material might continue), the content is very close indeed to the final version. And these bars become even closer to the final version when they were refined at the bottom of `f5p10i11/I`^{v}. These two systems at the bottom of the page show a refinement of these two bars (bars 20–21 of the final version) along with two complete revisions of the material on the bottom system.

8.3 Motivic functions

That motivic material plays perhaps the most important role in the composition is by now predictable given the influence of Seiber, and of the role that motivic elements played in the composition of the *Three Studies* in particular. The importance of the motivic design of the piece is relatively clear in the finished score, and, as part of Banks's own analysis of the music, he produced a chart of the four main motivic types, as he perceived them, together with examples of how they were varied and manipulated without losing their

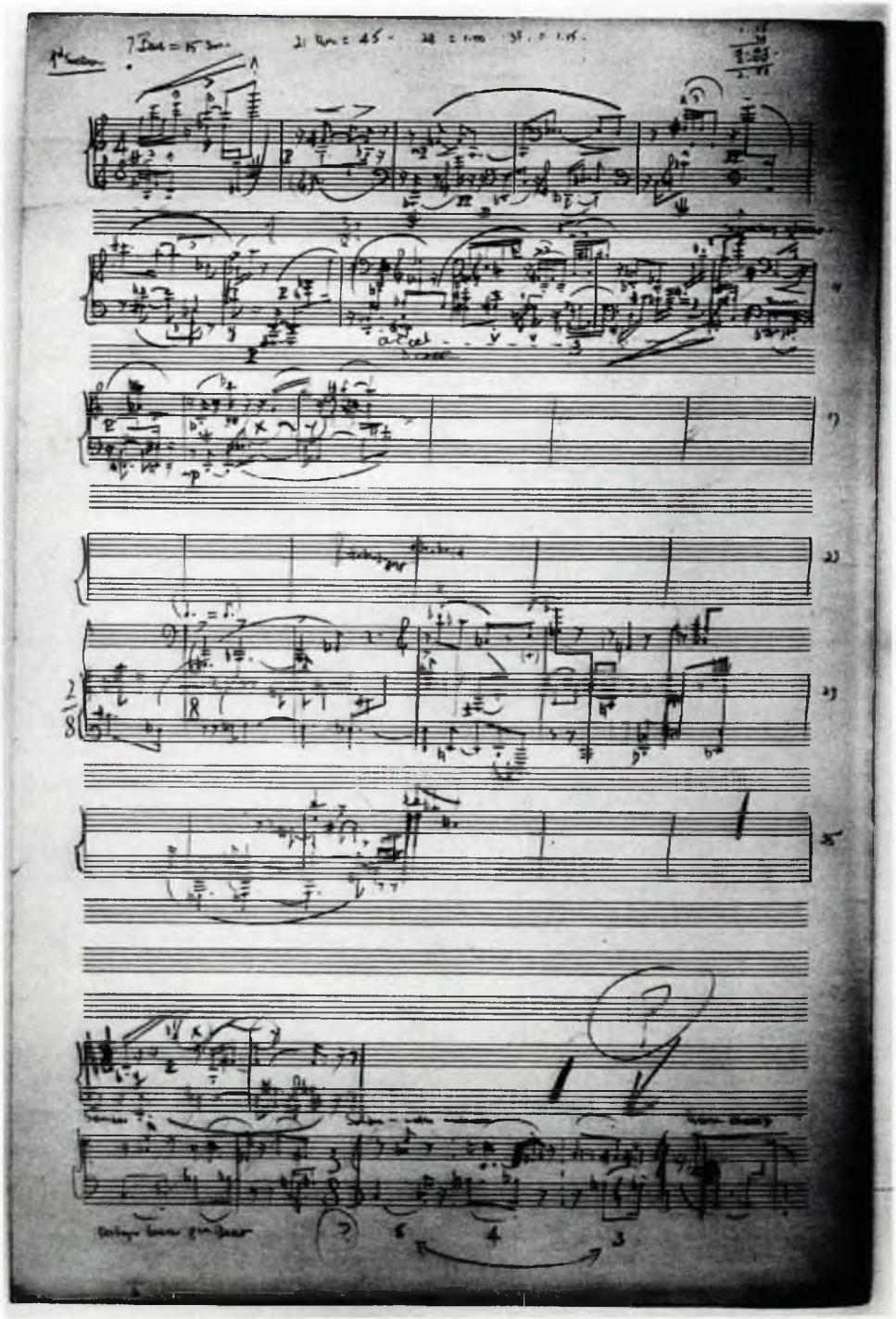


Figure 8.14: Item `f5p10i11/I`^{v}.

basic identities.[7] His chart is shown in figure 8.15.

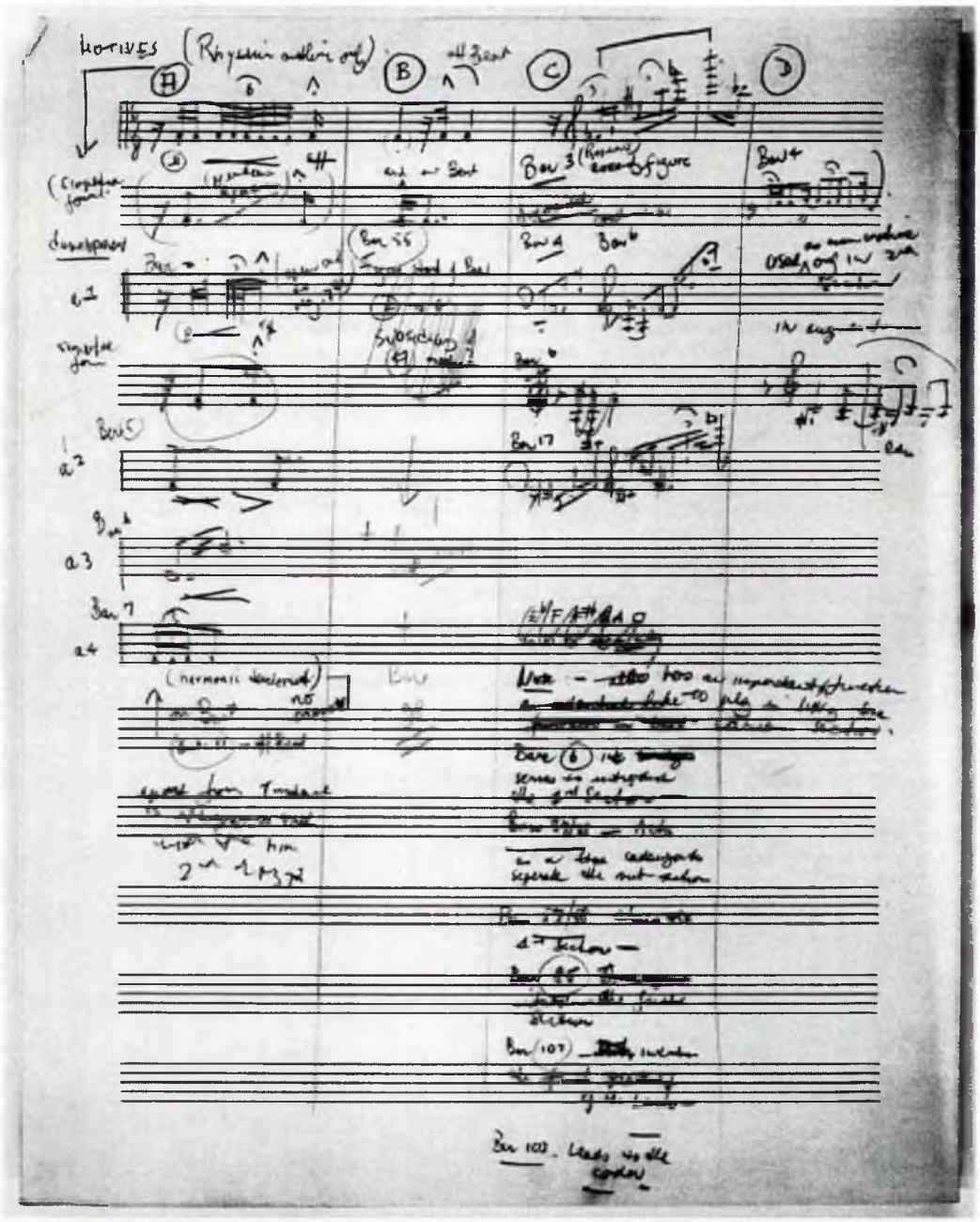


Figure 8.15: Banks's chart of motivic types.

[7] 'Pezzo notes,' f5p10i16, Don Banks Collection.

The four main motivic types were written across the top of the page, labelled A to D. The most important of these four motives, Banks claimed, is the first one, motive A, which has three characteristics that give this motive its identity: a rapidly repeated note, the last note differs from the repeated note by a semitone, and it has a certain duration. Banks referred to this last characteristic as the "simplified form" on his chart, and some of the variations of this motive were written in the first column of the page.

The second motive, B, is also only two notes, a semitone apart, with a rhythmic profile that can be roughly characterised as short followed by long, and which is varied by placing it either on or off the beat.

The third motive, C, is a rising arpeggiated figure whose main form of variation is the rate at which it ascends. In all occurrences of this motive, each of the notes are clearly articulated and it is never heard as a pianistic figuration, but as a deliberately contrived motive in its own right.

The last motive form, D, is an oscillating semitone figure whose main variation is the rate at which the oscillations occur. Once again, it is never confused with a trill or similar figuration.

Besides identifying the motive forms themselves, Banks made one more important point in his analysis, and that is that the motives have particular structural functions in the music. He stated this explicitly in relation to the use of motive C when he wrote that it "has an important function to play in delineating the structure of the piece."[8] It signifies closure at the end of the introductory section (bar 6); it draws the *allegro ritmico* to a close and leads into the *vivace* section (bars 37–38); it functions cadentially, once more, at the end of the first section of the music (bars 54–58); it signals the end of

[8]'Pezzo notes,' `f5p10i16`, Don Banks Collection.

the middle section (bar 85); and it occurs twice toward the end of the piece, in bars 97 and 103 (figure 8.16).[9]

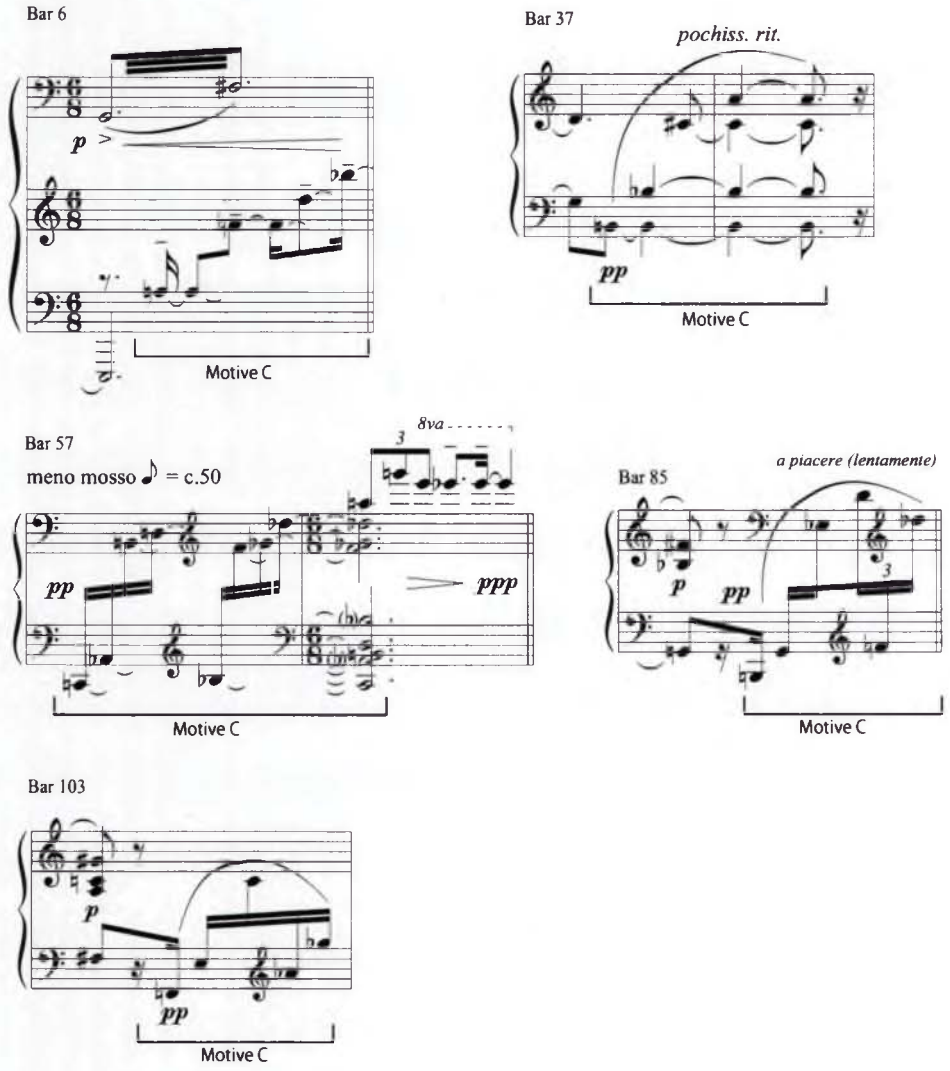


Figure 8.16: Use of motive C at structural points in the music to signify closure.

Banks also assigned a structural function to motive D, by reserving its use for the middle section of the piece.

[9]Banks also claimed a third statement of this motive toward the end of the piece, at bar 101. ('Pezzo notes,' `f5p10i16`, Don Banks Collection.)

In addition to the two motivic functions that Banks mentioned, the first motive, motive A, is also 'functional' in the same sense that motives C and D have particular functions. Whereas motive C signals closure and anticipates further material (it was not used to end the piece), motive A does the opposite—it indicates beginning. It begins the introduction, it begins the first section, and it begins the third section. Its absence at the beginning of the middle section contributes to the contrasting character of that section, and its retrograde is used cadentially to end the piece, thus bracketing the music within its first statement and its reflection. Furthermore, several variations of motive A are heard throughout the first and last sections thereby characterising the outer sections of the tripartite structure.

These four motive forms are indeed prominent throughout the composition, but there are two more features of the opening bars that also play important motivic roles in the music. The first of these are the particular chords that are heard in bars 1, 2, and 4. The first two are both members of the same set class, [0,2,6], and the third, in bar 4, is a member of the set class [0,1,4]. Both of these harmonies are used explicitly in the middle section of the piece (Banks described this section as "more harmonic in conception"[10]), as their use in the first six bars of the section shows (figure 8.17). The control of harmony by limiting the choice of chords to members of particular set classes was a feature of the *Three Studies* and Banks consciously made a motivic feature of it in the composition of *Pezzo Dramatico.*

The second feature of the opening bars, which was not mentioned by Banks at all, is the leap of a major-seventh at the beginning of the second bar of the piece. On the one hand it stands alone as its own motivic unit by virtue

[10]'Pezzo notes,' `f5p10i16`, Don Banks Collection.

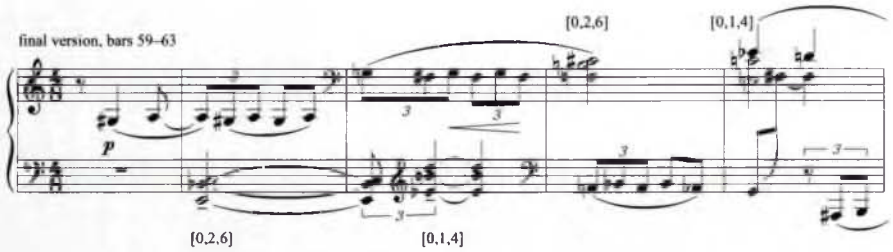


Figure 8.17: The first five bars of the middle section of the composition (bars 59–63).

of its dissimilarity with motive C that immediately preceded it, and by the short rest that follows it. On the other hand, it can be heard as prefiguring, and belonging to, the variation of motive A that occurs in the middle of the second bar. However, the fact that this leap occurs in similar ways many times in the music tends to support claiming it as its own motive form. Indeed, Banks himself did just that on his own copy of the published edition of the score, which is completely free of annotations with the exception of the letters *a*, *b*, *c*, and *d* that mark the first occurrence of the different motives in the first four bars of the music (figure 8.18). The difference here, however, is that the letter *d* on his score appears above the major-seventh figure at the start of the second bar, and not above the oscillating motive in bar 4, which he refers to as motive D in the chart shown in figure 8.15.

8.4 Foreground and background

Dyads such as the one labelled '*d*' on Banks's score form an important feature of the structure of the music in another sense to that of being a structural 'marker' such as those discussed above. This other sense is discursive, and relates to the way in which the musical ideas are both used and distributed

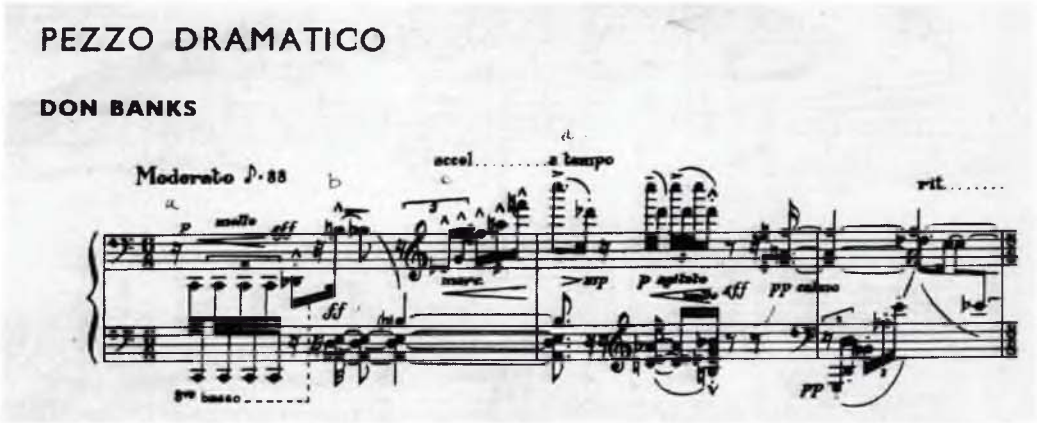


Figure 8.18: Letters *a* to *d* annotated on Banks's own copy of the score (`f5p10i02`).

throughout the course of the composition.

The function of the first six bars of the composition is introductory. Here the ideas and the musical materials from which the rest of the composition is composed are presented in a contiguous, almost matter of fact manner: motive A is followed by motive B, which is in turn followed by motive C and motive D. The ideas themselves are repeated in varied but clearly recognisable ways, but they are not otherwise subjected to any form of extension or elaboration in these opening bars since this is not the appropriate location in the composition for that to occur. The rhetorical function of these first six bars is to introduce the ideas, to make them known, and no more.

From bar 7 onwards, however, the mode of continuity must change, since, according to the stylistic conventions within which Banks worked, and by which his music is made meaningful, it would not make adequate musical sense to keep repeating a cycle of distinct ideas in the same manner that was acceptable in the introduction. The discursive strategy of the music must shift to one of explanation and development, rather than one of exposition (to

use the conventional terminology). Consequently, the rate at which musical ideas are presented and developed is slower throughout the rest of the piece so that their relationships to each other are allowed the time to emerge in a manner that seems musically 'logical' or, at least, which conforms to the listener's expectation of what makes musical sense.

At bar 7 the 'shake' figure, which is a variation of motive A, coincides with a change in both tempo and dynamics that indicate that this first motive from the introduction will also be the first to be dealt with in any extended manner. While this figure asserts the beginning of the *allegro ritmico* section, it does not dominate it. In fact, quite the opposite, since it is heard only six times in the thirty-one bars of the section (bars 7–38). Yet the relatively spare use of the figure does not compromise its role as the featured motivic figure of the section. The reason for this is that it stands out, it is 'foregrounded' by its contrast with the material that forms the bulk of the rest of the section.[11] In other words, the music of this section can be thought of in terms of a background, or 'normative' layer, and a foreground, or 'feature' layer. The normative or background layer is characterised by an ongoing stream of material that is similar and, by means of its pervasiveness, becomes normative. The spare use of the already familiar 'shake' figure, by contrast, brings it forward and draws attention to itself.

