

**ISTANBUL TECHNICAL UNIVERSITY ★ INSTITUTE OF SOCIAL SCIENCES**

**AESTHETICAL AND TECHNICAL ANALYSIS OF SELECTED FLUTE  
WORKS BY SOFIA GUBAIDULINA**

**Ph.D. THESIS**

**Zehra Ezgi KARA**

**Department of Music**

**Music Programme**

**MARCH 2019**



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**Thesis Advisor: Assoc. Prof. Jülide GÜNDÜZ**

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**İSTANBUL TEKNİK ÜNİVERSİTESİ ★ SOSYAL BİLİMLER ENSTİTÜSÜ**

**SOFIA GUBAIDULINA’NIN SEÇİLİ FLÜT ESERLERİNİN ESTETİK VE  
TEKNİK ANALİZİ**

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**MART 2019**



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**Date of Submission : 05 February 2019**

**Date of Defense : 20 March 2019**



*To Mom, Dad and my dog, Justin.*



## FOREWORD

This thesis, entitled “Aesthetical and Technical Analysis of Selected Flute Works by Sofia Gubaidulina”, is submitted for the degree of Doctor of Philosophy at the I.T.U. Social Sciences Institute, Dr. Erol Üçer Center for Advanced Studies in Music (MIAM).

I would like to thank my advisor, Assoc. Prof. Jülide Gündüz with deep appreciation and gratitude for her guidance, sharing of knowledge and constant moral support whenever I needed it; and the members of the thesis committee, Assoc. Prof. Dr. Yelda Özgen Öztürk, Assoc. Prof. Dr. Müge Hendekli, Assoc. Prof. Dr. Jerfi Aji, and Prof. Dr. Güliden Teztel for their support. I am also grateful to Assoc. Prof. Dr. M. Erdem Çöloğlu for his time and effort in evaluating the analysis section and providing feedback.

I would like to express my gratitude to my dear friend Volkan Kahraman for his practical advice and meticulous editorial help in English academic writing, and the staff at [www.academicproof.reading.com](http://www.academicproof.reading.com) who have proofread the thesis thoroughly and precisely in a very short time.

I am also greatly indebted to my friend Özkan Bilgin for hosting me in İstanbul and giving me significant support that helped me carry on throughout my studies; Aslı Kobaner for making the analysis section possible and enjoyable through her friendly assistance. And lastly, I would like to thank my parents Murat Kara and Sultan Nihal Kara, for teaching me the joy of success, supporting me at all times, and taking care of my dog, Justin, while I was away for my studies. Without their significant support, this work might never have reached completion.

March 2019

Zehra Ezgi KARA



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## ABBREVIATIONS

|             |                                                                                                                                   |
|-------------|-----------------------------------------------------------------------------------------------------------------------------------|
| afl         | :Alto flute                                                                                                                       |
| Agitotdel   | :Agitation and Propaganda Department in the Communist Party                                                                       |
| ASM         | : <i>Assotsiatsia Sovremennoi Muzyki</i><br>(Association for Contemporary Music)                                                  |
| bcl         | :Bass clarinet                                                                                                                    |
| bfl         | :Bass flute                                                                                                                       |
| db          | :Double Bass                                                                                                                      |
| EP          | :Expression Parameter                                                                                                             |
| fl          | :Flute                                                                                                                            |
| GAKhN       | : <i>Gosudarstvennyi akademiia khudozhestvennykh nauk</i><br>(the State Academy of Artistic Sciences)                             |
| hp          | :Harp                                                                                                                             |
| hpd         | :Harpsichord                                                                                                                      |
| IC          | :Interval Class                                                                                                                   |
| IRCAM       | : <i>Institut de Recherche et Coordination Acoustique/Musique</i><br>(Institute for Research and Coordination in Acoustics/Music) |
| ISCM        | :International Society of Contemporary Music                                                                                      |
| İTÜ         | :İstanbul Technical University                                                                                                    |
| Mez         | :Mezzo-soprano                                                                                                                    |
| MİAM        | :İstanbul Technical University Center for Advanced Studies in Music                                                               |
| MUZO        | :Music Department of Narkompros                                                                                                   |
| Mvt         | :movement                                                                                                                         |
| Narkompros  | : <i>Narodnyi Komissariat po Proveshcheniyu</i><br>(People's Commissariat of Public Enlightenment)                                |
| NEP         | :New Economic Policy                                                                                                              |
| org         | :Organ                                                                                                                            |
| ORKIMD      | :Association of Revolutionary Composers and Musical Activists                                                                     |
| PC          | :Pitch Class                                                                                                                      |
| perc        | :Percussion                                                                                                                       |
| pf          | :Piano                                                                                                                            |
| picc        | :Piccolo                                                                                                                          |
| PROKOLL     | :Production Collective of Student Composers                                                                                       |
| Proletkul't | : <i>Proletarskaya kultura</i><br>(Proletarian Organisation for Cultural Education)                                               |
| RAPM        | : <i>Rossiiskaya Assotsiatsia Proletarskikh Muzykantov</i><br>(Russian Association of Proletarian Musicians)                      |
| RMS         | :The Russian Musical Society                                                                                                      |
| RN          | :Rehearsal Number                                                                                                                 |
| RSFSR       | :Russian Soviet Federative Socialist Republic                                                                                     |
| str         | :String instruments                                                                                                               |
| TASSR       | :Tatar Autonomous Soviet Socialist Republic                                                                                       |
| UE          | :Universal Edition                                                                                                                |
| USC         | :The Union of Soviet Composers                                                                                                    |

|      |                                      |
|------|--------------------------------------|
| USSR | :Union of Soviet Socialist Republics |
| va   | :Viola                               |
| vc   | :Cello                               |
| vn   | :Violin                              |

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## **AESTHETICAL AND TECHNICAL ANALYSIS OF SELECTED FLUTE WORKS BY SOFIA GUBAIDULINA**

### **SUMMARY**

In this study, the music policies of the Soviet Union, Soviet avant-garde music and the works of Sofia Gubaidulina (1931-) are examined. The purpose of this study is to analyze selected flute works of Gubaidulina from a technical and aesthetic point of view, and to explain how she uses timbral features, Fibonacci numbers, and symbolism in her work. In addition, since the analysis of the works of *Garden of Joy and Sorrow* (1980) and *Quartet for Four Flutes* (1977) provides detailed information of their content and structural features, this study constitutes a source for flute students, musicologists, and performers.

In this study, the hypothesis is that the rigid policies of the Soviet government directly affected Gubaidulina's music and philosophy of life by leading her to spiritualism and it can be observed in her flute works. In order to illuminate the effect of the regime's restrictions and censorship in art – on Gubaidulina's works in particular – the policies applied to music and musicians since the foundation of the Soviet Union are examined in detail in the first part of the study. In this part of the research, descriptive and historical research methods are used to examine the evolution of Soviet music and the effects of politics on music. Accordingly, the most accurate and reliable sources available have been referred to, and previous experiences have been examined. As a result of the research, it is seen that the historical processes in Soviet music directly affected Gubaidulina's sense of composition and her oppositional stance. One of the most important reasons for Gubaidulina being one of the most prominent composers of our time is her ability to create a distinctive and unique style for the country and the time that she has been brought up in, and her ability to make skillful use of spiritual elements in her work.