The dyad that Banks labelled as '*d*' on his score functions as the material for the background, normative ground of the *allegro ritmico* section. For example, in figure 8.19 bars 7 to 16 (up to the third statement of the shake

[11]The concept of 'foregrounding' is adapted from the linguistic theories of the Prague Linguistic Circle. See in particular Jan Mukařovský, "Standard Language and Poetic Language," in *A Prague School Reader on Esthetics, Literary Structure, and Style*, translated by Paul L. Garvin (Washington: Georgetown University Press, 1964), 17–30. Also, David Lodge, *The Modes of Modern Writing* (London: Edward Arnold, 1977).

motive) are annotated to illustrate the construction of this ground in terms of successions of dyads and dyad pairs.

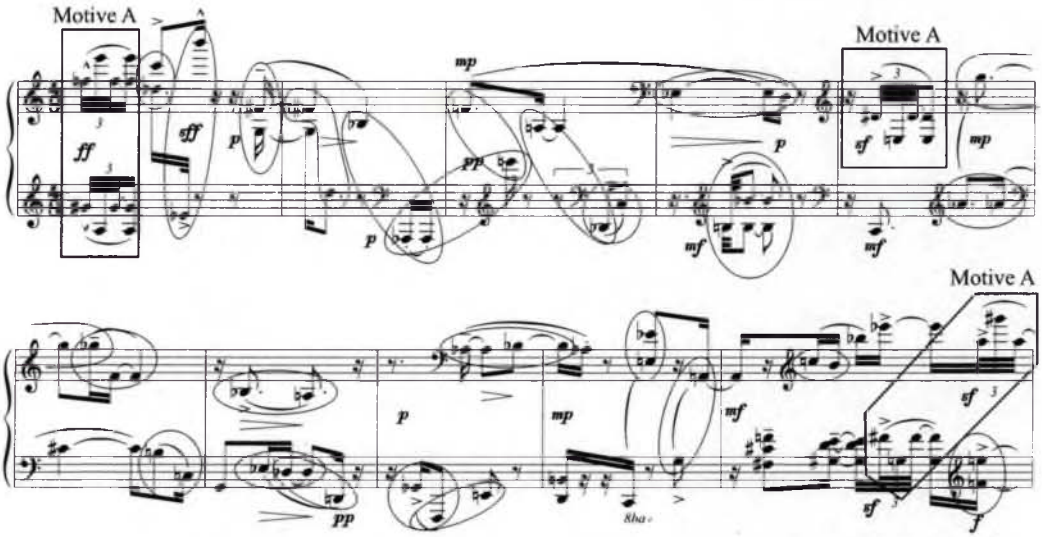


Figure 8.19: Use of dyads to form a background against which motive A is foregrounded.

The use of pitch dyads in this way to establish a 'normative' mode of continuity in this section of the music is particularly effective because dyads are integral to the identities of three of the four main motivic ideas stated in the introduction. Motive '*a*', for example, uses, as pitch material, the single dyad C–D♭; motive '*b*', which is the second part of the initial idea for the start of the piece, features the dyad B♮–B♭ over a [0,2,6] trichord; and the oscillating motive that is reserved for the *lento* section, stated in bar 4, is also a single dyad, C–B. Only motive '*c*' does not feature two pitches alone.

Banks himself wrote that he deliberately focussed on the use of these dyads in the music, and consciously attempted to organise his pitch material to foreground the two pairs of dyads, C–D♭ and B–B♭:

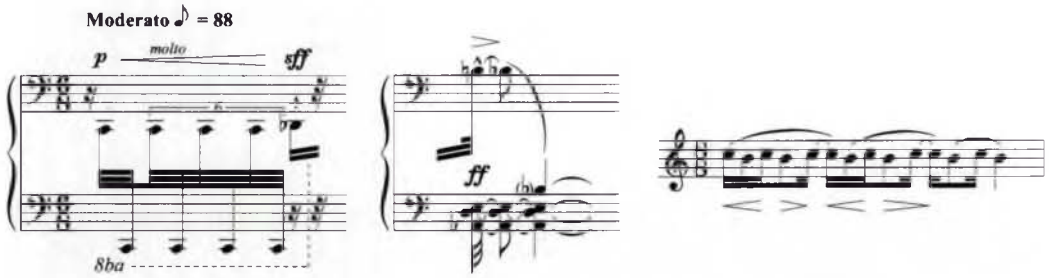


Figure 8.20: Semitone dyads used in motives A, B, and D.

> First of all in the opening thematic statement we have an outline of the following 2 things, the intervals C→D♭ and B→B♭ are clearly restated, and the last 2 are accompanied by a 3 part chord—in terms of numbers of the row you have 12, 345 are the harmony, 67 — note, this gives rise to certain obligations that I have tried to fulfill throughout the piece—this intervallic complex of 4 adjacent semitones, C D♭ B B♭, recur repeatedly in the [illeg.] unity, *and are deliberately drawn out from the various forms of the row as part of the structural unity of the piece* ...[12]

It is through these structural layers of foreground and background that the concept of development can be more clearly understood. Banks's music suggests that for him the concept of 'variation' and 'development' were not the same. While the notion of variation clearly refers to the ways in which motivic ideas can be altered while still retaining their essential identity, the concept of development concerns the various ways in which the ideas within a composition can be made to relate to each other, and in turn, the way these relationships enhance (that is, 'develop') the 'personality' of the idea. Figure 8.21 illustrates this concept. In the top two fragments of the score, the 'shake' figure, which is foregrounded, occurs alone since it is surrounded in

[12]'Pezzo notes,' `f5p10i16`, Don Banks Collection. My italics.

both examples by the normative, dyadic background. This relative isolation of the featured motives is characteristic of the first section of the music. But in the second, slow section of the piece, the idea that is primarily featured is motive *d*, the oscillating figure first heard in bar 4, but this time it is not isolated in the manner of the 'shake' figure in section A; it is put into closer temporal and aural relationships with the other motivic ideas. This is illustrated in the bottom excerpt of figure 8.21, in which the continuity of the fragment is now more heavily oriented toward the interaction of the primary motivic materials. This intensification of the interaction between the motivic materials of the piece does not equate to a dramatic intensification of the music; rather, it equates to the *development* of the music.

8.5 Conclusion

A pattern can be seen to be emerging in the compositional process whereby Banks appeared to need to make less sketches, and to require less compositional activity as he progressed further into the composition, as the sketch map illustrates. The exception is bars 40–46, where a number of different sketches were made, but the rest of the composition was written out on a single continuous sketch on items `f5p10i06/I`^{v} and `f5p10i04/IV`^{v} and `I`^{r}.

There are several gaps in the composition of this small section of the music that the discussion so far has not filled. An example is the reworking of the way T_{11} is used in bars 13–14, which can be found on just a small fragment on `f5p10i04/I`^{v}, surrounded by other unrelated sketch fragments. But, these omissions aside, the discussion of the composition of this first section of the music has shown that a hierarchy of materials underpinned the compositional

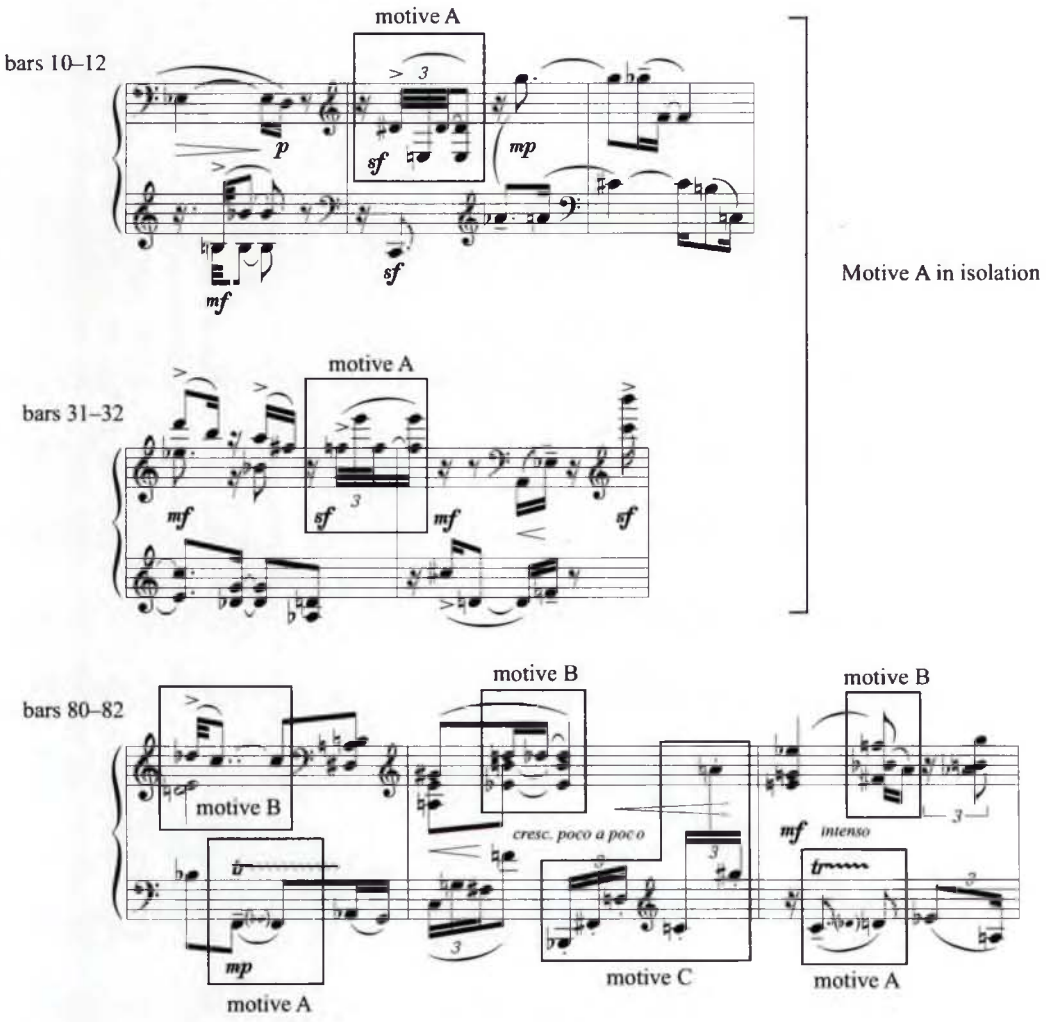


Figure 8.21: Illustration of the concept of development in *Pezzo Dramatico.*

process itself. At the top of this hierarchy is the formal, tripartite structure, whose effectiveness had already been proven in the composition of the first movement of the *Three Studies.* Underneath this level was the chain of row forms from which the pitch material was generated. This chain of row forms became more stable as the composition progressed and the decision as to which row form to use at any given moment was not governed by any

requirements dictated by the surface of the music. The least stable element in the hierarchy was the use of motivic material and the design of the musical surface in relation to the already-determined pitch content. That is, any reworking of material did not normally involve a revision of the chain of row forms because within the compositional process the two are conceptually distinct, and this separation of twelve-tone material from motivic material is, in turn, one of the features that the composition of *Pezzo Dramatico* has in common with both *Psalm 70* and the *Three Studies*.

However, with the composition of *Pezzo Dramatico* Banks was able to more effectively integrate his motivic materials with his twelve-tone row forms. The reason for this is that his motivic ideas are all based on pitch dyads, rather than on longer successions of pitches or intervals, which would be the case in a melodic phrase or theme. The manipulation or alteration of two pitches within row forms was then easily managed in ways that did not require the fragmentation and reorganisation of the distribution of rows. Furthermore, Banks's ability to make his motivic elements aurally distinctive (his notion of "memorable material"), allowed him to utilise the dyad as the basic element of 'background' continuity without compromising the impact of those features that he brought to the foreground.

The foreground/background discursive structure also draws attention to Banks's conception of musical development. In this composition, motivic development was not only about the process of variation insofar as variations allow the latent potential of the motivic elements to emerge in the sense that Seiber alluded to in his talk at the I.C.A. Concourse in 1955. Rather, development was also about exploring the different ways that motivic features

could be made to relate to each other as part of a unified musical discourse.

For these reasons, of all of the compositions that Banks wrote during the 1950s, *Pezzo Dramatico* exhibits the closest integration of all of the elements from which the music was composed. However, this was not because Banks altered his compositional method, but it was the result of the characteristics of the motivic elements with which he composed the music. Banks continued to start composing with specific musical ideas—motives, themes, textures and harmonies—and he continued to start the compositional process from the beginning and continue in a sequential, linear manner to the end, giving most of his compositional attention to the organisation and refinement of the ideas stated at the very beginning of the piece.

Pause: "memorable material"

In March 1957 the Society for the Promotion of New Music organised a 'Studio Recital' in London's Wigmore Hall in which compositions by the young composers Peter Maxwell Davies, Wilfred Josephs, David Carhart, and Cornelius Cardew were performed. This recital was organised as an opportunity for these composers to have their music performed and to receive critical feedback on their compositions, and on this occasion Don Banks was asked by the S.P.N.M. to provide this critical feedback.

Banks received the first of the scores for this concert in January, some two and a half months prior to the recital, which allowed him the time to study the scores in some detail prior to the recital. The notes that he made were written in a faded blue notebook, now located in box 21 of the Don Banks Collection.

Peter Maxwell Davies's contribution consisted of a set of five pieces for which Banks prepared an extensive set of notes. For the first of these pieces Banks wrote a summary of his impressions of the music followed by a technical description of the characteristics of each of the three sections of the music, mainly in terms its motivic construction and use of pitch material.

The first thing that these notes suggest is that Banks was not content to rest his critiques solely on aural impressions. He analysed the music in detail, looking for relationships between groups of pitches (which he referred to as 'groups I, II, and III') and their relationships in turn to the motivic features and the formal design of the piece.

But Banks also valued the clarity of the ideas and the way that they were used, so while the detail of the internal relationships within the music

played an important role in Banks's appreciation of its value, it was even more important to him that the details did not obscure the clarity of the materials and the ideas with which the music was composed.

He made his point in relation to Maxwell Davies's five pieces in the following comment:

> A most impressive Opus II—highly talented, and his technique is extremely well developed. I find this set of 5 pieces to be uneven in quality, and the uneven ones seem to me to be where the pieces struggle, they run on in a somewhat confused course through a welter of notes, which although highly organised within themselves, *have not taken sufficient shape of character to make themselves memorable material from which you can aurally enjoy the unfolding of the piece.* I think contributing to this is the initial presentation of this material, especially from a rhythmic viewpoint. These reservations apart, here is a most interesting composer—young and full of ideas, and with a high level of technical achievement.[13]

Here Banks expressed the idea of clarity in terms of "memorable material", an expression that he used several times in his notes. Banks suggested that Maxwell Davies's motivic materials were not given sufficiently 'memorable'—that is, distinctive—rhythmic profiles to enable the listener to follow the logic of their development. And in another set of notes that Banks wrote, he suggested that the complexity of the contrapuntal textures also contribute to this lack of clarity:

> The textures are with the exception of No. 4 with its block chords, generally highly contrapuntal and complex—in fact I think the music tends to become obscure at times through this. Although the parts are within themselves highly organised the general effect is often confusing. Part of the trouble here is probably that not

[13]Notebook, box 21, Don Banks Collection. My italics.

> enough of the motival material is memorable enough to ingrain itself on you so one can follow the unfolding of the piece ...

Banks levelled a similar criticism at the piano sonata contributed to the recital by Wilfred Josephs. Like his analysis of Maxwell Davies's music, Banks prepared a set of quite detailed analytical notes on each of the four movements of Josephs's sonata. At the top of the first page he wrote:

> Not enough compulsion to shape the material and this leads to a confusion of ideas. e.g. The 2nd subject theme lacks shape altogether ...
> Too many ideas—not selective enough—identity not often enough maintained of the theme.

In these comments Banks indicates two aspects to this notion of "memorable material". The first, already mentioned, is the importance of a distinctive character ("shape") for which rhythm plays an important role, and the second is being selective and setting limits to the amount and type of material that the composer uses, as he wrote about Maxwell Davies:

> A good sign that here is a composer who is prepared to impose a great deal of discipline on himself and restrict his material ...

The lack of distinction in the motivic and thematic material was also the main criticism of another composition that Banks analysed. This piece, a symphony, written by a Mr South, was not a part of the S.P.N.M. recital—in fact Banks's notes give no clues to its origin at all. Nonetheless, Banks's critique of it reveals the same general concern that the composer shape distinctive, memorable motivic material with which to work. He wrote the following about Mr South's symphony:

> ... the material he states in his Introduction appears in varied forms and combinations throughout the sections of the work, but I find the material itself of no distinctive quality—either it is ill-formed, as in the opening TBN theme where the phrase construction 3+3+3 +1 bar horn overlap moves awkwardly, or a figure with more rhythmic interest (such as the 2nd half of the opening bar for vlns at letter D ) is deadened by constant direct repetition, or else by losing it's melodic shape and turning into a straightforward chromatic scale passage.

In this quote Banks made the point that even if the composer starts with good material it still needs to be treated properly so that it does not become "deadened". Direct repetition of motivic material was, for Banks, as much of a problem as using too many ideas. In this regard the influence of Seiber is clear. Seiber taught Banks that he had an obligation to the materials to bring out all of their latent potential, and variation techniques in the manner of Bach, Haydn and Brahms are the means by which this is achieved.

Banks continued to emphasise these points, as the following quote from a set of lecture notes that he prepared in 1969 illustrate:

> Stravinsky has also said that the idea of work to be done is closely bound up with the idea of the arranging of materials, and of the pleasure that the actual doing of such work affords. He can also be quoted as saying "A mode of composition that does not assign itself limits becomes pure fantasy," and he goes on to Leonardo da Vinci's statement, "Strength is born of constraint and dies in freedom."[14]

[14]Lecture notes: '20th Century Music,' box 33, Don Banks Collection. Original underlining.

Chapter 9

The *Sonata da Camera*

9.1 Introduction

In March 1961 the BBC commissioned Don Banks to compose a piece for that year's Cheltenham Festival, which was to take place four months later in July. Banks agreed to the terms of the commission, which included the title "In Memoriam, Mátyás Seiber" (eventually to become the subtitle), and by the end of May the score for the *Sonata da Camera* was complete.[1] That the piece was written "In Memoriam" to Seiber is evident not only from the subtitle of the work, but is also seen in Banks's choice of instrumentation: he composed the work for flute, clarinet, bass clarinet, percussion, piano, violin, viola, and cello—the same combination of instruments for which Seiber himself wrote his *Three Fragments from A Portrait of the Artist as a Young Man.*[2]

Despite the apparent speed with which this piece was written, the composition of the *Sonata da Camera* marks an important point in the development of Banks's compositional style and technique. This chapter explains why.

9.2 Sectional design

From the composition of the *Duo for Violin and Cello*, and in particular from the composition of the *Three Studies* onward, Banks's work demonstrates an approach to musical design that is based on a conventional, sectional concep-

[1]Letter from the BBC to Banks, 14 March 1961, `b02f08`, Don Banks Collection. A copy of Banks's reply is attached to this letter.

[2]In his interview with Hazel de Berg, Banks pointed out yet another connection with Seiber's music. He said, "I went back into the work again and did a very very detailed analysis of the piece, working from my notes, and one of the things I was surprised to find and which I didn't associate at the time was that I'd used precisely the same twelve-tone series as Seiber had used in one of his last pieces, the Concert Music for Violin and Piano. I didn't know this at the time. That was also a very unconscious tribute to my teacher." See Banks, Interview, 7708.

tion of musical structure. Indeed, an important point in the development of his understanding of the relationship between form and content in musical composition occurred at the beginning of the composition of the *Three Studies* when he struggled with the interdependence of form with content, which resulted in re-conceiving the design of the piece in three separate movements instead of one.

This sectional approach to musical design was documented not only in Banks's compositional sketches, but also in his own comments and analyses, particularly those relating to *Pezzo Dramatico*.[3] And Banks's analysis of the *Sonata da Camera* is no exception. This is the only other significant analysis of his own music that Banks wrote, and it reinforces his continued emphasis on conventional sectional design as a stylistic characteristic of his music.[4]

Banks's analysis of the *Sonata da Camera* works systematically through all three movements, treating each section of each movement in turn by describing their characteristics and what he perceives to be the important elements of each of these sections.

9.2.1 Banks's analysis and the sketches

Banks described the first movement of the *Sonata da Camera* in terms of five sections that are framed by an introduction and a short coda. This sectional breakdown of the movement is summarised in the following diagram.

The similarity between this diagram and the one that Banks sketched for the original plan for the *Three Studies* on `11.13/I`^{r} (figure 7.1) is readily ap-

[3] 'Pezzo notes,' `f5p10i16`, Don Banks Collection.

[4] 'Sonata da Camera,' typewritten notes, `f2p7i04`, Don Banks Collection. Hereafter referred to as the 'Sonata da Camera notes.'

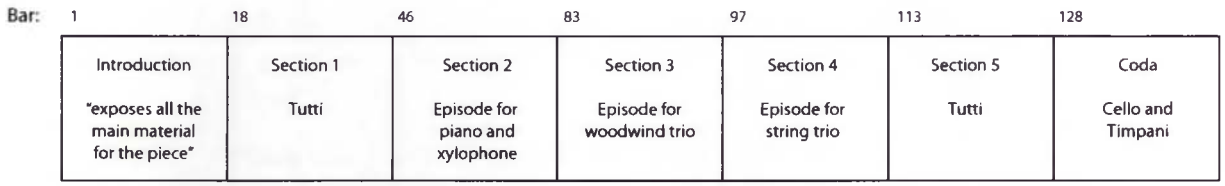


Figure 9.1: Sectional divisions in the first movement of the *Sonata da Camera*

parent. Both diagrams show a quasi symmetrical design, and both are based on a series of sections that have uniquely identifiable characteristics. But the differences are also equally apparent. The plan for the *Three Studies* begins with a thematic idea, whereas the design of the *Sonata da Camera* begins with an introduction that allows the opportunity to immediately state the musical ideas from which the piece was composed. This, ultimately was the reason why the original plan for the *Three Studies* failed—the introduction of new material later in the piece had the effect of fragmenting and undermining the unity of the music, an effect that the introductions of both *Pezzo Dramatico* and the *Sonata da Camera* prevent. A second difference between the two plans is that the plan for the *Three Studies* is based on sections characterised by widely different motivic ideas, whereas the sectional differentiation in the *Sonata da Camera* is based primarily on different textures and instrumental combinations, not on different motivic and thematic ideas.

Banks's analysis of the *Sonata da Camera* not only illustrates the sectional basis of his musical thinking, but the sketches for the composition of the piece illustrate a clear correlation between its sectional design and the compositional process.

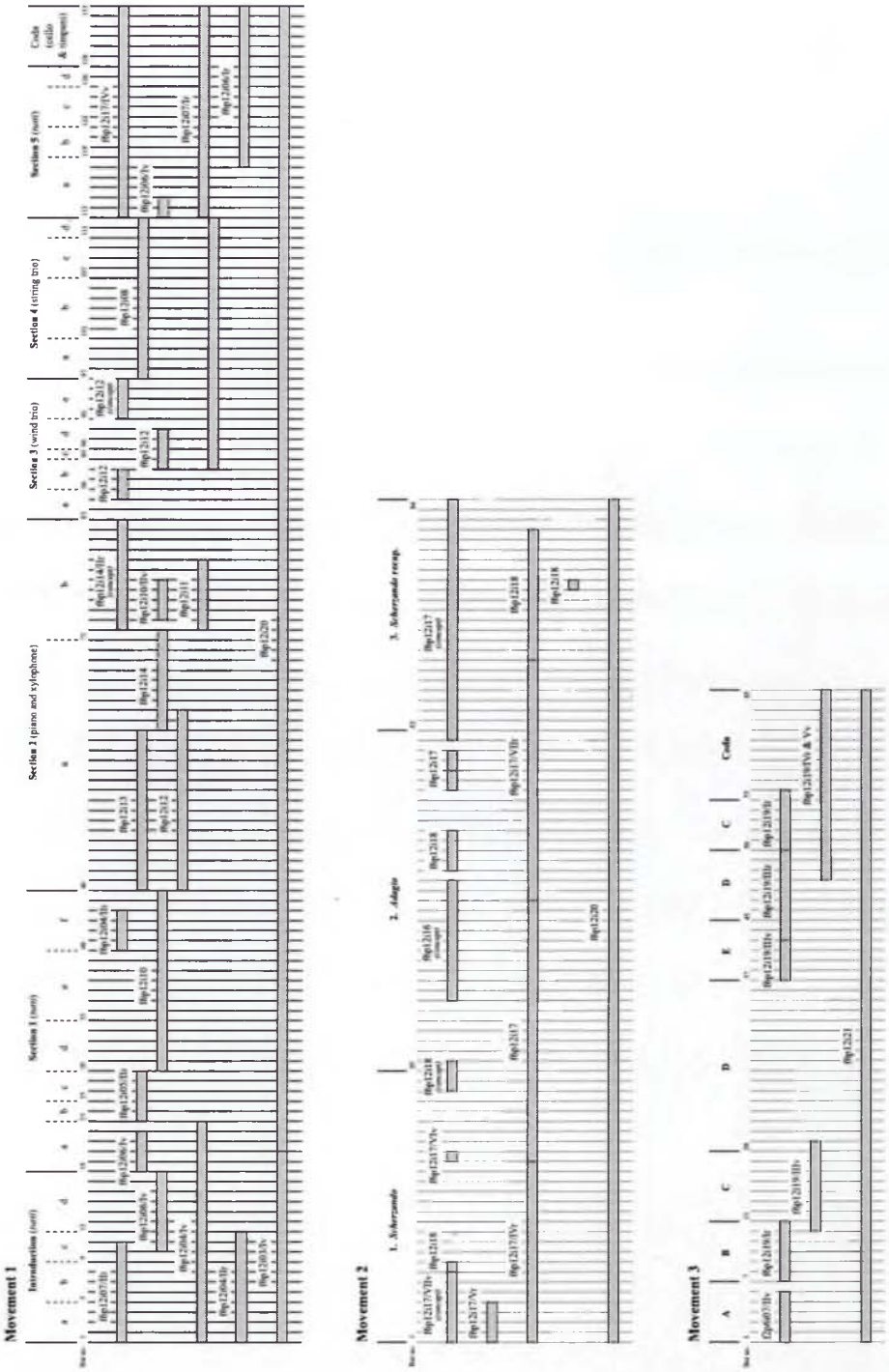


Figure 9.2: Sketch map of the *Sonata da Camera*.

9.2.2 Sectional design and the sketches

The sketch map shown in figure 9.2 illustrates the correlation between the sketches themselves and the structural design of the first movement. Banks made the first sectional division at the end of the introductory section at bar 17, and, setting the final short score aside, this section was composed on just two sketches, one of which (`f6p12i04/I`^{v}) extends from bar 1 to 22, and the other (`f6p12i04/II`^{r}) revises bars 1 to 11.

The beginning of the next section, the *allegro moderato* scored for the whole ensemble, was sketched for the only time at the end of the first sketch of the introduction on item `f6p12i04/I`^{v}. The subsections of the *allegro moderato* are sketched only once, across three different manuscript items. These subsections, according to Banks's analysis, are:[5]

- bars 18–22, which "develops  motive into  "
- bars 23–24, "overlapping appearances of a 6-note quaver figure"
- bars 25–27, a variation of bar 1–4 of the movement (Banks skipped over this in his analysis)
- bars 28–32, strings play *pizzicato*
- bars 33–39, overlapping 6-note motives
- bars 40–45, texturally more complex section based on semiquaver motion.

These subsections (indicated on the sketch map) tend to align with individual sketch items, and suggest that Banks continued to compose his music

[5]Sonata da Camera notes, `f2p7i04`, Don Banks Collection

(sub)section by (sub)section. For example, the sketch of the beginning of the *allegro moderato*, tagged onto the end of the sketch of the introduction, stops at bar 22, which is the end of the first subsection of the *allegro moderato.* The next sketch of the section begins at bar 23 and sketches most of the next two subsections. And sketch `f6p12i10` sketches the remainder of the section in one continuous sketch. The beginning of the last subsection, however, at bar 40, is the only place in the *allegro moderato* that was sketched more than once. The motivic ideas for this last subsection were also sketched on `f6p12i04/II`^{r}.

This relationship between the sectional structure of the music, as Banks perceived it, and the individual sketches continues through the rest of the movement. The sketch items fit neatly into the different sections of the music. With the exception of the *allegro moderato* most of the rest of the movement was sketched only twice, and the rest never more than three times, before Banks wrote out the short score. In other words, the density of sketches that Banks wrote for any given part of the composition has decreased significantly from that of, for example, the *Three Studies*, and this fact suggests an increase in compositional fluency and confidence in the compositional process.

The sketches of the second movement demonstrates a slightly different relationship to the sectional design of the music. The second movement is in three main sections, a *scherzando*, an *adagio*, and a recapitulation of the *scherzando* section, and across all of these sections much more use was made of concept sketches and very small sketch fragments. The concept sketches show the beginning and ending of the first section, the middle part of the *adagio* and the entire recapitulation, and the rest of the sketches are of small

fragments of other parts of the movement, none of which overlap, so that between the concept sketches and the sketch fragments nothing is sketched twice. Most of the composition of this movement occurs in one continuous draft on `f6p12i17` and `i18`. The different nature of these sketches, however, do not necessarily indicate a different compositional process. Rather, what is indicated is a speeding up of the same process. The concept sketches and sketch fragments still illustrate a sectional conception of the music and of the compositional process, but what is missing is the stage in between these ideas and the continuous draft. This use of a continuous draft as the main site of composition was also seen in parts of the composition of *Pezzo Dramatico*, but here the preceding sectional sketches were skipped over altogether. Banks appears not to have needed them for this movement.

The character of the sketches of the third movement is closer in nature to those of the first movement and continues to reflect the sectional nature of the compositional process. In this case the sectional design of the movement is A–B–C–D–E–D–C–coda. Sections A, B, and the coda, flank a symmetrical middle section, C–D–E–D–C. Once again, the sketch map shows the relationship between these sections and the sketches. And, like the second movement, the continuous draft, item 21, shows that minimal compositional sketching occurred on this draft.

9.3 Pre-compositional sketches

The composition of the *Sonata da Camera* continues to illustrate the consistency of Banks's thinking about musical structure throughout the 1950s, and the way in which he solved the structural problems that relate to this

conception. But this composition also represents a point of arrival in the development of his compositional style because Banks once again returned to a rigorous pre-compositional study of the pitch material and row forms that he wanted to use.

The two-part aspect of this composition—the pre-compositional study of the pitch material and row forms, and the subsequent composition of the music—is also reflected in Banks's analysis of the piece, which covers twelve typewritten pages and one page of handwritten diagrams. The first six pages were given to the discussion of the row forms and pitch material.[6]

9.3.1 Set 1

In his analysis, Banks claimed that the initial conception for the piece was once again a small motivic fragment—the three-note cello motive in bars 5–7 (figure 9.3).

Figure 9.3: Cello motive in bars 5–7 of the first movement.

These three notes (C–F–B) consequently became the beginning of the first ordered twelve-note set used in this composition (figure 9.4). Banks continued to say that the next three notes that he used were F♯, A♭ and G, which completed the first hexachord of the set.

According to Banks the construction of the first hexachord was more or less intuitive (a "musical impulse"), and the second hexachord was "deliber-

[6]Sonata da Camera notes, `f2p7i04`, Don Banks Collection

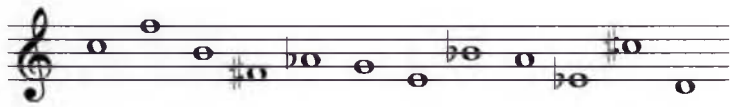


Figure 9.4: *Sonata da Camera*, set 1.

ately constructed".[7] The division of the first hexachord into an [0,1,6] and an [0,1,2] trichord made the "deliberate construction" of the second hexachord a straight forward matter of transposing and inverting the first two trichords, as shown in figure 9.5. (The order of the third trichord is rotated so that the interval of a semitone is between adjacent pitch classes (B♭–A).

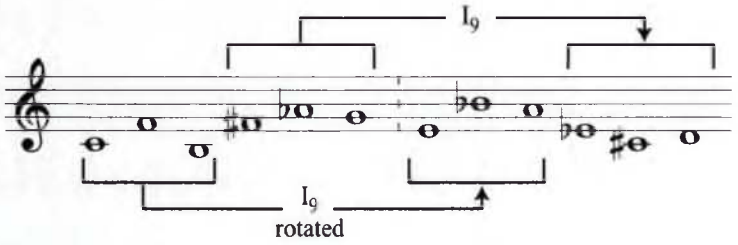


Figure 9.5: Construction of the second hexachord of set 1.

9.3.2 Set 2

Banks claimed that he started to write the piece using this row form but was ultimately dissatisfied with the invariant properties of the row. It is not hard to see why. When considered in terms of trichordal invariance, the T/I matrix of the row complex shows that there is only one of the forty-eight row forms that retains more than one of the trichords from the prime row form as invariant. In terms of tetrachordal invariance, the row fares only marginally

[7] Sonata da Camera notes, `f2p7i04`, Don Banks Collection.

better. At every transposition of four semitones, one of the three tetrachords of the first row form is retained, and the remaining two tetrachords are fragmented (figure 9.6). The exception is the relationship between T_0 and T_6, in which two of the three tetrachords are invariant, and the third is split into two non-contiguous dyads. So while the tetrachordal properties of the row provided better options for the compositional exploitation of invariant properties of the row, for Banks it did not provide sufficient options. In particular, Banks wrote in his analysis that he was continually "disturbed" by the fragmentation of one of the tetrachords at T_6, and he wanted a row form that not only retained the initial C–B–F trichord, but which also retained its three tetrachords intact when inverted.[8] This led Banks to formulate the second row form, shown in figure 9.7.

This second set was constructed by taking the first trichord of set 1 and treating it as a trichordal 'generator', again applying this technique for constructing rows that he learnt from Babbitt in 1952. Consequently, set 2 is comprised of four [0,1,6] trichords, such that its construction can be understood in the manner illustrated in figure 9.11. But there is one sketch fragment that suggests that Banks approached the initial construction of this row in a much less systematic way than its final appearance might otherwise suggest. Sketch `f1p5i08/I`^{r} has the heading "set 2" and underneath it is what appears to be a series of experimental attempts at sketching row forms based initially on [0,1,6] and [0,1,2] trichords in the same manner as set 1. The first sketch, for example, shows four trichords ([0,1,6], [0,1,2], [0,1,2], [0,1,6])—each separated by the use of open noteheads and beamed notes—but the last trichord repeats the pitch class C (figure 9.8). Following this

[8]Sonata da Camera notes, `f2p7i04`, Don Banks Collection

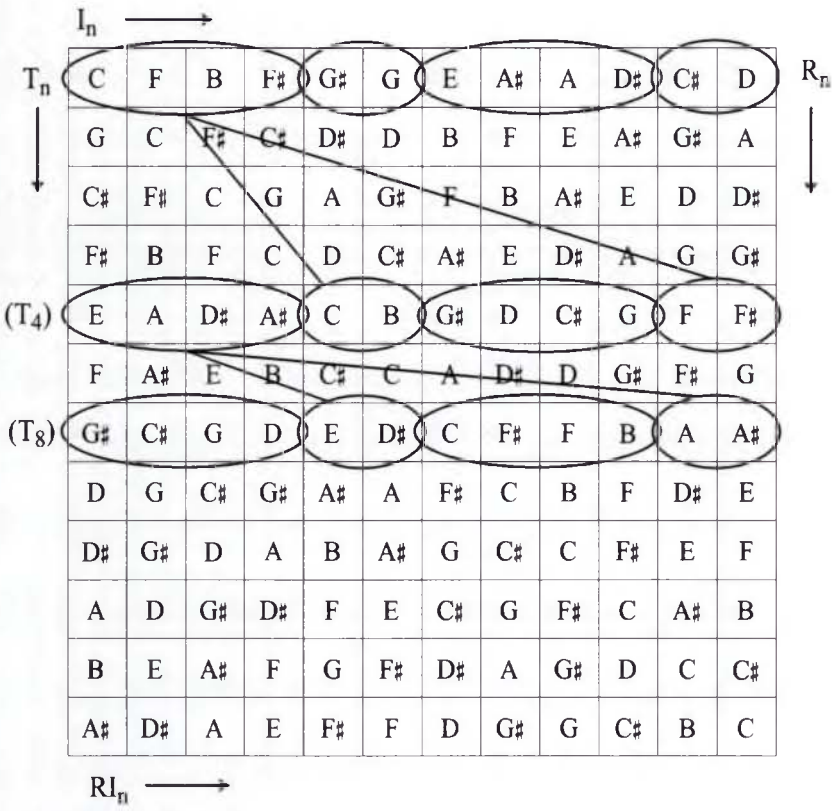


Figure 9.6: Matrix for set 1, showing the fragmentation of tetrachords at each transposition of four semitones.

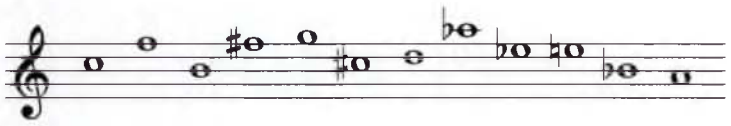


Figure 9.7: *Sonata da Camera*, set 2.

Banks attempted, again unsuccessfully, to combine various permutations of the initial [0,1,6] trichord, as the sketch on the second stave shows, however on this attempt the G was repeated. The following two staves are permutations of the trichords in set 1, but on the fifth stave, Banks once more combined permutations of the [0,1,6] trichord, and this time the result was

successful, and in fact the trichordal content and its ordering is the same as that of the final version of the row. (Note the big 'tick' symbol that Banks wrote next to this sketch.) On the next stave Banks continued experimenting by re-ordering the pitch elements within each trichord.