The third part of the study focuses on Gubaidulina's works, her composing styles, and her experiences as a female composer living in the Soviet Union. Inspired by religious and mystical elements, literary works, and the composers she admired such as J. S. Bach and Webern, Gubaidulina often concentrates on a particular subject and depicts it in her works. Unlike the philosophy of abstract art, Gubaidulina believes that music must establish a connection between the divine and the earthly, and composes all of her works with religious feelings. For example, the fact that the instruments make glissandos in opposite directions in a crisscrossing manner is a method used by Gubaidulina to symbolize the Cross and the Crucifixion. Gubaidulina uses similar symbolism in many of her works, including the two flute works analyzed in this study.

One other distinctive characteristics of Gubaidulina's work is the use of elements that contain dichotomies (e.g. legato against staccato, or chromatic/microtonal against diatonic). As can be understood from the titles of her works including *Light and Darkness* (1976), *Garden of Joy and Sorrow* (1980); *Vivente-Non-Vivente* (1970,

Living-Non-Living), in many of her works she symbolizes the connection between life and death, in other words, the divine and the earthly.

The formal structures of Gubaidulina's works are often related to numbers. Although she is known to use the Fibonacci numbers which symbolize the harmony of the universe, and some other numbers containing mystical meanings in her work, since the works examined in this study are among her early works, such formal structures have not been encountered.

In the fourth chapter of the study, Allen Forte's pitch class set theory is used to analyze *Garden of Joy and Sorrow* (1980) and *Quartet for Four Flutes* (1977). In the set theory, one octave is numbered by dividing it into twelve chromatic pitches, where the note C corresponds to zero. This definition does not differ for enharmonic sounds, meaning that it is represented as C/B#=0, C#/Db=1, D=2, and so on. The main purpose of using this method is the mathematical calculation of the pitch spacing. For example, the E-G# interval consists of  $8-4=4$  semitones. The plus (+) or minus (-) signs are used to indicate descending or ascending intervals in the melodic structures. Analyses showed that the general melodic line of *Garden of Joy and Sorrow* (1980) consists of ICs +1+4-1-4, and its inversions. Similar symmetrical interval sets (+1-1) are also found in *Quartet for Four Flutes* (1977). This shows that symmetrical structures are another important element of Gubaidulina's musical aesthetic.

Another method used in the analysis section is that of expression parameters (EP). This method was developed by Gubaidulina's schoolmate, the musicologist Valentina Kholopova, and aims to explain the elements of dichotomy in her music. Kholopova divides the EPs into five groups in the form of (1) articulation and sound production methods, (2) melody, (3) rhythm, (4) texture, and (5) composition writing. Since each parameter is used as dissonance and consonance in itself, a method called Parameter Complex consisting of ten parameters has emerged. In this study, Kholopova's method was applied to both flute works and presented in the form of tables.

In analyzing the work of *Garden of Joy and Sorrow* (1980), the literary works that create inspiration, and the use of certain symbolism with proven accuracy, are also focused on. For example, in this work, Gubaidulina is inspired by a poem by Francisco Tanzer and a book by Oganov entitled *Sayat Nova*. Based on this, it is concluded that the work contains an east-west synthesis. In the light of the information she provided in some interviews, it is also concluded that the expression of Joy and Sorrow symbolizes the joy in the sky and the sorrow on the ground. Here, too, a reference can be made to the divine and the earthly.

*Quartet for Four Flutes* (1977) has an abstract structure which is uncommon in Gubaidulina's works. Thus, this work is analyzed by prioritizing the formal structure, the timbral qualities, and the use of advanced techniques. In this work, Gubaidulina's idiosyncratic sonority conception usually involves the use of multiphonics, microtonality and chromaticism.

In conclusion, the contributions of Gubaidulina to the flute field are revealed, and the findings related to the composition techniques, and aesthetics of her flute works are interpreted. This work is important in terms of creating resources for students, composers, performers, and musicologists who are interested in Soviet avant-garde music and, in particular, Sofia Gubaidulina.

## SOFIA GUBAIDULINA’NIN SEÇİLİ FLÜT ESERLERİNİN ESTETİK VE TEKNİK ANALİZİ

### ÖZET

Bu çalışmada, Sovyetler Birliğinde uygulanmış olan müzik politikaları, Sovyet avant-garde müziği ve Sofia Gubaidulina’nın (1931-) eserleri incelenmiştir. Çalışmanın amacı, Gubaidulina’nın seçili flüt eserlerini estetik ve teknik açıdan analiz etmek; eserlerinde çalgıların tınısal özelliklerini, Fibonacci serisini ve sembolizmi nasıl kullandığına açıklık getirmektir. Ayrıca, dördüncü bölümde yer alan *Garden of Joy and Sorrow* (1980) ve *Quartet for Four Flutes* (1977) eserlerinin analizi, bu eserlerin içeriği ve yapısal özellikleri hakkında detaylı bilgiler verdiğinden flüt öğrencileri ve sanatçılar için bir kaynak oluşturmaktadır.

Bu çalışmanın önermesi şu şekilde belirlenmiştir; Sovyetler Birliği’nde uygulanan sert politikalar, Gubaidulina’nın müziğini ve hayat felsefesini manevi değerlere yöneltmesine yol açmıştır ve böylece ortaya çıkan dini ve mistik etkiler flüt eserlerine de yansımıştır.

Çalışmanın ilk bölümünde, Sovyet yönetiminin uyguladığı kısıtlama ve sansürün etkilerinin aydınlatılması için Sovyetler Birliği’nin kuruluşundan itibaren uygulanan müzik politikaları detaylı bir şekilde incelenmiştir. Araştırmanın bu bölümünde, Sovyet müziğinin evrimini ve siyasetin müzik üzerindeki etkisini incelemek için betimsel ve tarihsel araştırma yöntemi kullanılmıştır. Buna göre, mevcut en doğru ve güvenilir kaynaklara ulaşılarak, önceki deneyimler açıklanmaya çalışılmıştır. Yapılan araştırma sonucunda, Sovyet müziğinde yaşanan tarihsel süreçlerin, Gubaidulina’nın bestecilik anlayışını doğrudan etkilediği görülmüştür. Gubaidulina’nın muhalif duruşu, yaşadığı ülke ve dönemin şartlarının dışında, kendine özgü bir üslup geliştirmesi ve müziğinde maneviyat ile ilgili öğeleri çok farklı şekillerde ve ustalıkla kullanması, belki de çağımızın en önemli bestecilerinden birisi olmasının başlıca nedenlerindendir.

Çalışmanın üçüncü bölümünde, Gubaidulina’nın eserleri ve bestecilik stilleri ile Sovyetler’de kadın bir besteci olarak yaşadığı tecrübeler değerlendirilmiştir. Müziğinde çoğu zaman dini ve mistik öğelerden, okuduğu edebi eserlerden, ya da J.S. Bach ve Webern gibi hayranlık duyduğu bestecilerden esinlenen Gubaidulina, genellikle belirli bir konu üzerine yoğunlaşarak, onu tasvir etmektedir. Gubaidulina, soyut sanat felsefesinin aksine, müziğin Tanrısal ve dünyevi olan arasında bağ kurması gerektiğine inanmakta, eserlerinin tamamını dini duygularla yazmaktadır. Örneğin, çalgı gruplarının birbirinin aksi yönlerde ve birbiri ile çarpışacak şekilde glissandolar yapması, Gubaidulina’nın haç ve çarmıha gerilmeyi müzikal olarak sembolize etme yöntemidir. Gubaidulina, bu ve buna benzer sembolleri, bu çalışmada analiz edilen eserler de dahil olmak üzere pek çok eserinde kullanmaktadır.