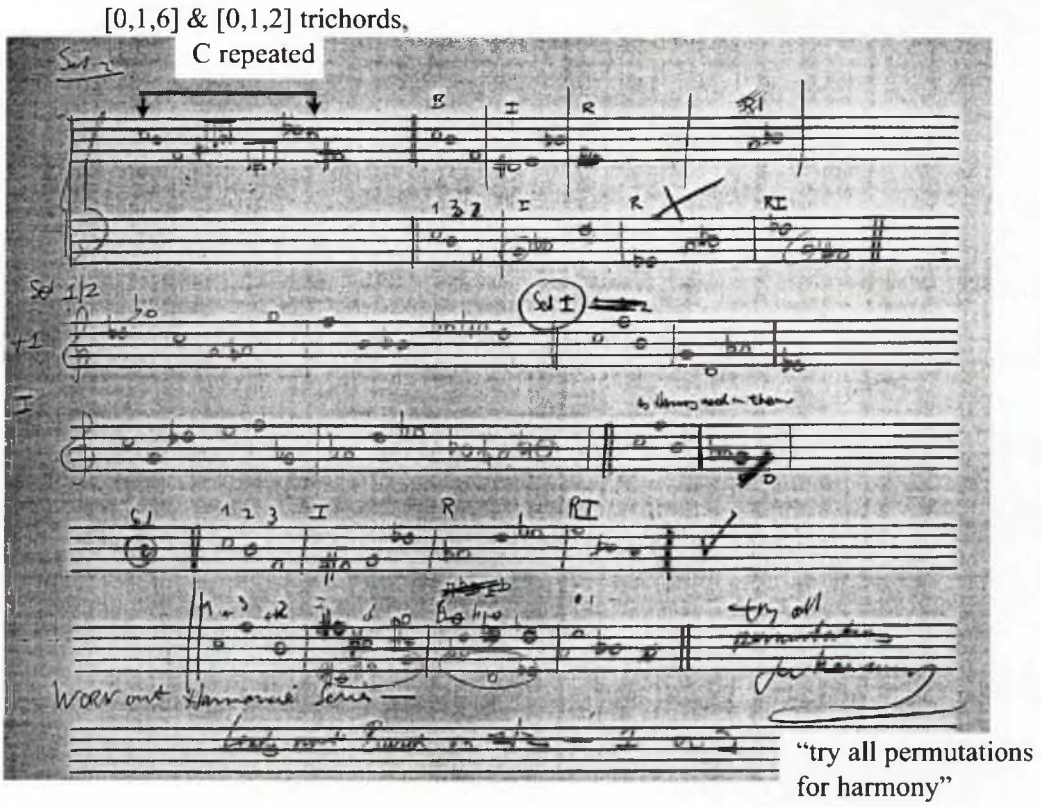


Figure 9.8: Item `f1p5i08/I`^{r}.

These sketches offer some basis for the claim that Banks approached the construction of both sets 1 and 2 in an initially intuitive and experimental way. In the case of set 2, however, the sketches suggest that this row was then refined in a more systematic manner, and this process of refinement was discussed by Banks in his analysis when he wrote that he "examin[ed] the permutation possibilities of the 3 notes" of the original row form, which

he illustrated in a diagram at the top of the fourth page of his analysis (figure 9.9).[9] And this very diagram is found at the top of `f2p6i07/IV`^{v} (figure 9.10).

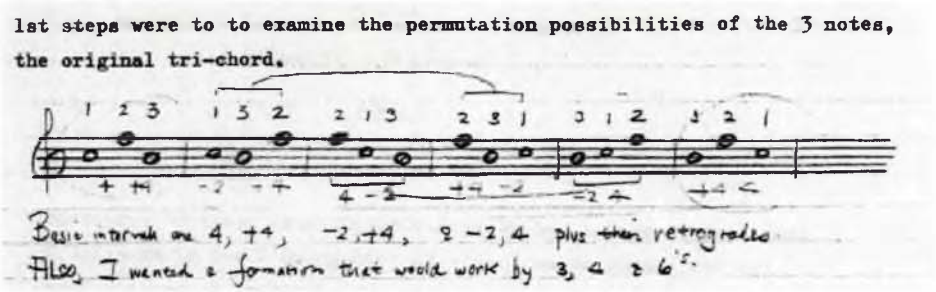


Figure 9.9: Banks's diagram at the top of page 4 of his analysis.

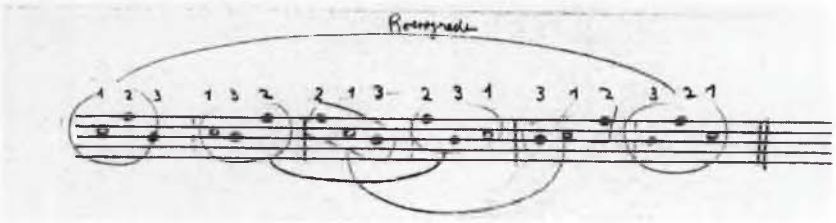


Figure 9.10: Top stave of item `f2p6i07/IV`^{v}.

The connection between this diagram and the construction of the row is not made explicit by Banks, but the first two trichords of set 2 have the same ordering as the first two trichords in Banks's list of permutation possibilities—1–2–3, and 1–3–2, written at the top of the stave. The only difference is that the second trichord of the set is both transposed (necessarily) and inverted. The elements of the third and fourth trichords of the row are the reverse of the ordering of the first two trichords (see figure 9.11).

The final ordering of the pitch classes within each trichord is almost

[9]Sonata da Camera notes, `f2p7i04`, Don Banks Collection.

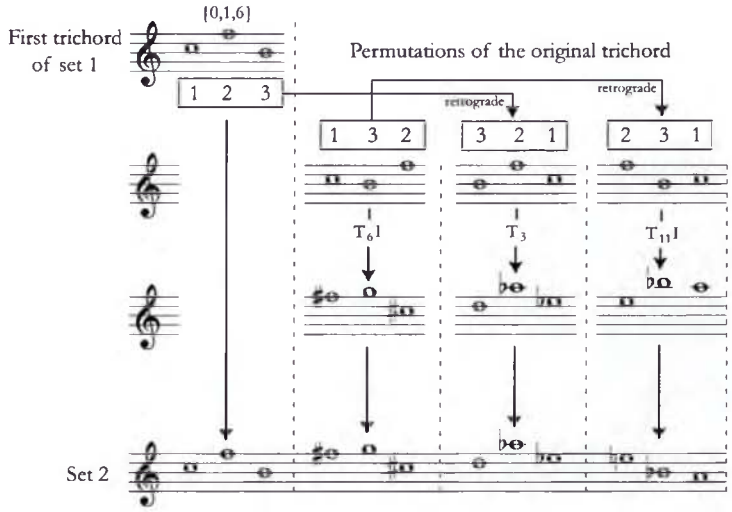


Figure 9.11: Construction of set 2.

predictable given Banks's intention of maintaining the tetrachordal content of set 1. The choice of F♯ as the first pitch of the second trichord is clear, since it allows the first tetrachord of the row to match the content of the first tetrachord of set 1. Following this, the trichords that follow are determined by the same requirements, where the permutations of trichords 3 and 4 are the retrograde of trichords 1 and 2.

It is clear, however, that sketches `f2p6i07/III`^{v} and `IV`^{v} are where Banks actually examined the possibilities of the new row form and where he saw the possibility not only of maintaining his tetrachords intact, but of approaching the use of this set in terms of two distinct pitch 'areas'.

On the left-hand side of item `f2p6i07/IV`^{v} (figure 9.12) Banks wrote out six transpositions of the row, each a tone apart, beginning successively on C, D, E, F♯, A♭ and B♭. At each of these transpositions, the row holds the content of its three tetrachords invariant, and rotates them one place to the left (figure 9.13).

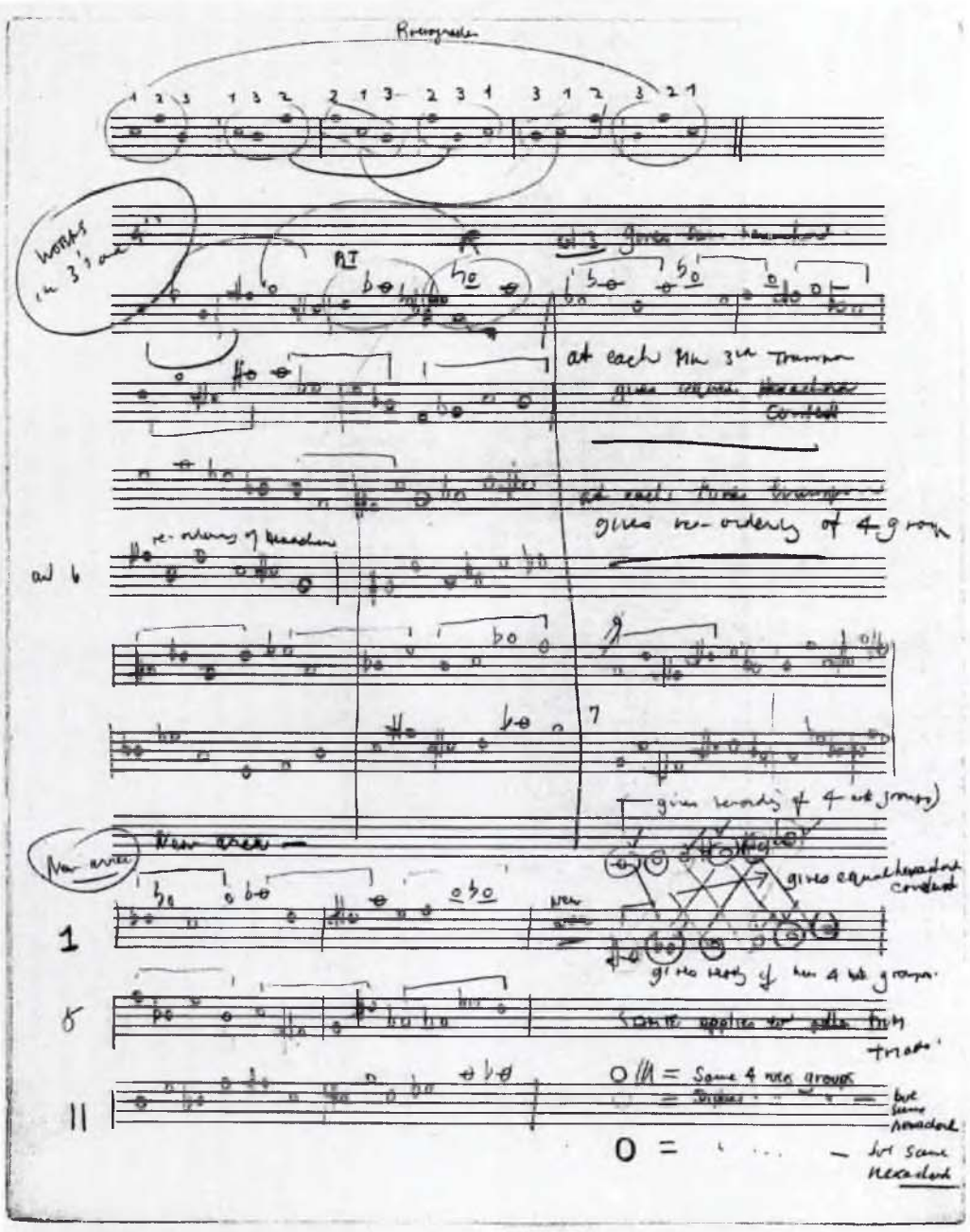


Figure 9.12: item `f2p6i07/IV`^{v}.

Underneath this list of six transpositions, Banks wrote the transposition of the row a semitone higher, generating a new set of tetrachords, with differ-

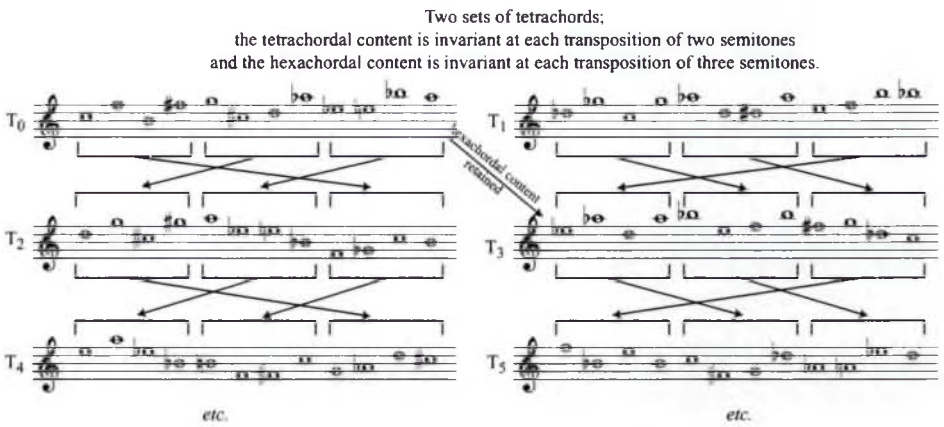


Figure 9.13: Tetrachordal invariance in set 2 at even transpositions.

ent pitch content, thereby generating what Banks subsequently referred to as two separate pitch "areas".[10] This second set of row forms, at transpositions of 1, 3, 5, 7, 9 and 11 semitones were all written out in full on the bottom and on the right of the page.

The observations that Banks made are summarised by two comments made on the right-hand side of the page:

- "at each Min 3rd transposition gives equal hexachord contents"; and,
- "at each tone transposition gives re-ordering of 4 group"

The first note indicates that the same hexachord occurs with each transposition of three semitones. There are therefore three different row forms in terms of hexachordal content equivalence. The second comment notes that with every transposition of a tone, the tetrachordal contents of the row remain invariant, so there are two different sets of tetrachords, creating two different sets of pitch 'areas'. The combination of these two observations mean that

[10]Sonata da Camera notes, `f2p7i04`, Don Banks Collection.

different row forms will only maintain the same hexachordal and tetrachordal content where transpositions of tones and minor thirds coincide—that is, at every transposition of six semitones. Banks wrote these observations in diagrammatic form in the lower right-hand corner of the page (figure 9.14).

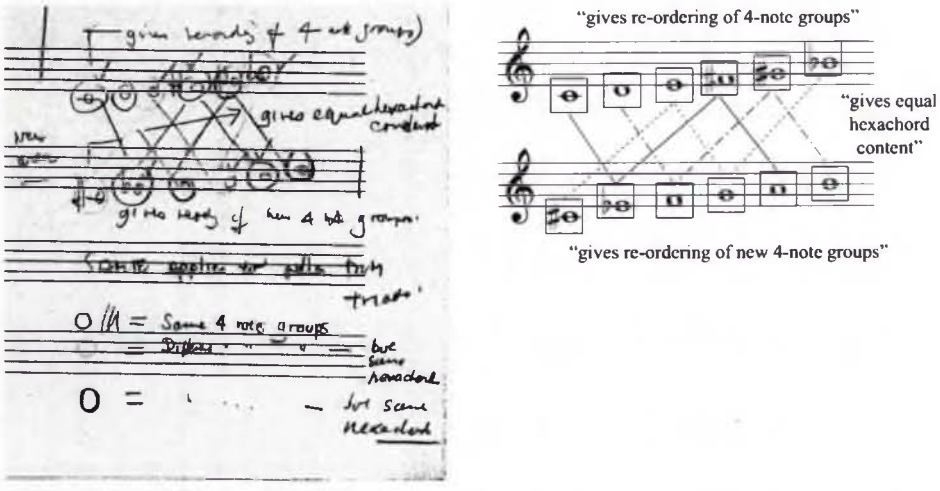


Figure 9.14: Banks's diagram at the bottom of item `f2p6i07/IV`^{v}.

Each transposition level was written on one of the two staves, where each stave has transpositions by tone. Each stave therefore represents those transpositions in which the tetrachordal content is invariant (as the note "gives re-ordering of 4 note groups" which is adjacent to each staff suggests). The circles and lines show the hexachordal relationships between the different transpositions of the row. Banks used different colours on his diagram to indicate the different relationships between the rows at different transpositions and each colour represents one of the three possible hexachord pairs (these are indicated by the use of different styles of dotted lines in the transcription of the diagram on the right-hand side of figure 9.14). On each stave there are only two notes circled with the same colour, the tritone transpositions where

both the hexachordal and tetrachordal contents remain unchanged. So, for example, if Banks started at C and wanted to use the row transposed to start on D, the content of each tetrachord would remain, but the content of the hexachords would alter. If he transposed the row to begin on E♭, the content of the tetrachords would alter (E♭ is on the lower line) but the hexachordal content would remain invariant. If he transposed the row to begin on C♯, both the tetrachordal content and the hexachordal content would change. If he transposed the row to begin on F♯, the tetrachordal and hexachordal content would remain the same.

A similar summary was attempted in a different manner at the top of `f2p6i07/III`^{r}, in which the different levels of transposition were arranged according to their tetrachordal 'areas', and the tetrachordal and hexachordal transformations that result.

The set complexes of both the first and second sets were written out on `fip5i07`. The twelve transpositions of each set were written out on the left-hand side of the page, and their inversions on the right-hand side. The page is annotated to indicate relationships between the rows, and the shorthand summary of the tetrachordal and hexachordal relationships in the second set complex that Banks worked out at the top of `f2p6i07/III`^{r} is repeated here (figure 9.15).

9.3.3 Set 3

Banks's justification for deriving yet another row form, for use only in the second movement, was that he "wanted to use the closer knit group of in-

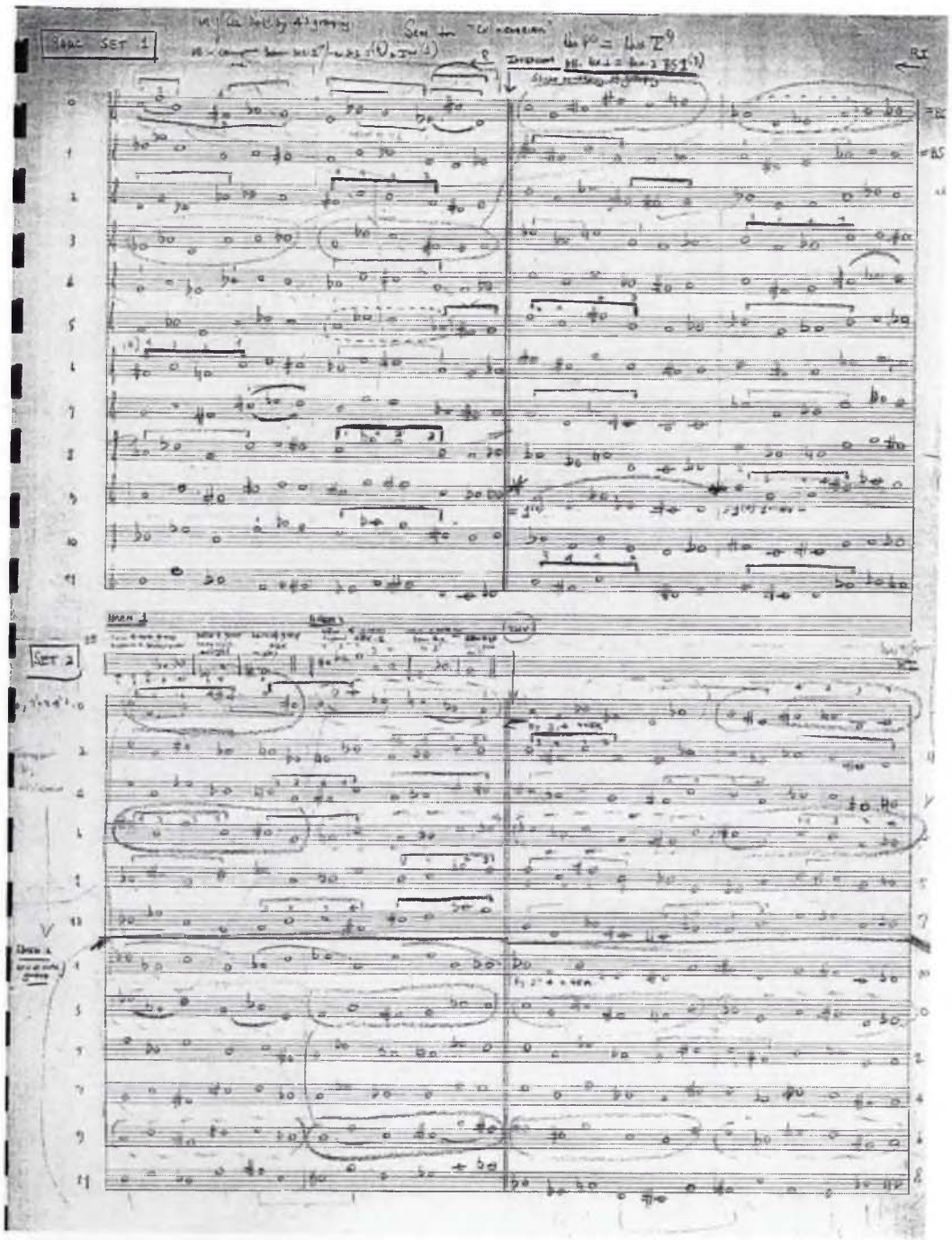


Figure 9.15: Set complex for sets 1 and 2 (`f1p5i07`).

tervals found in notes 4, 5, 6 of [the] original row ..."[11] Banks used the second trichord of the first row, ([0,1,2]), to generate the new row shown in figure 9.16.

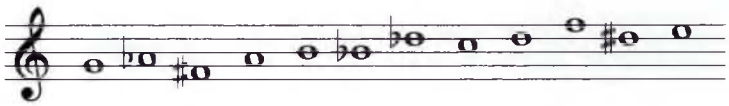


Figure 9.16: *Sonata da Camera*, set 3.

There are only two sketch items, `f2p6i07/I`^{r} and `I`^{v}, that illustrate aspects of the construction and the analysis of the characteristics of this third row. The second of these, `f2p6i07/I`^{v}, has three row forms written out at the top of the page, labelled as sets 1 to 3 (figure 9.17). The first two trichords of set 1 are labelled 'a' and 'b', and these are in turn referred to as 'generator a', at the beginning of set 2, and 'generator b', at the beginning of set 3.[12] But the row form labelled as "set 3" is not the final version of this row.

In constructing the third row, Banks was not only looking for a row form whose trichords are characterised by the smallest possible intervals, but whose tetrachords and hexachords are as well.[13] This row labelled 'set 3' on this page has a wide interval (six semitones) between the first and second, and the third and fourth trichords, which Banks attempted to eliminate in the three smaller row form sketches underneath this first one. In the (incomplete) sketch on the next stave down, for example, Banks swapped the position of the second and third trichords, which resulted in chromatic

[11]Sonata da Camera notes, `f2p7i04`, Don Banks Collection.
[12]Note that pitch elements 7 and 8 of set 2 are written in reverse order here.
[13]Sonata da Camera notes, `f2p7i04`, Don Banks Collection.

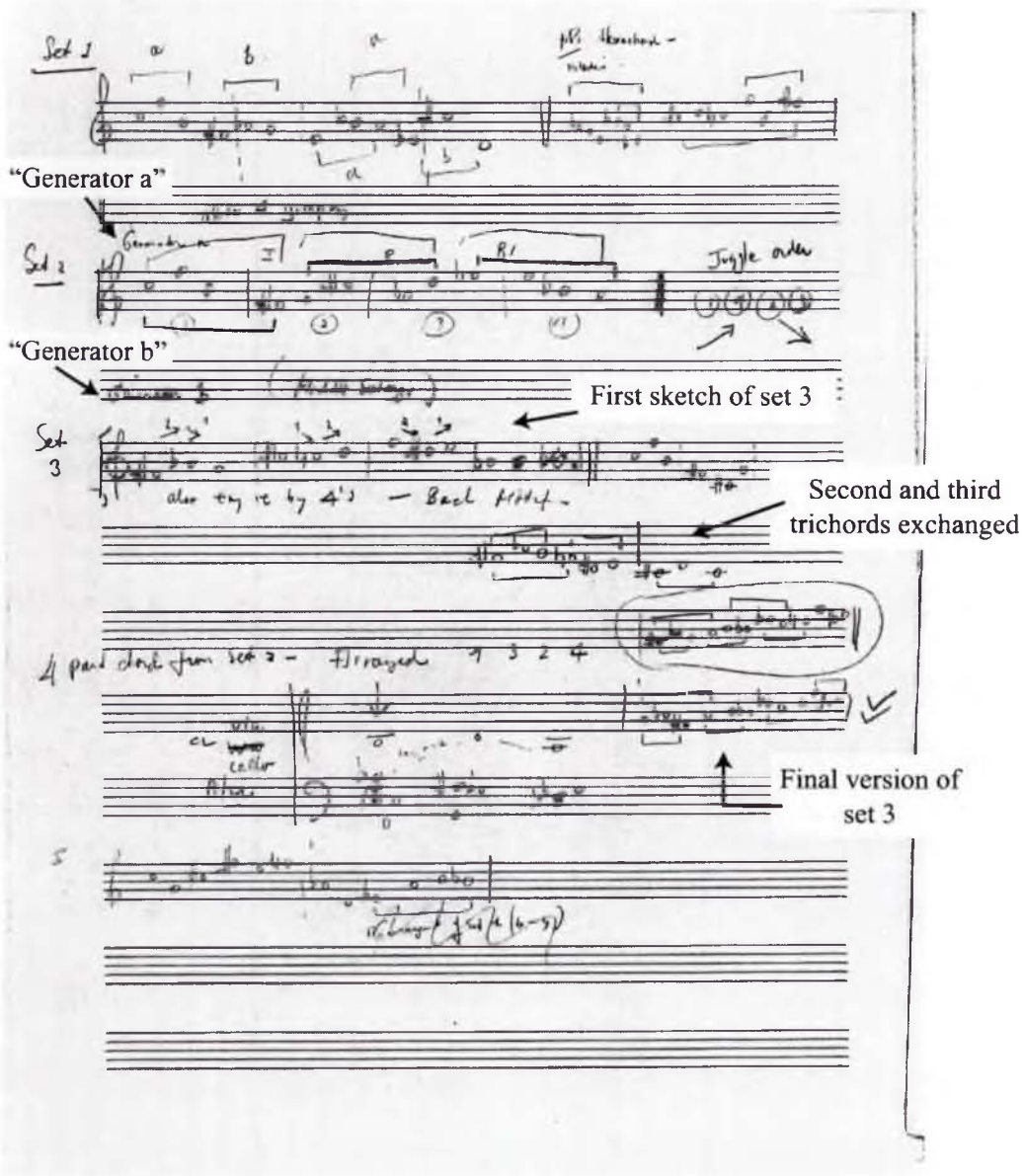


Figure 9.17: Item `f2p6i07/I`^{v}.

trichords, tetrachords, and hexachords.

But the first sketch of set 3 shows that there were other factors in its construction. Like the construction of set 2, Banks was evidently looking for

symmetry in the construction of his two derived row forms. This is indicated on the first sketch of set 3 on this page by the arrows and the interval-class numbers above the first three trichords. The annotations show that the third trichord is related to the first by a reversal of the intervallic direction between the three pitches, but the magnitude of the intervals remain in the same sequence. In the second trichord the magnitude of the intervals are reversed, but their direction remains the same. Although not annotated, the last trichord completes the pattern established by the first three.

Banks re-worked the row form three times on this page, and the third one, given a double 'tick' in the right-hand margin, is the row form that he finally settled upon. This final version satisfies his requirements by being constructed with chromatic trichords, tetrachords and hexachords, as well having an intervallic symmetry among the constituent trichords. It has the added feature that the interval class between the last pitch and first pitch of successive trichords is consistently three semitones—a characteristic that none of the other versions have. Furthermore, this row includes the additional interval of a minor third within each tetrachord, giving variety to the otherwise monotonous predominance of tones and semitones while maintaining the chromatic saturation of each of the three-, four-, and six-note groups.

This results in the design illustrated in figure 9.18.

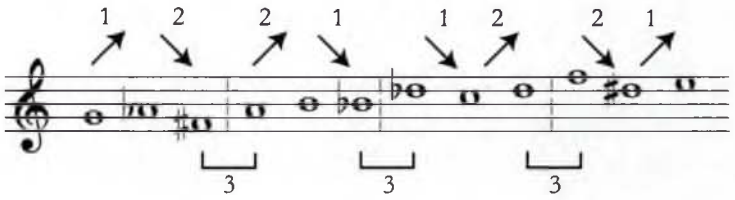


Figure 9.18: The design of set 3.

9.3.4 Harmony

The second group of pre-compositional, or 'abstract' sketches (sketches not directly related to the composition of the musical surface) are those that are concerned with the construction of chords and harmonies—with the vertical arrangement of pitches, rather than their linear organisation.

The sketches for the *Sonata da Camera* show that Banks approached the relationship between the linear nature of the twelve-tone rows that he used and the vertical construction of chords and chord progressions in several different ways—all of which involve some degree of fragmentation of the linear order of the rows.

The sketch at the bottom of `f2p6i07/I`^{v} (figure 9.17, reproduced in figure 9.19) offers an example of the way Banks was prepared to break the ordered sequence of pitches by rearranging the order of the four trichords in set 2. The comment above the sketch, "4 part chord from set 2—arranged 1 3 2 4", means that the order of the second and third trichords were reversed, and the pitches were used in this re-ordered sequence to construct the three four-part chords in the manner shown in figure 9.19.

The second example, taken from the top of `f2p6i07/III`^{v}, shows another way in which Banks was prepared to fragment the given order of the row forms. In this case, Banks rotated the first two pitch classes of set 2 to the end of the row, thereby splitting the first tetrachord into two parts. Once done, Banks used this new pitch sequence to write three four-part chords (figure 9.20).

A third example, taken from the same sketch (`f2p6i07/III`^{v}), illustrates the construction of a series of four three-part chords from set 1 (figure 9.21).

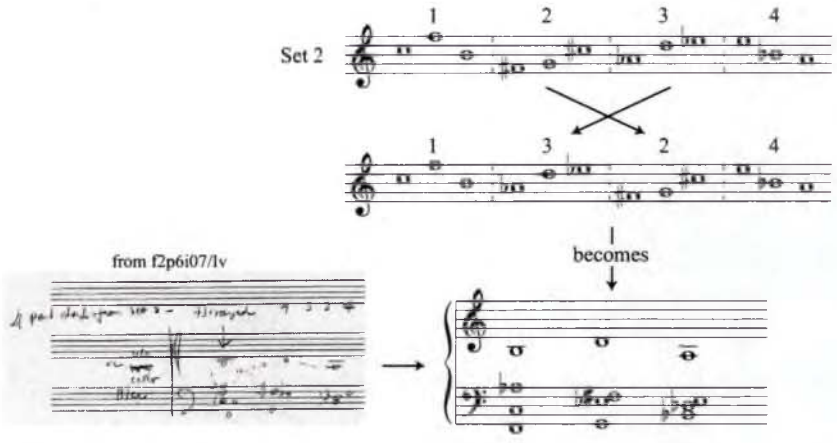


Figure 9.19: The construction of four-note chords [f2p6i07/Iv].

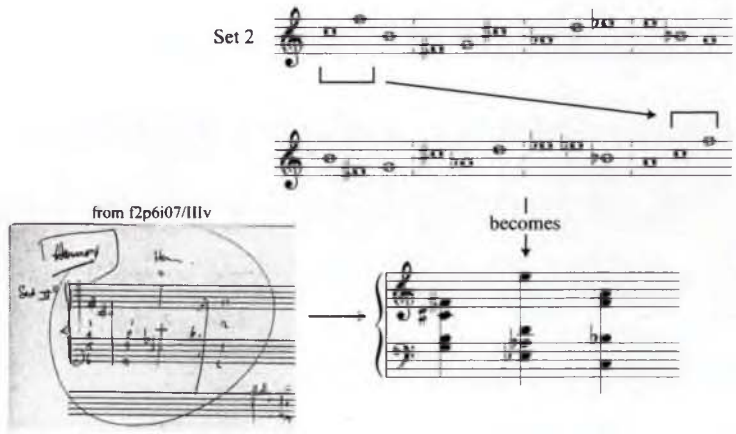


Figure 9.20: The construction of four-note chords [f2p6i07/III^{v}].

This time the ordered sequence of pitches were used to create each of the three lines of the texture from top to bottom: the first tetrachord states the top line, the second states the middle line, and the third states the bottom line.

In the figure 9.22, the first tetrachord of the row states the top line of the texture, with the pitches stated in reverse order, and the lower two lines were completed by splitting the remaining two tetrachords into four dyads,

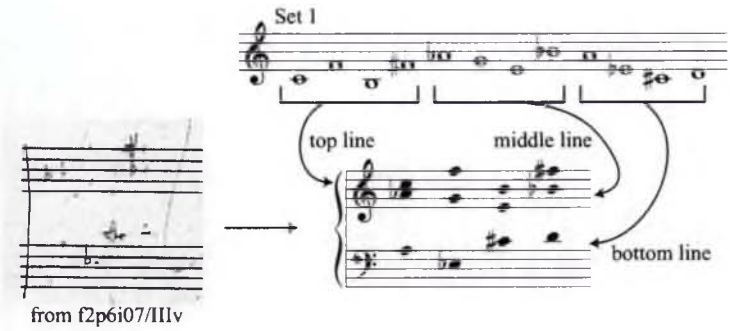


Figure 9.21: The construction of three-note chords [f2p6i07/III^{v}].

and using them to complete the chords.

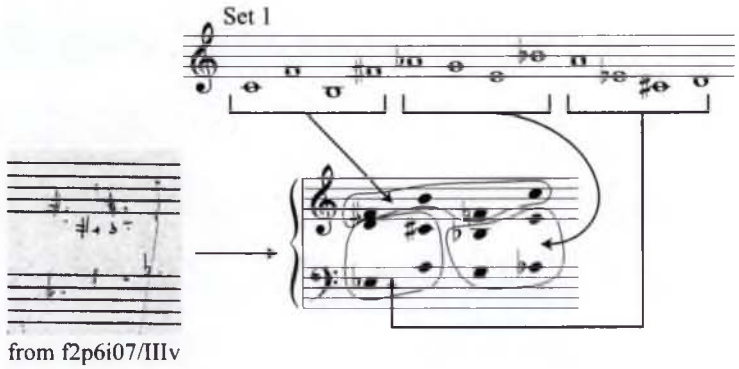


Figure 9.22: The construction of three-note chords [f2p6i07/III^{v}].

The sketches at the bottom of f2p6i07/III^{v} show that Banks experimented systematically with the internal ordering of the pitch materials within each tetrachord or trichord in order to find the sounds that he wanted. For each sketch shown in figure 9.23 the top line remains constant, as does the ordering of tetrachords from bottom to top, but the ordering of pitches within the tetrachords was varied. Once again this is an example of Seiber's influence, where all of the possibilities were explored in a systematic manner.

These sketches of chord successions illustrate Banks's conception of the

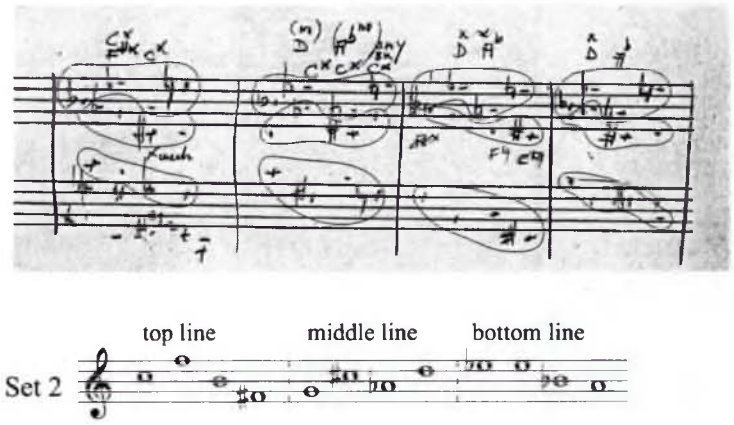


Figure 9.23: Sketches at the bottom of item `f2p6i07/III`^{v}.

twelve-tone row on two levels: the aggregate, constructed of trichords and tetrachords primarily, which in turn provide a reservoir of specific pitches. The tetrachords and trichords may be freely permuted within the boundaries of the aggregate overall, and the individual pitch classes may, in turn, be freely permuted within the boundaries of their parent tetrachord or trichord.

9.3.5 Rhythmic cells

The last category of pre-compositional sketches concerns the permutations and variations of a rhythmic idea that Banks used in certain places within the music.[14] There are three sets of sketches that systematically explore the various permutations of the rhythmic cell. The first of these are located in the middle of a notebook in `b4f32` of the Banks archive, well away from the rest of the sketch material. The first of these notebook pages is shown in figure 9.24.

[14] Although I have not discussed Banks's rhythmic techniques in the other compositions that have been studied in this thesis, I do so briefly here only because the sketches for the *Sonata da Camera* draw attention to these specific rhythmic ideas so prominently.

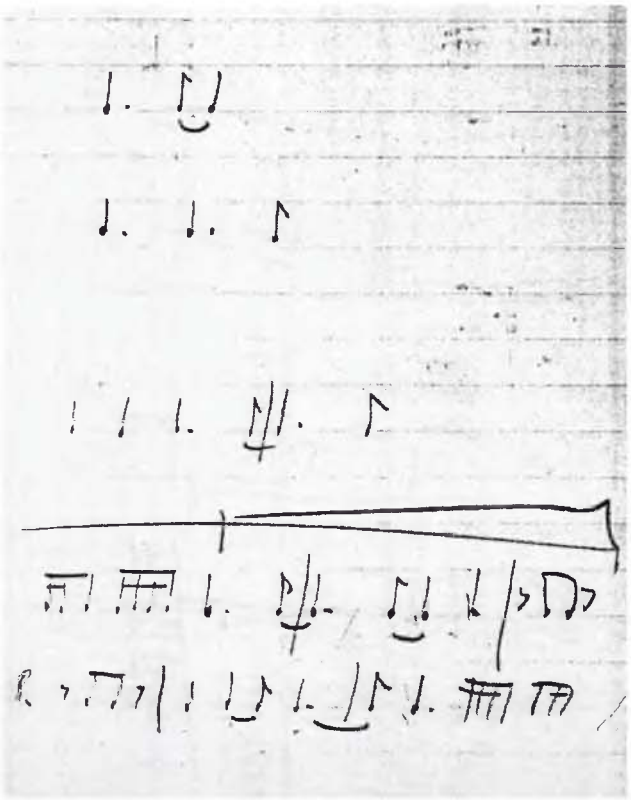


Figure 9.24: Rhythmic ideas sketched in a notebook held in `b4f32`.

The first rhythmic unit sketched on these pages (♩. ♪♩) is extended in the subsequent three sketches on this page in the manner illustrated in figure 9.25.

The bracketed section of the diagram is what Banks referred to in his analysis as the "rhythmic cell" that he used in various ways throughout the music.

One such permutation, the retrograde of the rhythm, was written out at the bottom of the sketch shown in figure 9.24, and then copied out again at the top of the next page with the bar lines aligned. The juxtaposition of the prime and retrograde forms were then combined to form a composite

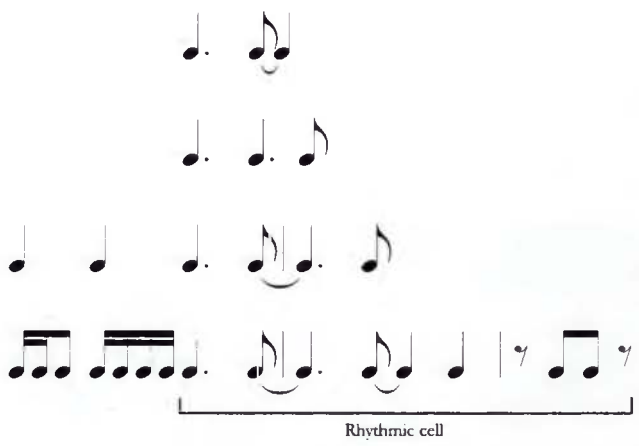


Figure 9.25: Sketches from notebook in `b4f32`.

rhythm. Accents were added when an attack occurs in the same place in both the prime and retrograde forms (figure 9.26).