Gubaidulina’nın belirgin karakteristik özelliklerinden biri de, eserlerinde karşıtlık içeren öğeleri kullanmasıdır (staccatoya karşı legato, ya da diyatonik dizilere karşı

kromatik/mikrotonal sesler gibi). Eserlerin başlıklarından da anlaşılacağı gibi, *Light and Darkness* (1976), *Garden of Joy and Sorrow* (1980); *Vivente-Non-Vivente* (1970, yaşamak-yaşamamak) gibi pek çok eserinde, yaşam ve ölümü, diğer bir deyişle, Tanrısal ve dünyevi olan arasındaki ilişkiyi sembolize etmektedir.

Gubaidulina'nın bazı röportajlarında verdiği bilgiler ışığında, 'Joy and Sorrow' ifadesi ile yeryüzündeki acıyı ve gökyüzündeki huzuru tasvir ettiği sonucuna ulaşılmıştır. Burada da, Tanrısal ve dünyevi olana bir gönderme yapıldığı ve karşıtlık ögesinden yararlanıldığı görülmektedir.

Bu çalışmada Gubaidulina'nın bestecilik stilleri üç ana başlık altında incelenmiştir. İlk olarak ses ve tını üzerine odaklanmış olduğu 1980'li yıllara kadar olan süreç ele alınmıştır. Bu dönemde Gubaidulina küçük ölçekli eserler üretmiş ve farklı karakterdeki ve alışılmışın dışındaki çalgı gruplarını bir araya getirmiştir. Artyomov ve Suslin ile birlikte 1975 yılında kurmuş olduğu *Astraea* adlı doğaçlama grubu da halk çalgılarını ve yeni tınları keşfetmesine olanak sağlamıştır. Oldukça geniş bir yelpazede olması ve sürekli farklı tınısal arayışların peşine düşmesi bakımından Gubaidulina'nın bu dönemde yazdığı eserleri sınıflandırmak oldukça zordur.

Gubaidulina, 1980 yılından itibaren 'formun ritmi' olarak tanımladığı besteleme yöntemini geliştirerek, eserlerinin biçimsel yapılarını sayılarla ilişkilendirmiştir. Bu dönemde, evrenin uyumunu simgeleyen Fibonacci sayılarını ve mistik anlamlar içeren diğer bazı sayıları eserlerinde ustalıkla kullanmıştır. Ancak, bu çalışma kapsamında analiz edilen flüt eserleri erken dönem eserleri arasında yer aldığından, sayılar üzerine kurulan biçimsel yapılarla rastlanmamıştır.

Gubaidulina'nın 2000'li yıllarından günümüze kadar yazmış olduğu eserlerinde mikrotonalite kullanımının ön planda olduğu görülmektedir. Aslında mikrotonaliteyi ilk olarak *Concordanza* (1971) adlı eserinde kullanmış olmasına rağmen, o dönemde daha çok tınısal arayışlara odaklı olduğundan 2000'li yıllardaki kullanımından çok daha farklı olduğu görülmektedir.

Bestecilik kariyeri boyunca Gubaidulina, pek çok farklı yöntem ve teknik kullanmıştır. Ancak, her yeni kompozisyon stilinde geçmişte kullandığı öğeleri bir kenara bırakmak yerine, onları temel alarak üzerine yenilerini inşa etmiştir. Örneğin, 2000'lerde mikrotonaliteyi kullanmaya başladığında, Fibonacci sayıları ve tınısal deneylerini bir kenara bırakmadığı gibi, dini ve mistik öğelerden, karşıtlıklardan yararlanmaya da tüm bestecilik kariyeri boyunca devam etmiştir.

Çalışmanın dördüncü bölümde, *Garden of Joy and Sorrow* (1980) ve *Quartet for Four Flutes* (1977) eserlerinin analizleri yer almaktadır. Eserlerin analizlerinde Allen Forte'nin *pitch class set* teorisinden yararlanılmıştır. Set teorisinde bir oktav on iki kromatik sese bölünerek numaralandırılmakta ve Do sesi sıfır olarak tanımlanmaktadır. Bu tanımlama anarmonik sesler için değişiklik göstermez, yani  $do/si\# = 0$ ;  $do\#/reb = 1$ ;  $re = 2$ .. vb. şeklinde ifade edilir. Bu yöntemin kullanılmasındaki temel amaç, perde aralıklarının matematiksel olarak hesaplanmasıdır. Örneğin,  $mi-sol\#$  aralığı  $8-4=4$  kromatik ses aralığından (interval class, IC) oluşmaktadır. Melodik yapılar içerisinde aralıkların inici ya da çıkıcı olduğunu belirtmek için artı (+) ya da eksi (-) işareti kullanılmaktadır.

Yapılan analizlerde, *Garden of Joy and Sorrow* (1980) eserinin genel melodik çizgisinin  $+1+4-1-4$  aralıklarından ve bunun çevrimlerinden oluştuğu görülmüştür. Bu tür simetrik aralık kümelerine  $(+1-1)$  *Quartet for Four Flutes* (1977) eserinde de rastlanmaktadır. Bu durum, Gubaidulina'nın estetik anlayışının önemli bir unsurunu da simetrik yapıların oluşturduğunu göstermektedir.

*Garden of Joy and Sorrow* (1980) eserinin analizi yapılırken esin kaynaklarını oluşturan edebi eserler ile kesinliği kanıtlanmış bazı sembolizm kullanımlarına da odaklanılmıştır. Örneğin, *Garden of Joy and Sorrow* (1980), esas olarak iki edebi eserden esinlenerek yazılmıştır. Bunlardan ilki Iv Oganov tarafından yazılmış, şarkıların kralı olarak tanınan Ermeni asıllı *Sayat Nova*'nın biyografisidir. İkincisi ise Francisco Tanzer (1921-2003) tarafından yazılmış bir şiirdir. Doğu'yu ve Batı'yı temsil eden bu iki şiirin sentezi eserin tınısal karakteristiğinde kendisini hissettirmektedir. Buradan yola çıkarak eserin doğu-batı sentezi içerdiği çıkarımı yapılmıştır. Çalgılarda Batı müziğinin ileri teknikleri kullanılırken (kurbağa dili, *Con. sord. di carta*, doğuşkanlar.. vb), Doğu Asya'daki benzer çalgıların tınları da hissedilmektedir. Örneğin, bazı pasajlarda flüt, bambu flütleri, arp ise Japon koto'sunu çağrıştırmaktadır.

Form yapısı olarak, *Garden of Joy and Sorrow* (1980) eseri üç bölüme ayrılmıştır: A, B (flüt kadansı ile birlikte) ve A'. A ve A' bölümlerinde monofonik ve homofonik dokular hakimken, B bölümünde daha karmaşık yapıların kullanıldığı görülmektedir. Gubaidulina, bu eserin ana temasını oluşturan notaların seçiminde (9,10,8,5,0) sembolizm kullanmıştır. Bu notalar dizek üzerine yazıldığında haç sembolünü oluşturmaktadır (Şekil 4.2). Ayrıca, seslerin veya oktavların çapraz şekilde birbirlerinin içinden geçtikleri (glissando yaparak) pasajlarda, Gubaidulina'nın haç sembolize ettiği bilinmektedir. Bu şekilde oluşturulmuş melodik yapılara *Garden of Joy and Sorrow* (1980) eserinde sıkça rastlanmaktadır (Şekil 4.12).