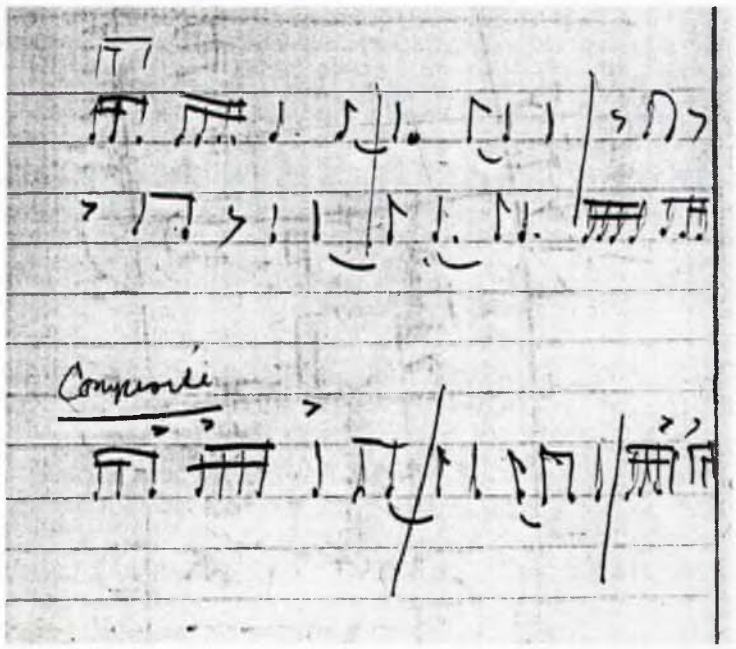


Figure 9.26: Sketch of a composition rhythm [`b4f32`].

On the following page of the notebook, Banks combined two pairs of the

prime and retrograde forms of the rhythmic cell, where one pair is offset from the other by five semiquavers, to form a complex four-part rhythmic texture (figure 9.27).

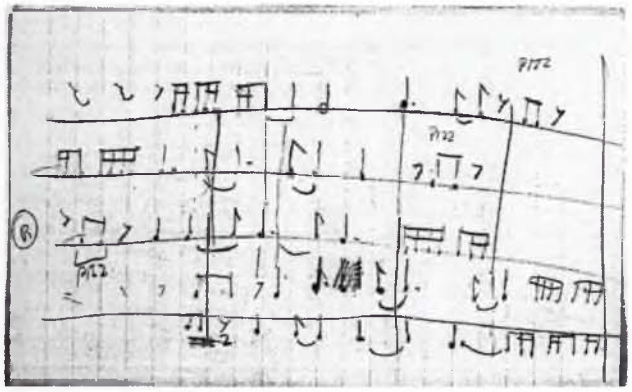


Figure 9.27: Sketch of complex rhythmic texture [b4f32].

These rhythmic ideas were sketched very roughly on the pages of this notebook, but they were written out in a much neater and more systematic way on item f6p12i15/I^{r}, and Banks experimented further with various combinations and permutations of the cell on f15p1 (figure 9.28). Here he combined the prime and retrograde forms of the cell (indicated with the letters 'O' and 'R') in the five possible combinations of 'O + R', 'R + O', 'O + O', and 'R + R', where the second of the pairs are offset from (in canon with) the first. He then wrote out the composite rhythm of each pair.

9.4 Compositional sketches

The sketch map of the first movement reveals not only a direct relationship between the sectional structure of the movement, as discussed earlier, but also a relative consistency in the density of sketches for the different sections. No

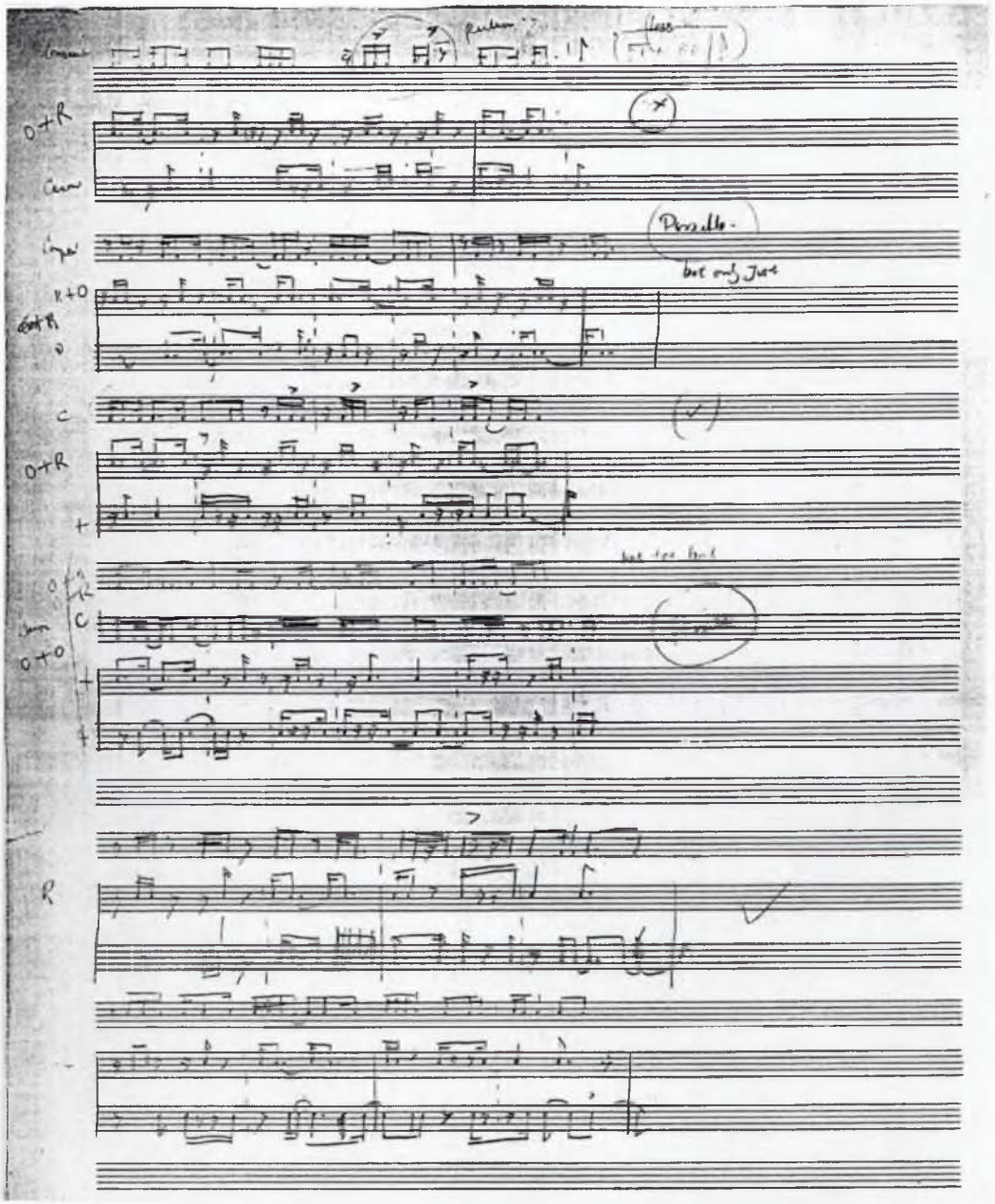


Figure 9.28: Sketches of rhythmic ideas on item `f15p1`.

part of the movement is sketched more than three times, and several sections are sketched only once before being committed to the final short score.

9.4.1 The introductory section

Banks's compositional method, illustrated in previous chapters, was to start with concrete musical ideas, and to compose from the beginning of the composition, starting with an introductory section that states his ideas, and to continue linearly to the end of the piece. *Sonata da Camera* is no exception.

Item `f2p6i07/II`^{r}

Sketch `f2p6i07/II`^{r} is the earliest sketch of the opening few bars of the first movement, and most of the material on this item was retained through to the final version of the music. The only substantial alteration that was made on subsequent sketches occurs in bars 1 and 2, which were revised and extended to become bars 1–4 of the final version.

Set 1 is clearly identified as the source of pitch material for the first two bars of the sketch, which build up a six-part chord over the C pedal note held by the timpani. The chord simply states the ordered succession of pitch classes in the first hexachord of set 1, followed by an accented semiquaver figure that completes the statement of the row.

The cello idea that follows in bars 3–4 was, Banks wrote, his initial musical idea for the composition, and, like the initial ideas with which he started composing many of his other pieces, this cello motive remains essentially unaltered in all of the sketches of the composition (except for the change in metre from $\frac{3}{4}$ on this sketch to $\frac{4}{4}$ in the final version). Its pitches begin a statement of set 2, which is then completed by the material that follows it in bars 5–6 of the sketch. This material also remains unaltered, with the exception that the rhythm of the rising triplet figure in bar 6 of the sketch

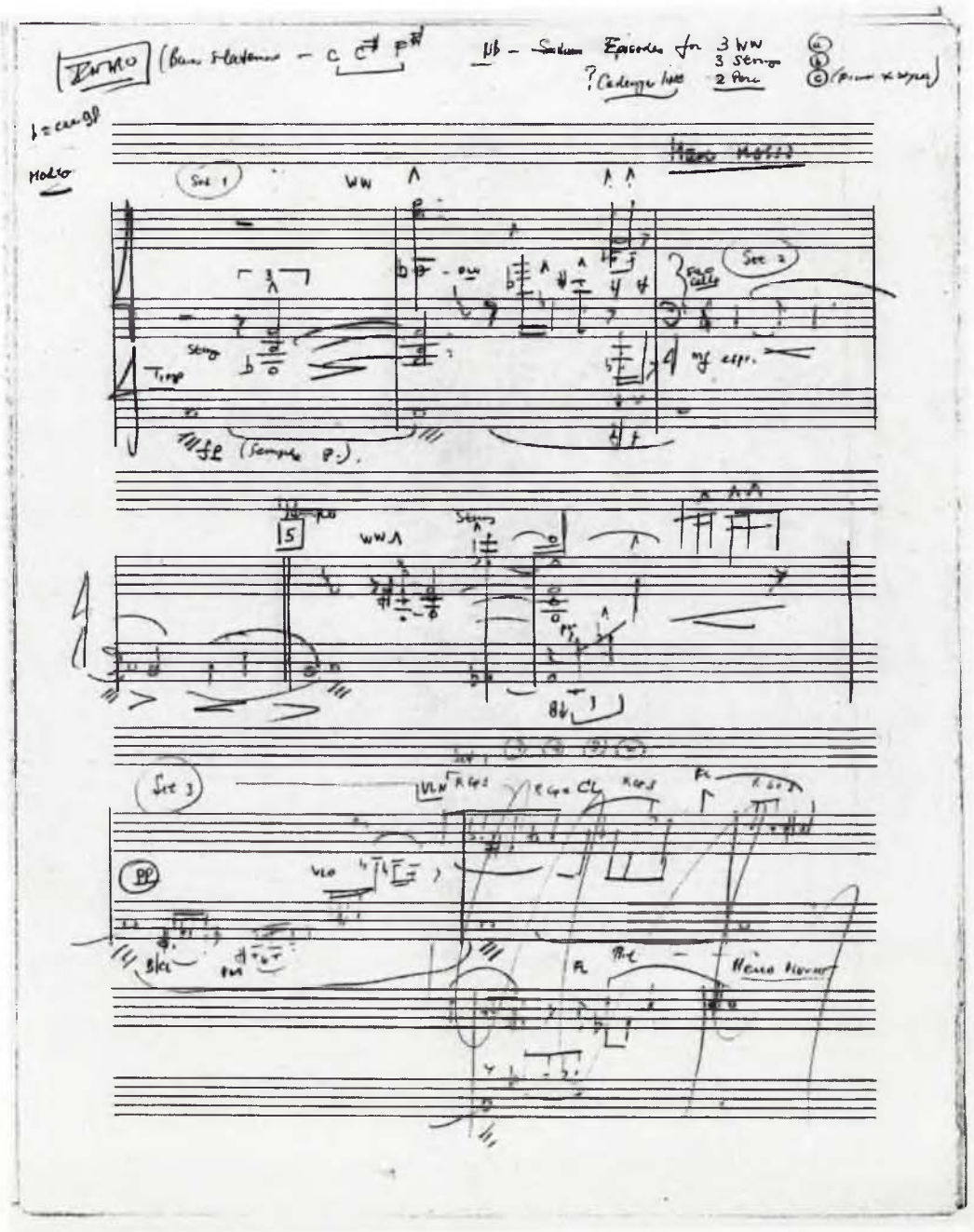


Figure 9.29: Item `f2p6i07/II`^{r}.

was subsequently altered.

The small annotation above the last bar of the sketch is indicative of

the way Banks thought of his twelve-tone rows as reservoirs of trichords and tetrachords. The annotation says "Set 3 ①④③② ", indicating a permutation of the ordering of the trichords of set 3. The melodic line that was sketched here conforms to this reordering of the trichords, and the order of the pitch classes within each trichord was also reversed in accordance with the annotations written above the stave, "R Gp 1" (retrograde of group 1), and so on. This melodic fragment was then reworked directly underneath the stave by retaining the same pitch material and their trichordal groupings, but by overlapping the first three groups of pitches and augmenting the rhythm of the last group, thereby converting a melodic idea into a textural idea, one that becomes a characteristic feature of the texture of the movement (figure 9.30).

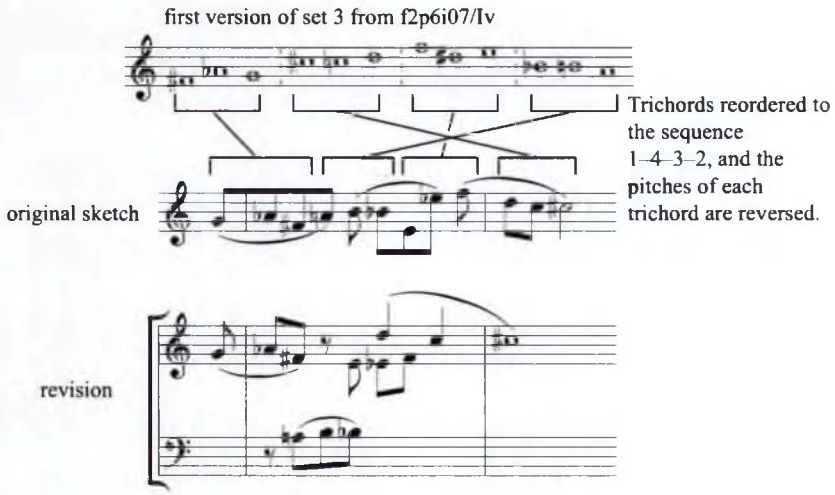


Figure 9.30: The revision of the last bar of item `f2p6i07/II`^{r}.

So despite the fact that the last bar of the last system was altered, the material in this system was also retained in its general form through to the final version of the movement. However, the statement of set 3 that occurs

at this point is not the set 3 that was eventually adopted for the final version of the composition; here set 3 is the set that was written out on `f2p6i07/I`^{v}, discussed above (figure 9.17), before it was reworked.

This sketch therefore shows that sets 1 and 2 were established very early in the compositional process since they had to have been worked out before this sketch could have been made, but set 3 was yet to be finalised.

Item `f1p5i06/I`^{v}

The earliest sketch of the rest of this introductory section is found on the bottom half of `f1p5i06/I`^{v}, and it, too, is very similar to the final version.

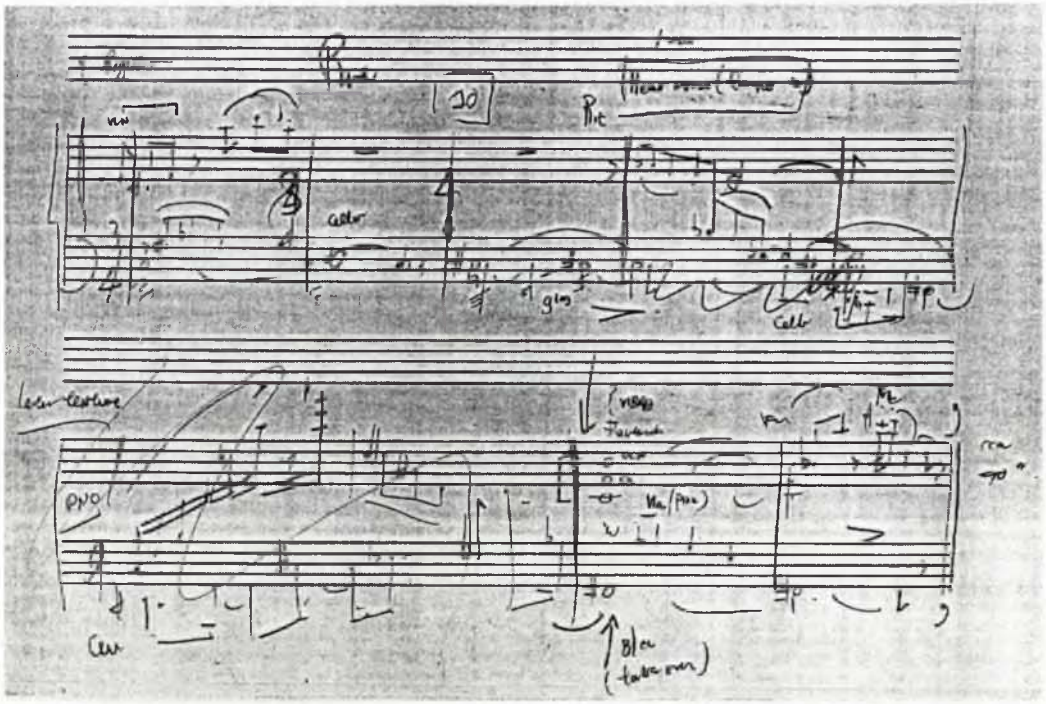


Figure 9.31: Item `f1p5i06/I`^{v}.

The start of the sketch continues on from `f2p6i07/II`^{r} by reworking for a second time the last bar on `f2p6i07/II`^{r}. The original, unrevised

form of set 3 is retained as the source of pitch material, but the trichordal sequence is again altered, this time to 3–1–4–2, and the internal ordering of the pitch content of all but the first trichord of the set (F♯–B♭–A) is stated in retrograde. The rhythmic augmentation of the final trichord (now played by the cello) is further extended and combined with the semitone *glissando* of the timpani to be clearly recognisable as bars 12–13 of the final version.

The sketch continues to the end of the introductory section (bar 17 of the final version), and its content matches bars 14–17 of the final version in all but minor details.

The quaver line in bars 11–12 of the sketch (bars 14–15 of the final version, played by the clarinets and cello) states the T_0 form of set 1 but this time the tetrachords are reordered such that the first is stated last, in the sequence 2–3–1. This reordering of the set allows for the F♯, played by the cello across bars 12–14 of the sketch, to be held in common with the next statement of set 1 that begins with the vibraphone chord in bar 13.

The double bar lines and the comma at the end of the sketch indicate the end of the introductory section, and the viola's rhythmically augmented, pizzicato reiteration of the descending quavers played by the clarinet two bars earlier, combined with the sustained notes in the cello and bass clarinet, effectively signify its closure.

Items `f6p12i04/I`^{v} and `f6p12i04/II`^{r}

These sketches of the introductory section were consolidated onto sketch `f6p12i04/I`^{v}. All of the material found on this sketch was previously worked out on items `f2p6i07/II`^{r} and `f1p5i06/I`^{v}, with the small exceptions of the

ordering of the pitches in the first trichord of the first statement of set 3 in the seventh bar of the sketch, and of the registral placement of the overlapping quaver figures in the tenth bar.

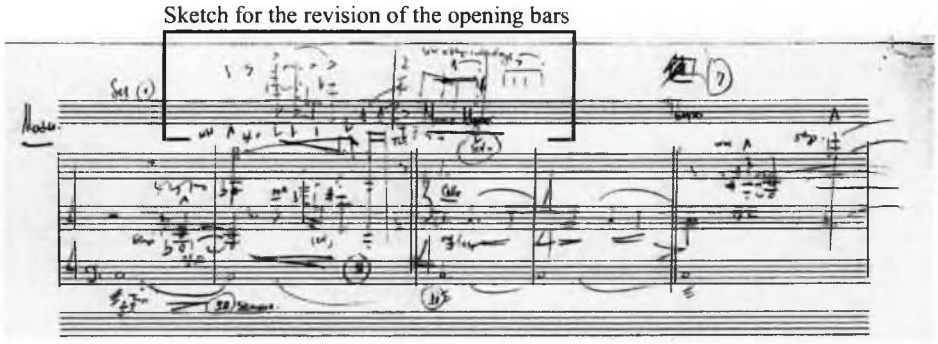


Figure 9.32: Item `f6p12i04/I`^{v}.