*Quartet for Four Flutes* (1977) eseri, form yapısı, tınısal özellikler ve ileri tekniklerin kullanımı gibi unsurlar ön planda tutularak analiz edilmiştir. Bu eserde Gubaidulina'nın kendine özgü sonorite anlayışı, genellikle *multiphonics*, mikrotonalite ve kromatizm kullanımını içermektedir. Beş bölümden oluşan *Quartet for Four Flutes* (1977), biçim olarak belirli periodların tekrarlanması prensibine dayanmaktadır. Bölümler arasındaki geçişlerde sıklıkla kullanılan sessizlik ögesi Gubaidulina'nın Kur'an dinlerken etkilendiği ve eserlerine de yansıttığı bir özelliktir.

Analiz bölümünde kullanılan diğer bir yöntem de, ifade parametreleridir (expression parameters, EP). Bu yöntem, Gubaidulina'nın okul arkadaşı ve müzikolog Valentina Kholopova tarafından geliştirilmiştir ve onun müziğindeki karışıklık unsurlarını açıklamayı amaçlamaktadır. Kholopova, ifade parametrelerini (1) artikülasyon ve ses üretim metotları, (2) melodi, (3) ritim, (4) doku ve (5) kompozisyon yazımı olmak üzere beş gruba ayırmıştır. Her bir parametre kendi içerisinde uyumlu ve uyumsuz (dissonance-consonance) olarak kullanıldığı için, on parametreden oluşan ve Parametre Kompleksi olarak adlandırılan bir yöntem ortaya çıkmıştır. Bu çalışmada, Kholopova'nın yöntemi, her iki flüt eserine de uygulanarak tablolastırılmıştır (Tablo 4.2; Tablo 4.6)

Sonuç olarak, Gubaidulina'nın flüt alanına yaptığı katkılar ortaya konmuş, flüt eserlerindeki besteleme teknikleri ve estetik anlayışı ile ilgili elde edilen bulgular yorumlanmıştır. Bu çalışma, Sovyet avand-garde müziği ve Sofia Gubaidulina ile ilgili çalışmalar yapan besteci, sanatçı ve müzikologlara kaynak oluşturması bakımından önemlidir.



## 1. INTRODUCTION

Sofia Gubaidulina (1931-) is one of the leading composers of our time who has proved herself on the international scene with more than one hundred works. Despite being the daughter of a Tatar-Russian couple, she never saw herself as either Tatar or Russian. Instead, she referred to herself in interviews as having Tatar, Russian, German and Jewish roots. She explained that she grew up in Kazan city where Jews were allowed to live, so Jews dominated her childhood and were her first significant teachers. Consequently, she was influenced by their culture enormously. On the other hand, she made clear her connection to the German culture with her admiration of Bach, Mozart, Haydn and Beethoven, along with German authors and philosophers such as Hegel, Goethe and Novalis (Kurtz, 2007, p. 1; BBC, 1990).

Despite her cosmopolitan philosophy, her life was affected by every aspect of the Soviet system as she spent a significant part of her life in the USSR. She spent her childhood and youth in Kazan during the Stalin era when the State was making a strong propaganda effort to suppress religion. She studied composition in Moscow during Khrushchev's Thaw Period when prohibitions were lifted and liberalization in art began to happen. She became a nonconformist composer after her graduation and suffered difficulties in terms of censorship in the Brezhnev Period. She was subject to an international travel ban until the Gorbachev Period. Ultimately, she emigrated to Germany where she still lives.

Apart from examining Gubaidulina's background in a historical context, this study contains analyses of her selected flute works. The first chapter consists of three sections explaining the purpose of the thesis, the methodology and the literature review relating to this process. The second chapter, Classical Music in the Soviet Union initially examines the background of the classical music tradition of the USSR, and Gubaidulina's place in the avant-garde music scene. Starting from the October Revolution in 1917, Soviet policies on music are reviewed to understand the political philosophy and how it affected music. Although attempts have been made to

access primary sources as much as possible, English translations of some sources (which were originally in Russian or German) have also been used.

The third chapter focuses on the compositional aesthetics and techniques of Sofia Gubaidulina. Her biography, musical development and compositional style in comparison to that of her contemporaries, her major influences, and the use of numbers and proportions, symbolism and spiritualism in her works, are examined in detail.

The fourth chapter entitled Analysis of Gubaidulina's Flute Works solely focuses on her flute music and examines her contribution to the flute field. It comprises analyses of her flute works *Garden of Joy and Sorrow* (1980) and *Quartet for Four Flutes* (1977). Both in the third and the fourth chapters, different approaches and analytical methods have been used to explore the ways in which she creates structure and continuity in her works. Approaches involving expression parameters<sup>1</sup> (EP) and pitch-class set analysis (as explained comprehensively in the methodology section) have been applied to these selected works, and the findings have been examined comprehensively and illustrated in tables and figures, and using excerpts from the scores.

In order to better understand and analyze Gubaidulina's music, it is important to examine the socio-cultural background of the period and the classical music tradition of Russia. The development of Russian classical music was slightly delayed compared to other countries since the Orthodox Church did not approve of secular music. The earliest works were composed by Mikhail Glinka (1804-1857) and the Mighty Handful in the 19<sup>th</sup> Century. Glinka was the founder of the Russian national school of composition, and the first composer to adapt Russian traditional music to secular music. He produced the first Russian opera *A Life for the Tzar* (1836) and introduced the rich elements of Russian musical orientalism in his *Ruslan and Lyudmila* (1842). He also had a significant impact on his successors, The Mighty Handful (Slonimsky, 2004, p. 7).

The Mighty Handful was a composer community established by Mussorgsky (1839-1911) in order to popularize classical music by combining it with the Russian folk music heritage. This community consisted of Balakirev (1837-1910), Rimsky-

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<sup>1</sup> Expression Parameter (EP) is developed by Valentina Kholopova to analyze the contrasting elements in Gubaidulina's music.

Korsakov (1844-1908), Mussorgsky (1839-1981), Borodin (1833-1987) and César Cui (1835-1918). Most of the works of Glinka and the Mighty Handful were based on Russian tales, literature and history, which are now considered to be the examples of the nationalist movement in the romantic period.

The Russian Musical Society (RMS), on the other hand was considered an alternative to the Mighty Handful and aimed to promote music education. It was founded by composer and pianist Grand Duchess Elena Pavlovna (1807-1873) and Nikolay Rubinstein (1835-1881) in 1859. The most important contribution of the RMS was the establishment of the Moscow Conservatory in 1862 and the St. Petersburg Conservatory in 1866. Peter Ilyich Tchaikovsky (1840-93) and his student Sergey Rahmaninov (1873-1943) were the most notable composers who studied in these schools.

Glinka, the Mighty Handful, and the rival school, the RMS (Rubinstein, Tchaikovsky and Rahmaninov) were the composers who brought Russian music on a par with European music in the 19<sup>th</sup> Century.

The 20<sup>th</sup> Century was a comparatively turbulent period. In 1917, the Bolsheviks seized power and ended the dominance of the Russian Empire. After three years of Civil War following the October Revolution, the USSR was established in 1922, and the Bolsheviks ultimately became the Communist Party of the Soviet Union. The social and political chaos of the time affected cultural life directly; many art institutions collapsed and leading composers emigrated (Frolova-Walker & Walker, 2012, p. xiii).

Vladimir Lenin (1870-1924), the leader of the Bolshevik Revolution, supported the mass popularization of art on the understanding that it should reflect the ideology of communism. Composers were required to create music which could be easily understood by the people and boost their morale. Although there were some uncertainties and disagreements about what kind of music could serve this purpose, any works outside this popularization movement were severely criticized, described as formalist, and even censored by the state in the following years. The term formalism was often used as a kind of condemnation for being bourgeois, degenerate, and representing Western art.

Anatoly Lunacharsky (1875-1933), one of the foremost ideologues, critic and journalist of his time, was the most important figure in terms of the art policy in the early period of the Revolution. He was the first Commissariat for Education and was responsible for the culture and education policy. Lunacharsky handled the issue of art and literature with a great deal of intelligence and sensitivity, not only in terms of politics, but also by demonstrating an awareness of the specific problems of the field. Because of his sympathy for radicals in art and literature, Lunacharsky built a bridge between artists and Lenin who was prejudiced against modernism (Bowl, 1976, p. 33).

During the New Economic Policy<sup>2</sup> (NEP, 1921-1928) musicians had relatively greater freedom. Many musical associations and communities embracing a different sense of art were established (Green & Karolides 2005, p. 590), the most significant of which were the Proletarian Organization for Cultural Education (Proletkul't), The Russian Association of Proletarian Musicians (RAPM) and the Association for Contemporary Music (ASM).

Proletkul't was founded by Lunacharsky and Aleksandr Bogdanov (1873-1928) in 1917 as an independent organization in order to create a concept of proletarian art to counter bourgeois influences. ASM and RAPM were both established in 1923. The ASM was an organization of Russian composers who were interested in new techniques and modern aesthetics in music. RAPM, on the other hand, aimed to produce music that was simple, free of all artistic assertion and acclaimed by the masses.

All of these associations were abolished by Stalin in 1932 and were replaced by a new organization: the USC (Union of Soviet Composers). The establishment of the USC was regarded as the beginning of the socialist realist era. Socialist realism demanded that all fields of art reveal the struggles and the supreme victories of the proletariat, and the USC became the only authority to decide what was acceptable in terms of socialist realist music.

The break from the music policies of the 1930s started with the occupation of the Soviet Union by the Nazi's during the Second World War in 1941. The Communist

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<sup>2</sup> The New Economic Policy (NEP) was an economic system initiated by Lenin in 1921 and abolished by Stalin in 1928.

Party abandoned anti-Western rhetoric and concentrated on patriotic propaganda because of its alliance with some Western powers. Nevertheless, with victory, Soviet people began to reestablish their cultural life after the war and the emphasis on patriotism during the war was replaced by ideological conflicts. The Communist Party increased its control once again. Stalin appointed Andrei Zhdanov (1896-1948) in 1946 to provide a return to socialist realist policies and to lead the struggle against formalism.

Shostakovich and Prokofiev were the two leading composers who were most affected by the rigid music policies of Stalin and Zhdanov period known as Zhdanovshchina.<sup>3</sup> Most particularly, the 1948 decree was tragic for many musicians. The decree accused of many composers as formalists, and caused them to be dismissed from their posts. Shostakovich was dismissed from the Moscow and Leningrad Conservatories on the grounds of professional inadequacy. Besides, many of Shostakovich's and Prokofiev's works were removed from the repertoire and barred from performance (Morrison, 2009: 314; Macdonald, 1990: 196-197).

There were different reactions to the musical restrictions of this period. While some composers were trying to adapt, others turned to film music. Some composers used folk tunes in their music in order for it to be acceptable. There was no serious campaign against the sanctions and restrictions imposed by the Soviet regime at that time, most probably because struggle would only bring more punishment.

During this repressive period in the music field, Gubaidulina was a 15-year-old student taking composition lessons with Nazip Zhiganov in Kazan. She was indeed affected by the repressive mindset of Zhdanovshchina, as was everyone else. This restrictive approach lasted until the Thaw Period which started in the early 1950s and continued through to the early 1960s under the direction of Nikita Khrushchev (1894-1971). Khrushchev's famous speech denouncing Stalin at the 20<sup>th</sup> Party Congress (1956) started a new era in the Soviet Union.

A year after Thaw Period began, Gubaidulina graduated from the Kazan Conservatory and moved to Moscow to study composition. Her generation studied at a time when Stalin's crimes and the terror he generated were being severely condemned by society. The liberalization of art began, based on social, economic and

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<sup>3</sup> The Zhdanov Doctrine, also known as Zhdanovism. Although Zhdanov died in 1948, the Zhdanov doctrine remained as a State policy until the death of Stalin in 1953 (Smrž, 2005, p. 37).

political reforms. Musicians were able to access old and new scores by foreign composers such as Arnold Schoenberg and Pierre Boulez. As a result of broader access to previously-censored music, young composers such as Andrei Volkonsky (1933-2008), Edison Denisov (1929-1996), Alfred Schnittke (1934-1998) and Sofia Gubaidulina (1931- ) found a better opportunity to develop their musical insights compared to their predecessors. Composers achieved more freedom in terms of musical expression as they were allowed to follow the musical innovations and gain inspiration from their European counterparts. The relaxation of censorship throughout the Soviet Union led to the establishment of an unofficial music scene in which these young composers were the pioneers.

As the representatives of Soviet avant-garde music, they reinterpreted music in terms of form and content. Although they were initially influenced by serialism, they gradually began to use other techniques to emphasize their individuality, such as chance or aleatory methods, citations of particular tonal works from the past, and blatant use of tonality. Although not as abstract as the other avant-garde composers, Gubaidulina composed new works involving similar techniques (Schmelz, 2009, p. 217). In her early works she was mostly interested in sound and timbre. Starting from the early 1980s she showed interest in numbers and music such as the golden ratio, the Fibonacci series and the Lucas sequence. Since the beginning of the 2000s she is more passionate with regard to using quarter-tones in her works (Smirnov, 2001). As mentioned earlier, her compositional style and sense of aesthetics will be examined comprehensively in the third chapter.

### **1.1. Purpose of the Thesis**

The correct perception and interpretation of the aesthetic ideas behind compositions are of great importance to the performers. Despite Gubaidulina's great reputation and importance, almost no research has been carried out with regard to her flute works. While there are some biographical and analytical studies providing information about her inspirations and her compositional techniques, along with some articles containing interviews with the composer, resources with regard to her flute works are limited. Therefore, this study is intended to focus on the aesthetical and technical analyses of her flute works in order to fill this gap.

The hypothesis is that the music policies in the Soviet Union affected Gubaidulina's life and career as a composer and it can be observed in her flute works. It is thought that the rigid policies of the state have led her to turn to religion and this in turn has left its traces on her compositions. The present study will shed light on the details of this effect. The process of exploring the technical and aesthetic aspects in Gubaidulina's music is outlined by the following research questions;

- 1- In which way the music policies in the Soviet Union affected Gubaidulina's life, career and style as a composer?
- 2- What are the main influences in her works and how are they reflected on her flute works?
- 3- What are the aesthetic and technical ideas behind Gubaidulina's works and how does she make use of them in the selected flute works?
- 4- How does Gubaidulina integrate timbral experiments, religious symbolism and dichotomy in the selected flute works?
- 5- How does she imply the structural elements (contrast and continuity) in the selected flute works?

This study focuses on the main influences in Gubaidulina's works along with the aesthetic and technical ideas behind them and analyzes how they reflect on her flute works. Moreover, it aims at revealing the bond between Gubaidulina's spirituality and compositional style. Thus, her use of religious symbolism and dichotomy to represent earthly and spiritual concepts are demonstrated in the third and fourth chapters. As a result, the underlying sense of her musical aesthetics is highlighted and their effects on her early flute works are analyzed. The purpose of this study is to contribute to the field in terms of the aforementioned qualities, and to provide a resource for composers, performers and musicologists.