Above the top system of the this page (figure 9.32), Banks sketched in the revisions of the first two bars that bring the beginning of the piece into accord with the final version of the score.

Banks sketched the revision of these opening bars on item `f6p12i04/II`^{r} (figure 9.33). Here the two bars that originally began the piece were reworked and extended to four bars. The piano chord present in the final version in bar 4 is not notated on this sketch but the annotation at the top of the stave marks the place where it is to appear. The cello motive, stating the pitches C–F–B was written across a $\frac{3}{4}$ bar and a $\frac{4}{4}$ bar on this sketch, but the annotation above the stave shows the revision—the alternative notation—that removes the $\frac{3}{4}$ metre. With these two revisions bars 1–6 were finalised.

On the next system of the sketch the overlapping figures in bars 10–11 of the final version were also revised and finalised. Prior to this sketch this material comprised only one statement of set 3, with each trichordal group

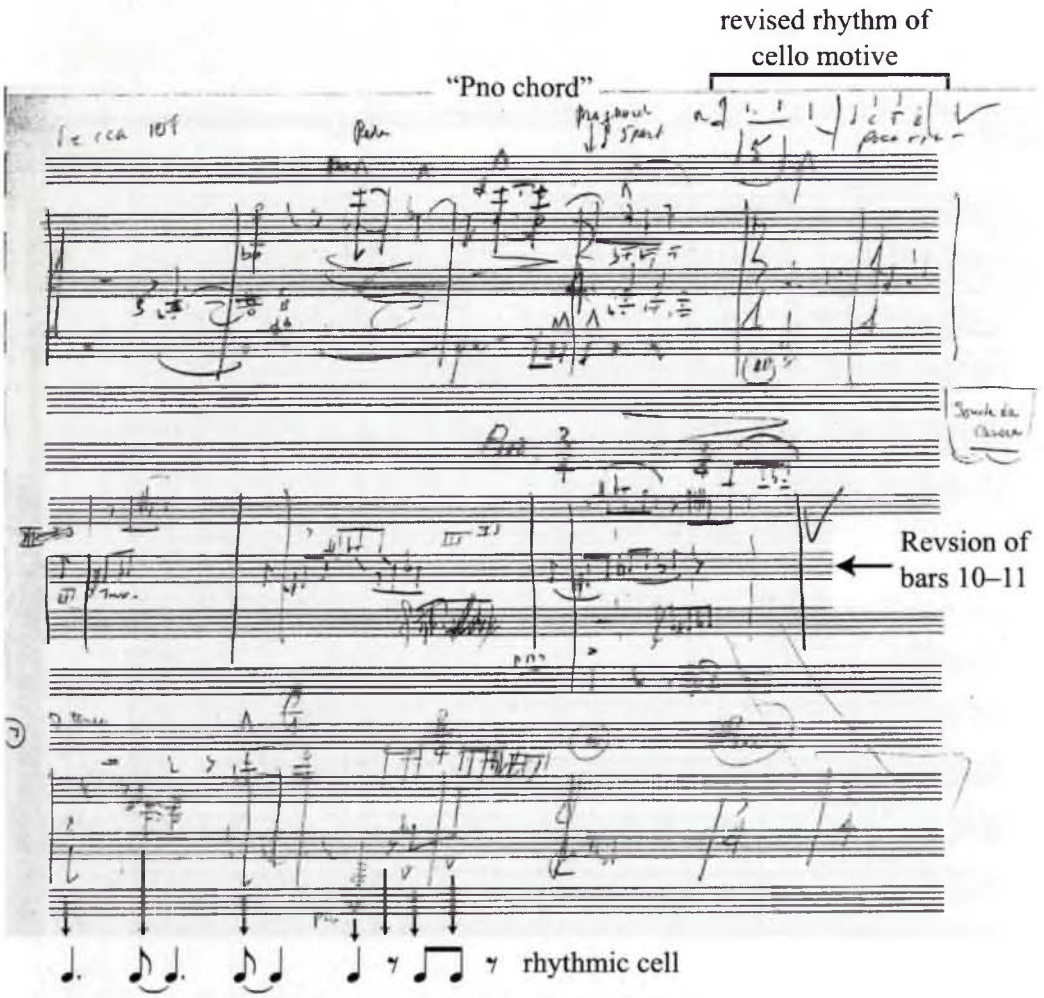


Figure 9.33: Item `f6p12i04/II`^{r}.

overlapping the next by one quaver (see figure 9.30). On this sketch the idea was extended to comprise two statements of set 3, in which each trichord now overlaps the next by two quavers, and the last trichord of the second set plays the D–C–D♭ figure in bars 12–13 of the final version, accompanied only by the timpani. Banks indicated his satisfaction with this revision with the large 'tick' symbols on the sketch next to the working out of this material.

Lastly, on the third system of this sketch Banks also altered the rhythm

of the material in bars 7–8—although the shifting metre ($\frac{4}{4}$–$\frac{3}{4}$–$\frac{2}{4}$) is smoothed out to a constant $\frac{4}{4}$ in the final version. This new rhythm is where Banks's 'rhythmic cell' appears for the first time in the movement.

9.4.2 The beginning of the *allegro moderato* section

Items `f1p5i06/I`^{v} and `f6p12i04/I`^{v}

At the top of item `f1p5i06/I`^{v} Banks sketched the first few bars of the *allegro moderato*, the section that follows from the introductory section (figure 9.34).

Once again the ideas that Banks wrote out on this sketch were retained through to the final version. The one revision that was made to this sketch was written out on the bottom of item `f6p12i04/I`^{v}, which consisted of using a different row from the second to the third bars of the sketch, and the intention of making this revision was indicated by the annotation above the stave (shown in figure 9.34).

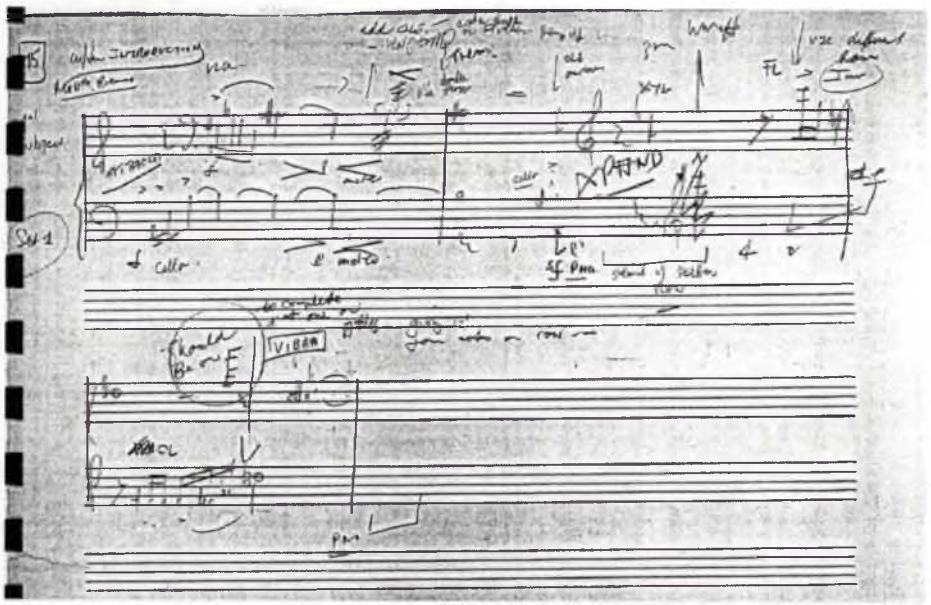
Item `f6p12i05/II`^{r}

Banks sketched the five bars that immediately follow (bars 23–27) on item `f6p12i05/II`^{r} (figure 9.35).

The first system of this page is a sketch of the material in bar 23 of the final version. The sketch indicates the intended texture—the familiar, overlapping trichords—and the three lines that were sketched are clearly the same as the final version (figure 9.36).

On the the second system of the page Banks sketched the same material again and extended it with the addition of the bass line, which, on the final version appears as the retrograde of that written on this sketch. The intention

(a) from f1p5i06/Iv



(b) from f6p12i04/Iv

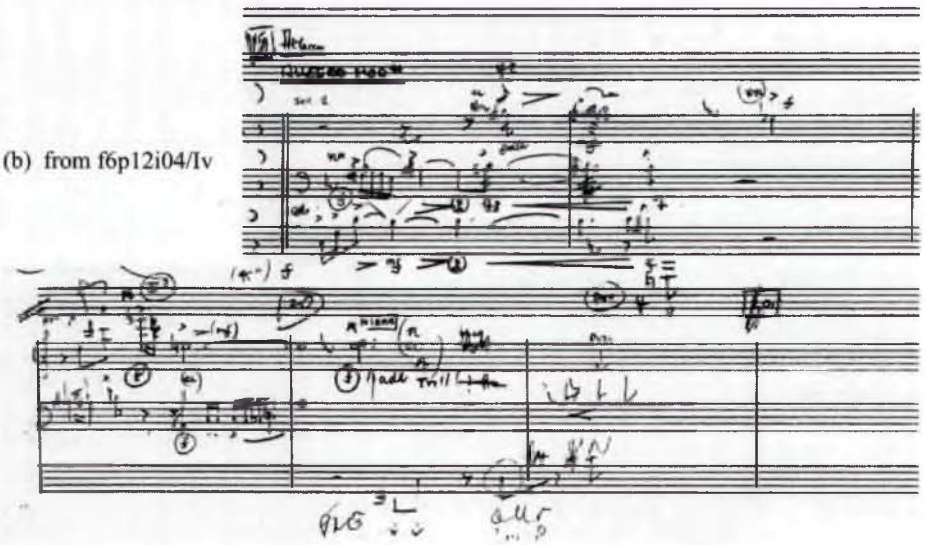


Figure 9.34: (a) Sketch of the beginning of the *allegro moderato* section at the top of item `f1p5i06/I`^{v}; (b) The neatly written out revision of these bars at the bottom of item `f6p12i04/I`^{v}.

to reverse this line is indicated on this sketch by the annotation "start here" at the end of sketch fragment.

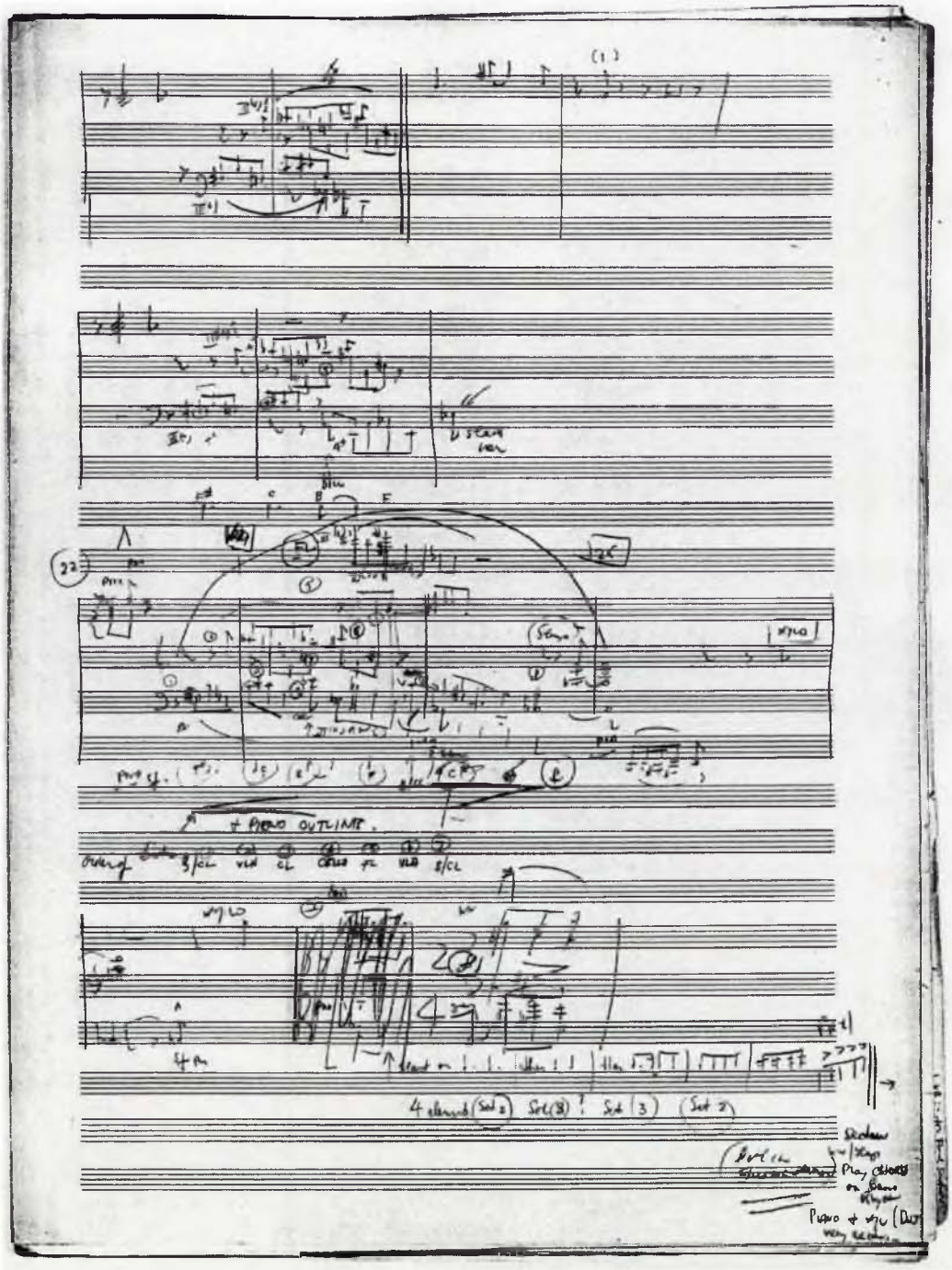


Figure 9.35: Item `f6p12i05/II`^{r}.

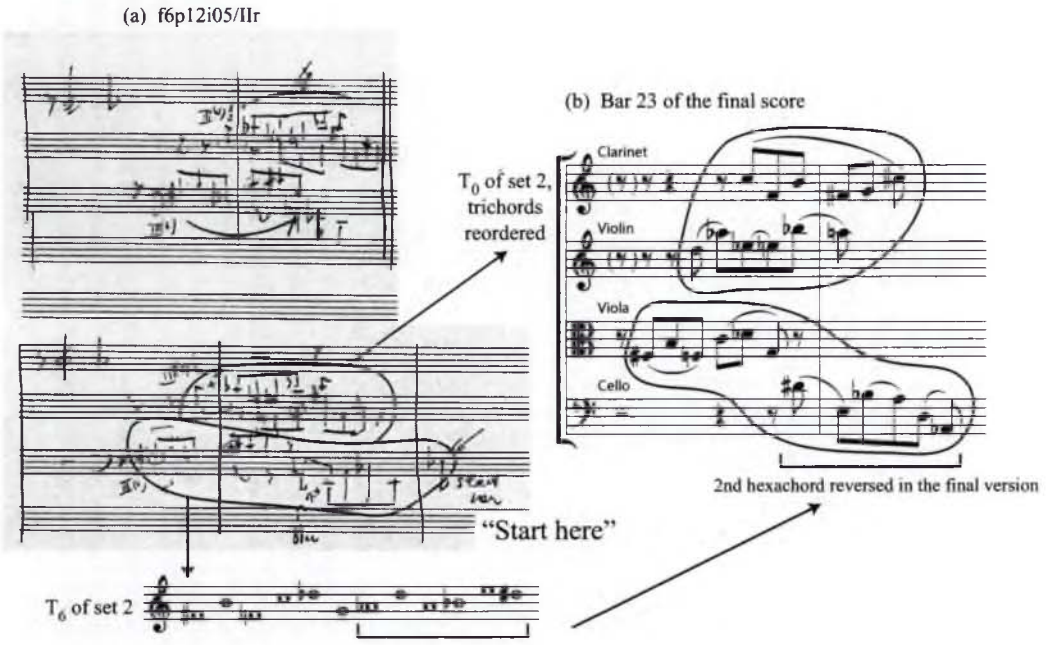


Figure 9.36: (a) Sketch of bar 23 on the top system of item `f6p12i05/II`^{r}; (b) Bar 23 of the final score.

On the third system of the page Banks completed the composition of the material in bar 23 and extended it to the end of bar 27. Underneath the sketch Banks notated the beginning of the rhythmic cell that he included as a motivic feature of this piece, with the pitch names of the notes circled, and labelled "pno" (piano). These pitch names correspond to the pitches that were circled on the sketch, which suggests that he intended to use the piano to emphasise these pitches as a means of foregrounding the rhythmic cell within the texture of the music (figure 9.37).

Although the idea of foregrounding the rhythmic cell by the addition of the piano was abandoned in the final version of the score, it illustrates that the manner in which Banks intended to use the cell was not integrated into the composition from the beginning—as the sketches on this page alone

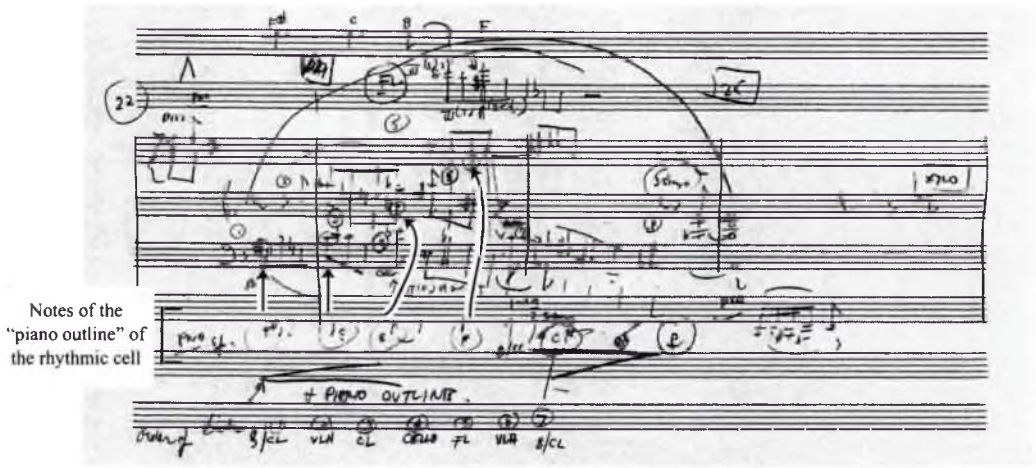


Figure 9.37: (a) The sketch on the third system of item `f6p12i05/II`^{r}.

indicate. Rather, it was *added* or superimposed onto the surface of the music where possible. Another example of this has already been pointed out in the composition of the introductory section: item `f6p12i04/II`^{r}, shown in figure 9.33, illustrates the revision to the rhythm of bars 7–8 in order to make the composite rhythm of the already-composed material in these bars state the rhythmic cell.

However, Banks did make the composite rhythm of bars 26–27 state the cell, and these bars end the first subsection of the *allegro moderato* (figure 9.38). But the sense of arrival at a structural point is not the effect of the rhythmic cell alone, but it is the effect of the restatement of the motivic idea that first occurred at the end of bar 4, whose rhythm, three quavers, coincides with the rhythm at the end of the cell.