## **1.2. Methodology**

This study takes the form of descriptive and historical research in terms of research and data collection methods. Shirish (2013, p. 31) states that historical research allows researchers "...to discuss the past and the present events in the context of the present condition." This approach aims to explain previous experience based on the most accurate and reliable sources available. This method is useful as a means of

studying the evolution of Soviet music and the influence of politics on music. Descriptive research is also fairly appropriate as a means of obtaining an overview of the research topic, in which an identified variable or phenomenon is observed and depicted in its natural state, without being affected by the researcher.

In the analyses outlined in Chapters 3 and 4, Allen Forte's set theory and Kholopova's EPs are used as a basis for the analysis. Set theory is a method developed to describe pitch collections (sets) in post-tonal music. These sets may consist of any vertical or horizontal pitches. It refers to pitches by pitch class (PC), which represents every possible version of a particular pitch with integers. Starting with C=0, set theory adds a number for each ascending half step; thus C#/Db=1, D=2 and so on (Figure 1.1).



**Figure 1.1 : Pitch class numbers.**<sup>4</sup>

Integers are also used for describing the pitch-class interval. A pitch class interval is calculated by measuring upwards from the first pitch class to the next ones. To identify an interval, the number of the lower pitch class must be subtracted from the number of the higher pitch class. For instance, the interval between pitch classes 3 and 9 is  $9-3=6$ . The result obtained in this way represents the number of semitones between two pitch classes. Since some subtractions give negative results, modular arithmetic (Mode 12) is used in the calculations. In accordance with the analytical purpose of set theory, the inversional equivalence of pitch-class intervals are considered. A reduced pitch class interval is classified as an interval class (IC). For instance, both m3 and M6 intervals belong to the same IC because they are inversions of one another. There are six IC's in set theory (Table 1.1).

<sup>4</sup> Sometimes PC10 is abbreviated as *t* (ten) and PC11 is abbreviated as *e* (eleven) in order to avoid confusion PCs 1 and 0.

**Table 1.1 :** Interval classes.

| Interval class | Pitch-class Interval | Traditional Interval |
|----------------|----------------------|----------------------|
| 1              | 1,11                 | m2/M7                |
| 2              | 2,10                 | M2/m7                |
| 3              | 3,9                  | m3/M6                |
| 4              | 4,8                  | M3/m6                |
| 5              | 5,7                  | P4/P5                |
| 6              | 6                    | A4/d5                |

Apart from inversional equivalence, set theory also incorporates enharmonic equivalence, which means that there is no distinction between enharmonic pitches such as C# and Db, simply because they sound the same. In addition, there are octave and transpositional equivalences, meaning that the same notes in different registers, and the transposition of the chords, are considered the same. Transposition of a pitch set is expressed by the formula  $T_n$ . ( $n$  represents the number of semitones to be transposed) For instance,  $T_3$  of set [0,1,2] is set [3,4,5].

Contrary to traditional music theory, the inversion of a pitch class set refers to switching the direction of the intervals, or reversing the order of the intervals, such as [2,t,7] and [2,5,9] being inversions of [2,6,9]. As illustrated in Figure 1.2, a major triad and a minor triad are considered to be equivalent because both pitch classes include M3, m3 and P5 intervals.



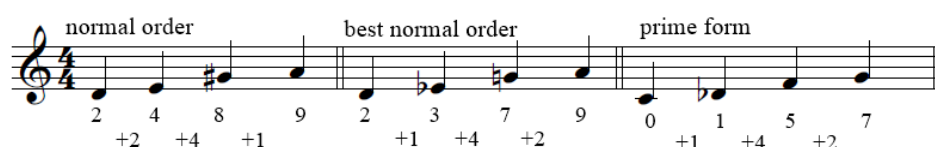
**Figure 1.2 :** Inversions of PC set [2,6,9].<sup>5</sup>

In set theory, inversions often also involve transpositions. These are expressed as  $T_xI$ . To find any  $T_xI$  relationship between pitches, the pitch classes must be subtracted from  $x$ . For instance PC set [8,t,1] and [3,6,8] are related by  $T_4I$ .

$$\begin{array}{r}
 4 \quad 4 \quad 4 \\
 - \quad 8 \quad 10 \quad 1 \quad (\text{PC set A}) \\
 \hline
 8 \quad 6 \quad 3 \quad (\text{PC set B})
 \end{array}$$

<sup>5</sup> The plus sign (+) represents ascending intervals and the minus sign (-) represents descending intervals.

To compare and simplify pitch class sets, they must be ordered in such a way as to create the smallest interval span from the first to the last pitch class. This is referred to as normal order. As the main goal is to find the smallest intervallic space between the pitches, the inversions of the normal order must be compared. The inversion with the smallest interval from the outside is classified as the best normal order. After finding the best normal order, the final step is to find its prime form which means to transpose the best normal order so that it starts with 0 (C). Prime form is the final version of how a pitch class set is described in set theory. Prime form does not refer to any specific note. Instead, it refers to every possible group of notes that consist of the same intervals. Figure 1.3 illustrates the normal order, best normal order, and the prime form, of a pitch class set.



**Figure 1.3 :** Normal order, best normal order and prime form [0157].

Another method which is used in the analysis section is the EP of Kholopova. In order to illustrate the contrasting elements in Gubaidulina's music, Kholopova, a friend and colleague from the Moscow Conservatory, has developed a very practical method. Kholopova's method uses five EPs including (1) articulation and methods of sound production, (2) melody, (3) rhythm, (4) texture, and (5) compositional writing. Since the five parameters can functionally be used as dissonance and consonance, Kholopova (1999, p. 154) describes her method involving ten parameters as being "Parameter Complex." According to her, the elements of EP directly reflect the emotional expression and are "very immediate in emphasis." Although it is referred to as EP, she explains that her method is designed to analyze musical composition, not musical character. She states that EP is based on musical elements such as articulation devices and sound production methods, which have not yet been recognized as structural in composition history. She continues as follows: "...Several elements of melody, rhythm and texture are associated with these devices of articulation. That it has a clear functional organization similar to how classical harmony is organized by *T-S-D* functions, serves as an indicator and guarantee of the EP's existence" (Ewell, 2013).

### 1.3. Literature Review

In the preparation phase of this study, a review of the literature relating to the history of Soviet music and the Soviet avant-garde movement has been undertaken, along with the sources related to the life and works of Sofia Gubaidulina. The resources have been accessed mostly from the Grove Dictionary, Jstor, ProQuest e-Book Central and ProQuest Dissertations and Thesis through the e-libraries of Uludağ University and İstanbul Technical University. In addition, subscribing to scribt.com and medici.tv has given me access to a number of additional books and documentaries. Since my language skills are limited to Turkish and English, I have not been able to make use of German, Russian and Italian resources. Instead, I have used English translations of original sources when available.

*Music and Soviet Power, 1917-1932* written by Marina Frolova-Walker and Jonathan Walker (2012) provides a general overview of early Soviet musical life. It elaborates early music policies through published articles, reviews and manifestos which are the primary sources that have not previously been translated into English. In this sense, it is an important book for researchers who do not speak Russian. This book plainly describes the turbulent period of change from the October Revolution to the beginning of the socialist realist period.

*Music and Musical Life in Soviet Russia: 1917-1970* by Boris Schwarz (1976) uses quotations from original sources in Russian and depicts musical life during the first fifty years of the Soviet regime. Schwarz's book has a distinguished place among the books written about Soviet music, and has been the main source used in this study, particularly the second chapter.

The second volume, *Russian and Soviet Music and Composers* of a 4-volume collection of *Writings on Music* by Nicolas Slonimsky (2004), has also been a fundamental source. Richard Taruskin's books *On Russian Music* (2010a), *Russian Music at Home and Abroad: New Essays* (2016) and *The Oxford History Of Western Music* (2010b) have also contributed greatly to this study.

*Music of the Soviet Era: 1917-1991* by Levon Hakobian (2017) deals with the entire era from the October Revolution to the collapse of the Soviet Union. Benefiting from many academic sources in Russian and other European languages, Hakobian thoroughly examines the musical life in the Soviet Union in three main sections. The

first part examines the musical trends of the 1920s, the second part discusses music and musical life under Stalin, and the third part explores the year 1953 and after.

Peter J. Schmelz's book *Such Freedom, if Only Musical: Unofficial Soviet Music During the Thaw* (2009) focuses on the period after the death of Stalin in 1953. As the title of the book implies, it examines musical life during the Thaw Period which took place under the political leadership of Nikita Khrushchev. The chapter entitled *From Abstraction to Mimesis, from Control to Freedom: Pärt, Schnittke, Silvestrov, and Gubaidulina*, precisely forms the basis of the main point and contains a great deal of the information needed for this study.

Moreover, *A History of Russian Music* (Maes, 2002), *Music Since 1900* (Slonimsky, 1994) and *Historical Dictionary of Russian Music* (Jaffé, 2012) are among the books that contributed the most. Apart from the books used as a source, the most apparent and contributing doctoral dissertations on Soviet music policies are *Music and the Politics of Culture in Revolutionary Russia, 1921-1930* (Nelson, 1993), *Boris Asaf'ev and the Soviet Musicology* (Viljanen, 2005), and *Music and Politics in Early Soviet Russia: 1917-1929* (Mitchinson, 1997).

In terms of existing reviews of the literature, the most significant contributions to understanding Gubaidulina's life and her music have been made by Valentine Kholopova (1999), Vera Lukomsky (1998a, 1998b & 1999), Michael Kurtz (2007) and Philip A. Ewell (2003).

For example, Vera Lukomsky's articles *Sofia Gubaidulina: "My Desire is Always to Rebel, to Swim against the Stream"* (1998a); *The Eucharist in my Fantasy: Interview with Sofia Gubaidulina* (1998b); and *Hearing the Subconscious: Interview with Sofia Gubaidulina* (1999) clarify how Gubaidulina uses the Fibonacci series and religious symbolism in her works from a first-person point of view. Moreover, her influences, especially her musical and emotional ties to J.S. Bach are clearly explained. Another beneficial article is Valeria Tsenova's *Magic Numbers in the Music of Sofia Gubaidulina* (2002) which provides an understanding of Gubaidulina's perception of number mysticism, and how she relates it to musical structure. A more recent article, *The Parameter Complex in the Music of Sofia Gubaidulina* (Ewell, 2013) examines the EP system of Kholopova for analyzing Gubaidulina's music.

There are two biographies of Gubaidulina; the first of these is *Gubaidulina* (1991) written in Italian, edited by E. Restagno. The other is *Sofia Gubaidulina Eine Biografie* by Michael Kurtz (2001). Originally written in German, it has been translated by Christoph K. Lohmann and published in English in 2007 by the Indiana University Press. It is the only biography written on the basis of Gubaidulina's interviews, and is very useful for researchers. *Sofia Gubaidulina: A Biography* (2007) has been a major source, particularly for the third chapter, which is about Gubaidulina's background and musical style. Apart from Kurtz's biography, a BBC documentary entitled *A Portrait of Gubaidulina* (1990) gives the best understanding of her personality, spirituality and compositional styles. It basically narrates her life and deals with her most remarkable works.

There are also some doctoral dissertations relevant to Gubaidulina's music which should be mentioned for their contribution to this study. Neary (1999) in her *Symbolic Structure in the Music of Gubaidulina* discusses Gubaidulina's background, and analyzes *In Croce* (1976) for cello, organ and viola and *Garden of Joy and Sorrow* (1980) for flute, harp and viola. These analyses examine the symbolism in Gubaidulina's music and its relation to its formal and melodic structure, thematic content, rhythmic phrasing and timbre. Milne (2007), in her dissertation *The Rhythm of Form: Compositional Processes in the Music of Sofia Gubaidulina*, examines the compositional techniques and processes of Gubaidulina's music. Other significant dissertations that are used while writing this study are, *To Be Totally Free: Galina Ustvolskaya, Sofia Gubaidulina, and the Pursuit of Spiritual Freedom in the Soviet Union* (Regovich, 2016); *Timbre, Texture and Spiritual Symbolism in Gubaidulina's Two Works: De Profundis and Et Exspecto* (Angell, 2017), and *Sources of Inspiration in the Music of Sofia Gubaidulina: Compositional Aesthetics and Procedures* (Askew, 2000).

Although sources on Gubaidulina's life and works are available, very little research has been done on her flute works. The reason for this might be that her large-scale works with their religious connotations and striking titles usually attract more attention. Therefore, this study aims to fill this gap and increase the interest with regard to this aspect of her music by analyzing her flute works, both aesthetically and technically.



## **2. CLASSICAL MUSIC IN THE SOVIET UNION**

### **2.1. Music in the Early Years of Revolution (1917-1921)**

The Russian monarchy was overthrown after the February Revolution of 1917 and as a consequence a Provisional Government came to power. Lenin, as the leader of the Bolshevik Party called for revolt against the Provisional Government and eventually on November 7, 1917 (25 October in Julian calendar) the Bolsheviks seized power. Following the October Revolution of 1917, the Civil War began between the Bolshevik Red Army and the counter-revolutionary White Russians, which lasted until 1921. The economic and political system pursued by the Bolsheviks during the Civil War was referred to as War Communism. Most of the early musical policy during War Communism was formulated by Narkompros<sup>6</sup> and its musical division, MUZO. Anatoly Lunacharsky was the first Commissar of Narkompros; serving in the position until 1929. His mission was primarily cultural enlightenment and he was regarded as the highest authority in matters related to the arts.

The turbulent situation of governance left in the wake of the February Revolution, meant people were uncertain whose authority to accept. While many musicians had serious concerns about the authorities appointed by the Provisional Government, they still accepted them as a legitimate government and protested against the Bolsheviks' illegitimate seizure of power. When newly appointed Bolshevik Commissar of State and Special Theaters, M. P. Murav'ev wrote a letter threatening to punish non-cooperative artists, members of St. Alexandrinsky and Mariinski Theaters in St. Petersburg decided to cease performances. Even musicians who were least political among all artists refused to perform. The choir, orchestra and ballet members supported the strike and even demanded that those who sympathize with the

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<sup>6</sup> Narkompros or The People's Commissariat for Education was the Soviet agency founded during the October Revolution, led by Anatoly Lunacharsky. Narkompros was not only tasked with the administration of public education but also included subdivisions for theaters (TEO), the fine arts (IZO), and music (MUZO). In 1946, it was transformed into the Ministry of Education.

Bolshevik government be dismissed. As a result, the Bolsheviks faced a strike at unpredictable rates within a week of seizing power (Frame, 2000, p. 157-158).