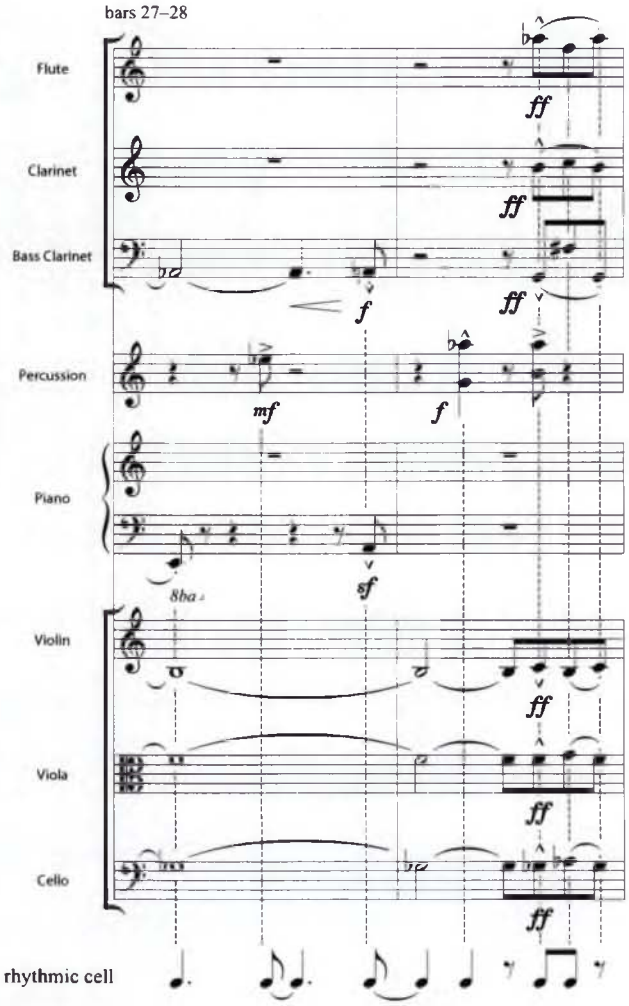


Figure 9.38: Rhythmic cell in bars 26–27.

Items f6p12i10/I^{v} and II^{r}

The remainder of this section, bars 28–45, is further divided into three subsections, bars 28–32, bars 33–39, and bars 40–45. All of this material was sketched on two pages, f6p12i10/I^{v}–II^{r}, in a form that is rough but within which the final version of the score can be discerned. The bar numbers that Banks wrote on these pages exactly match the corresponding bar numbers of

the final score, so allowing for the revision of the beginning of the piece, in which two extra bars were added, this material was therefore written after the preceding material had been composed. In this regard Banks's method of composing by working sequentially from the beginning of the piece to the end, on a section by section (subsection by subsection) basis remained consistent with the composition of this piece.

The first of these subsections, bars 28–32, includes a second statement of the rhythmic cell, articulated by the composite rhythm of bars 30–32, and the intention to use the cell in this way was indicated by the annotation at the top of the stave on item `f6p12i10/I`^{v} (figure 9.39).

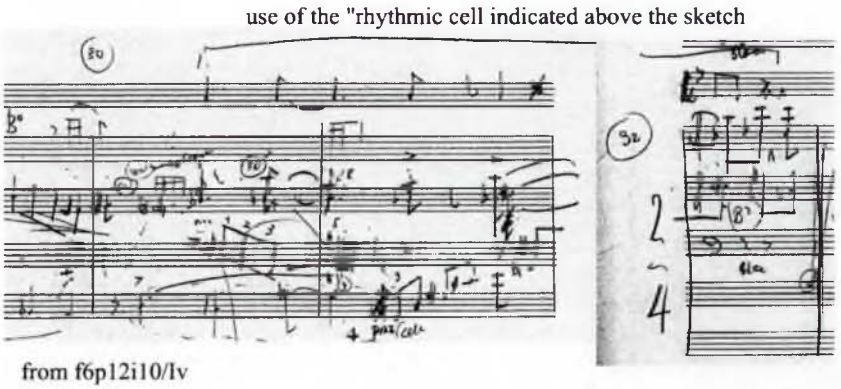


Figure 9.39: The sketch of bars 30–32 on item `f6p12i10/I`^{v}.

The next two subsections are both characterised by the textural idea of overlapping row segments, but all of the subsections of the *allegro moderato* consistently fragment the twelve-tone rows from which Banks derived his pitch material in ways that continue to reiterate the subordinate role that the rows have in Banks's compositional technique.

Banks described bars 40–44, for example, as a "complex section based

on the use of the tetrachord."[15] The texture of these bars is dominated by four-note semiquaver units that state these tetrachords, as well as four-note units of quavers, dotted quavers, and crotchets. The only sketch of these bars was made on `f6p12i10/II`^{r}, and it illustrates the composition of the material in three layers, in which each layer comprises successive statements of the same three sets of tetrachords (figure 9.40).

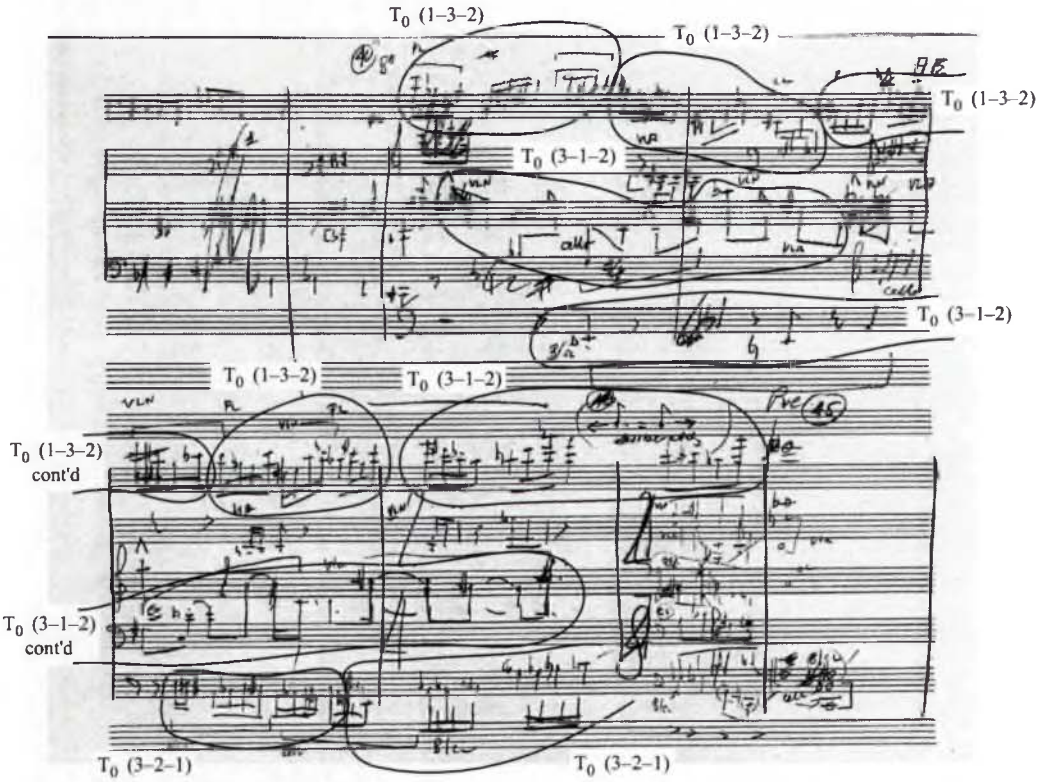


Figure 9.40: The sketch of bars 40–44 on item `f6p12i10/II`^{r}, illustrating the free ordering of tetrachords the three layers of the texture.

The row forms that are labelled on the diagram are based on the order of tetrachords, and not on the order of the pitch content of the row as a whole. Because half of the rows that constitute the set complex of this row

[15] Sonata da Camera notes, `f2p7i04`, Don Banks Collection.

form (set 2) are comprised of the same three tetrachords (in terms of pitch content) it makes little sense to distinguish between individual row forms, especially given that the internal pitch order of each tetrachord was used freely. Rather, these five bars might be better considered as a statement of Banks's first pitch 'area', where an 'area' is defined by an even distribution of the three tetrachords which comprise the 'area' (see discussion on page 303).

9.5 Conclusion

Banks required fewer sketches to compose the *Sonata da Camera* compared with his previous compositions, which indicates a greater degree of fluency as a composer as well as a better capacity to compose suitable ideas with which to begin the composition. The former point is indicated by the fact that Banks was able to complete entire sections on single continuous sketches, and the latter point is made evident by the fact that the beginning of the composition changes only minimally from the very first sketch to the final draft.

Once again the sectional, tripartite construction of the music assisted this fluency. It functioned not only as a means of creating coherence in the music but as a means by which to compose. Banks composed the movement by breaking it into smaller sections and subsections and then piecing the material together as as contiguous subsections. Unlike the composition of the first version of the *Three Studies*, which was also a contiguous arrangement of sections, Banks was now able to ensure the motion from one section to the next was musically congruent.

For this composition Banks returned once again to the pre-compositional analysis of his twelve-tone materials, but again this work was kept at a distance from the composition of the surface of the music. The fact that the third row was not worked out until after Banks had begun composing, indicates that for Banks composition was still a process of discovery, and the static or otherwise abstract nature of determining such things as small-scale successions of chords in isolation could not be made to fit comfortably into that process. Instead, the pre-compositional work allowed Banks to find out how he could use the materials. To some extent this was also true in the composition of *Psalm 70*, but it is clearer in this composition, particularly in the way Banks freely fragmented his rows into smaller sets—trichords, tetrachords and hexachords. In the pre-compositional work that Banks did to find ways of determining harmonies and chords, what he was actually doing was finding ways of fragmenting the row forms to create textures, not harmonies, and these textural ideas became a significant and identifiable stylistic feature of the music, although, like his previous compositions, nothing that was tried in this pre-compositional phase was used verbatim in the finished music.

Banks's use of twelve-tone rows in the *Sonata da Camera* appears to be much more stable, much less fragmented, than his earlier attempts in *Psalm 70* or the *Three Studies*, but in fact his way of working with twelve-tone rows had not changed. Rather, his compositional fluency had increased to the extent that he did not need to rework and revise his material to the same extent as previously and so the succession of rows tended, in this composition, to remain relatively intact. The fragmentation of the rows in *Psalm 70* and the *Three Studies* resulted from the series of revisions and

alterations that successively compromised the integrity of the row forms, and this occurred less in the *Sonata da Camera* because there were fewer revisions of that type.

The exception is the deliberate fragmentation of the row into tetrachordal units, such as in bars 40–44 and elsewhere, and this deliberate fragmentation stands in contrast to Banks's attempt during the composition of the *Three Studies* to reconcile and 'de-fragment' the twelve-tone rows. This suggests that with the composition of the *Sonata da Camera* Banks accepted that he need not use twelve-tone materials in the same manner as Webern or Babbitt himself—they need not be a primary resource whose integrity must be maintained in order for his music to make sense. Banks's music is not, after all, about pitch in the same way that Babbitt's music is, but continues to be about the "atoms and cells" of the motivic material with which he worked.

Chapter 10

Conclusion

A subscriber to the taxonomic conception of an individual composer's style would assert that factors such as the fragmentation and otherwise idiosyncratic application of twelve-tone materials, or the repeated use of conventional formal types, or the meticulous use of articulation and expression indications are all factors of style because they are repeated features that are all observable at the surface of the music (on the finished product). This is certainly the case but, as Wollheim, Walton and others explain, it is to confuse the factors or products of style with style itself.

Style is about the way that an artist works, and more specifically, as Lamarque argued, it is about the *reasons* that an artist works in the way that he or she does in order to produce the outcomes that are recognisable as products of his or her individual style. In the case of Banks's music, therefore, it is not the fact that his music is characterised by fragmented twelve-tone materials, or the fact that he composed in conventional forms—it is the reasons that he worked in the ways that he did to produce these observable results that account for his individual style.

To that end, this thesis has shown how Banks wrote his music, and how, in turn, his way of composing was directly influenced by his studies with Seiber and Babbitt in particular.[1] To understand these influences, and to trace them through the subsequent development and refinement of his compositional practice, is to begin to understand *why* Banks wrote his music the way he did, and, therefore, to understand his individual compositional style.

[1] Although Banks also spent eight months as a private student of Luigi Dallapiccola, the influence that he exerted over Banks's compositional practice was of a different order to that of either Seiber or Babbitt. Dallipiccola influenced Banks's way of thinking about orchestration and timbre, and also sparked his interest in canonic and other similar musical processes, but he did not significantly influence the *way* in which Banks wrote his music.

To summarise:

Seiber's method of teaching composition was based on the analysis and imitation of the works of the canonical master composers, and Seiber rationalised this method by asserting that the art of composition must necessarily be grounded in the traditions and techniques developed by past composers, and which in turn must be studied and mastered. However, Seiber emphasised the study of specific composers from whom Banks could learn the art of motivic and thematic development and variation techniques—particularly in the music of Bach, Haydn, and Brahms. In Seiber's own terms, this was to learn the "essential" principles of manipulating the "atoms and cells" of the music. The emphasis that Seiber placed on motivic composition formed the foundation of Banks's musical style.

As part of the process of analysing and imitating the works of other composers, Banks composed his exercises utilising the formal models that his analyses provided. The clear example of this was shown in Banks's own diagram of his two-part invention in G minor, a diagram that was a clear imitation of his analyses of Bach's inventions. And the structure of the *Duo* is based on the formal conventions of Bach's models.

These two factors—the emphasis on motivic detail and the adoption of formal models—are directly attributable to Seiber's influence, and were two of the most important elements in the development of Banks's compositional style.

The third important element was the adoption of the technique of twelve-tone composition, which he studied with Milton Babbitt during the summer of 1952.

The theoretical papers that Babbitt published in the 1950s and early '60s show that his work during this time focussed on the study and the compositional application of invariant properties of ordered twelve-tone sets, and Banks's notes show that this was what he taught during the series of seminars that Banks attended. Banks saw the possibility of utilising invariant properties of rows as a means of integrating motivic ideas within the otherwise continually shifting pitch material of the twelve-tone environment. However, he was never completely able to fully integrate these two elements in his compositions because to do so would have required him to 'compose out' a detailed pre-compositional design in which a twelve-tone structure is integrated from the very beginning with his motivic ideas. Banks's method of composing denied this possibility because for him composition was about discovering and refining motivic elements and their internal relationships—a process that occurred as the composition progressed, not one that occurred before it began. That this was the case was amply demonstrated in Banks's first twelve-tone composition, *Psalm 70*.

Banks worked extensively on analysing and finding different ways of relating his twelve-tone rows and of generating three- and four-part chords and secondary row forms. But none of this material was directly applied to the actual composition of the music. The sketches for *Psalm 70* show that the integrity of this initial melodic idea, with its single-note accompaniment, was given priority over the systematic organisation of twelve-tone row forms. For Banks these two aspects of his compositional material were conceptually distinct, and this resulted in the integrity of his twelve-tone rows being compromised beyond the point where they could be understood in any

meaningful way at the surface level of the music. It is clear, however, that Banks wanted to keep his twelve-tone rows intact because he attempted to 'de-fragment' them toward the end of the compositional process, and reconcile them with the motivic/thematic surface of the music. But ultimately the way in which Banks composed excluded the possibility of making the twelve-tone materials and the motivic (surface) ideas equal and integral elements of the process.

In terms of form, Banks avoided the problem of formal coherence in the composition of *Psalm 70* by relying on the versified text of the psalm to determine the structure of the music. Consequently it was not until he was working on his *Three Studies for Violoncello and Piano* that Banks was forced to learn that musical form is more than a sectional map of the music, but that it also accounts for, and explains, the ways in which the musical materials relate to each other as a form of discourse.

Banks attempted to construct an original sectional design for the *Three Studies* in which each section was to be characterised by distinct and separate motivic or thematic ideas, but he was forced to abandon it because the relationship between the many different ideas that Banks wanted to include was not able to be explained by the discontinuity of the section-to-section structure. This was an important lesson for Banks, and he adopted instead the conventional tripartite A–B–A′ formal model. He was able to compose successfully within this formal template because it provided both a sectional structure as well a discursive one that explained how the motivic elements relate to each other in terms of the variation and development paradigm that Seiber had encouraged. Banks continued to use this tripartite formula in all

of his concert music compositions until the early 1960s.

The application of twelve-tone principles to the *Three Studies* was similar to that of *Psalm 70*, in that he maintained a conceptual distinction between them and the surface characteristics of the music, but for the *Three Studies* Banks did not attempt any pre-compositional analysis of the twelve-tone materials, or attempt to construct secondary rows. However, this piece shows that Banks adopted a more successful way of dealing with the construction of chords from twelve-tone rows. In the sketches for *Psalm 70* Banks tried all manner of ways to create chords by fragmenting and recombining twelve-tone rows, all of which amounted to a process of trial and error that is suggested by the fact that Banks ticked the ones that he liked and frequently crossed out the others. For the composition of the *Three Studies*, however, Banks simply constructed chords that were members of the same set class, or group of set classes, that he wanted to use. This then allowed him to utilise particular chords as motivic material in the music. Banks continued to use this technique for controlling harmony in both *Pezzo Dramatico* and the *Sonata da Camera*.

The composition of *Pezzo Dramatico* marks a significant point in the development of Banks's compositional style because it exhibits the strongest level of integration between motivic material, twelve-tone rows, and the (discursive) continuity of the music. However, as argued in chapter 9, this was the consequence of the intervallic characteristics of the motivic ideas that Banks used, and not the result of a significant change in the methods or techniques that Banks used to compose his music. And as the composition of the *Sonata da Camera* illustrated, the same level of integration was not

maintained in this subsequent composition.

With the composition of the *Sonata da Camera* Banks again returned to a pre-compositional study of the twelve-tone materials, but once again this pre-compositional work did not directly relate to the surface of the composition. Indeed, all of the care that he took in the construction of his rows, for example, was often negated by the way he freely rearranged the order of trichords, tetrachords and the ordering of their internal pitch content. However, this fragmentation of the row forms turned into a technique for the composition of textual material that is an important feature of the composition and so Banks's pre-compositional work was a means of familiarising himself with his materials, and of finding ways of working with it. It was not a means of planning the composition. However, the freedom with which Banks allowed himself to fragment his twelve-tone materials suggests that with this composition he accepted the primacy of his motivic ideas over the need to maintain the integrity of the twelve-tone material, or to maintain its organisation in ways that were exemplified by Babbitt in his seminar. This is an acceptance of the relationship between the motivic characteristics of the music and the role of the twelve-tone rows as a pitch resource that was not present in his earlier twelve-tone compositions.

In summary, there are three primary features of Banks's compositional style that emerge from this study, all of which are factors of the way Banks composed his music, and all of which are directly attributable to the influences of Mátyás Seiber and Milton Babbitt. They are:

1. A primary emphasis of the manipulation of motivic material ("atoms and cells");

2. the necessity of the reliance upon formal templates; and

3. the application of twelve-tone materials.

The motivating force behind the way in which Banks's compositional style developed was the result of the tension between the disparate demands of these three factors, a tension that reached what can best be described as an uneasy resolution in the composition of the *Sonata da Camera* by layering them within a hierarchy of subordination.

At the top of the hierarchy is situated the formal template within which Banks composed. The distribution and organisation of twelve-tone materials and the relationships between the motivic elements of the music were subordinated to the demands of both the sectional design and the discursive requirements of the template. The motivic materials—the actual ideas with which Banks began his compositions and which became the subjects of his music—occupied the next level of the hierarchy, one which was subordinate to the formal template because it was through it that the motivic elements entered into relationships and modes of continuity that gave them the musical sense and meaning that Banks wanted them to have. All of the other aspects of the composition, including pitch materials and row distribution, were in turn subordinate to this second layer.

This three-tiered model can be seen in the features of the finished compositions that Banks wrote between 1950 and 1961, but, as this thesis has demonstrated, they are significant elements of his early style because they are elements of the *way* in which Banks composed his music.

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