Despite their opposition to the Bolshevik regime, many musicians lost their resolve over time. Technical staff of all theaters, including stage workers, declared that they did not want to starve voluntarily by striking. The decision to stop the strike was taken on November 5th, as the economic situation of the technical staff deteriorated. The Mariinsky Theater began to perform a day later. Although the strike had come to an end, the political opposition of many musicians continued. Artistic staff from the Alexandrinsky Theater declared that they legitimized the Provisional Government and would refuse to take orders from other authorities. Members of the Mariinsky Theater declared that: “Art should be apolitical and neutral in the face of any changes of government power...without hindering the workers of art from taking whatever role they care in the political life of the country outside the sphere of art” (Mitchinson, 1997, p. 57).

Mariinsky’s music director Alexander Ziloti was a determined opponent of the Bolsheviks. When the threats against the upcoming Bolshevik Constituent Assembly became menacing, Lunacharsky received information that Ziloti was preparing a political demonstration against them. Subsequently, Lunacharsky warned Ziloti by letter in December and it was not merely an idle threat. Cheka<sup>7</sup> operatives jailed Ziloti on the order of Lunacharsky where he remained until he surrendered the key to the Imperial box. Lunacharsky later wrote about the event: “Ziloti, the director of the Mariinsky Theater, behaved in such a forward and insolent manner that I had to put out an order for his arrest, although I freed him after a few days” (Mitchinson, 1997, p. 58).

Lunacharsky was generally tolerant and compromising towards the rest of the music scene. He wrote the following to the Artistic Repertory Committees of the Petrograd State Theaters: “The shameful times when you were like servants at the Tsar’s court have gone forever. You are free citizens, free artists, and no one can encroach upon that freedom” (Frame, 2000, p. 161).

Despite some opposition by a group of artists Lunacharsky held a meeting with the vocal soloists of Mariinsky Theater in January, 1918. Nikolai Malko, chief director

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<sup>7</sup> Cheka: Soviet secret police organization.

of the Mariinsky Theater, was impressed and expressed his thoughts about the meeting as follows: “Lunacharsky’s speech to the vocal soloists dispelled the atmosphere of distrust and fright that nearly all the intellectuals felt towards the Bolsheviks” (Mitchinson, 1997, p. 60). Lunacharsky’s speech eased the musicians’ active political opposition to the Bolsheviks.

The Bolshevik music policy mainly had two goals; to enable citizens to reveal their own creativity and to educate them with Russian musical heritage. The first policy was to encourage creativity and the second was a vehicle for reaching the masses. Music was an entirely social event performed in concert halls which provided a suitable platform for both education and propaganda. It was almost impossible to distinguish the political and educational missions of the concerts. The speeches made during the concerts could readily be transformed into political demonstrations. In his book *A Certain Art* (1966, p. 137), Nikolai Malko mentioned one of the speeches of Lunacharsky at the performance of the *Ruslan and Lyudmila* (1842) of Glinka:

Pushkin (librettist) and Glinka were noblemen and estate-owners. Let them have their nobility and their belongings. We are concerned only about their talent and their creations. The opera *Ruslan and Lyudmila* is a beautiful diamond in the crown of Russian art. Up to now you were not given the opportunity to be in contact with Russian art. Now you are here. The worker of Petersburg is offered a valuable cup of a marvelous, sparkling wine. Drink and enjoy it!

Lunacharsky believed that if access was granted the masses would embrace classical music and share the same musical tastes as their intellectual leaders. Many Bolsheviks agreed that classical music must be accessible not only for the elite, but to everyone. If music for the sake of music was considered as inconvenient, it would be even more inconvenient to make it for the sake of the elite.

The Bolshevik government established control over all cultural institutions. Although Lunacharsky defended the view that state control was not inherent in the Communist system, Lenin was more realistic and set his limits clearly. He said:

...Every artist can claim the right to create freely according to his ideal, whether it turn out good or not...But of course we are communists. We must not put our hands in our pockets and let chaos ferment as it pleases. We must consciously try to guide this development, to form and determine its results. (Zetkin, 1929, p. 13).

Lenin also announced the new government policy on art as follows: “Art belongs to the people. It must have its deepest roots in the broad masses of workers. It must be understood and loved by them. It must be rooted in, and grow with their feelings, thoughts and desires” (Zetkin, 1929, p. 14).

Many artists did not like this driving force and preferred to emigrate either because they did not sympathize with the Bolsheviks or due to their professional concerns. Sergei Rachmaninov left the country only a few weeks after the revolution. Sergei Prokofiev followed him a year later and returned in 1933. Composer and double-bassist Sergei Koussevitsky abandoned the country in 1920, as did opera singer Fedor Chaliapin and cellist Grigor Piatigorsky in 1921. Pianist and composer Vladimir Horowitz moved to Germany in 1925. Igor Stravinsky who already worked in Europe during the Revolution only temporarily returned in 1962.

### **2.1.1. Proletkul't movement**

In determining the future of Russian music, Lunacharsky's outlook was based on the following words of Lenin:

Crushing capitalism will not feed us. We must take all culture that capitalism left us, and use it to construct Socialism. We must take all science and technique, all knowledge and art. Without this, we cannot build the life of Communist society (Schwarz, 1976, p. 20).

However, some extremists rejected everything that belongs to capitalism and believed in the power of the proletariat. Therefore, they formed a new organization: Proletarian Organization for Cultural Education (Proletkul't). The aim of the Proletkul't was to eliminate the ties with bourgeois culture completely and to create a unique proletarian culture.

As art education was the basic foundation of Proletkul't activities, they organized many programs including workshops, lectures, exhibitions, theaters, and orchestras in hundreds of villages and competed with Narkompros on cultural education (Schwarz, 1976, p. 20). It was expected that every local organization within the scope of Proletkul't was to be active in at least four artistic areas, namely theater, literature, art and music (Mally, 1990, p. 124). Composers including Nikolai Roslavec, Leonid Sabaneejev, Reinhold Glière, Arseniy Avraamov along with many others participated in the Proletkul't movement in which they had the opportunity to

work in experimental studios to produce new kinds of sounds and techniques (Viljanen, 2005, p. 22).

Proletkul't was transformed into a national movement after 1918, and its most influential period was between the years 1918 and 1920; coinciding exactly with the years of the Russian Civil War. This overlap can be explained by the fact that the vision of the Proletkul't was based on the spirit of heroism which was boosted by the Civil War. As a consequence of some restrictions and funding cutbacks at the end of the Civil War, the Proletkul't lost many of its local network and members. This is most probably because it was not supported by the Communist Party. Lenin did not desire to tolerate this large independent workers' movement that operated outside his control, especially one associated with Aleksandr Bogdanov whom he did not trust politically (Mally, 1990, p. xxi). After the Proletkul't Congress in October 1920 Lenin issued a draft resolution containing the following:

The All-Russian Congress of Proletarian Culture most emphatically rejects as theoretically wrong and practically harmful all attempts to invent a special culture, all attempts to isolate itself in an exclusive organisation...On the contrary, the Congress imposes upon all organisations of the Proletkul't the absolute duty to regard themselves as being entirely auxiliary organs in the system of institutions of the Narkompros, and perform their duties under the general guidance of the Soviet government...as part of the duties of the proletarian dictatorship. (Schwarz, 1976, p. 21).

After this resolution, the Proletkul't ceased to function independently until it was abolished formally in 1923.

### **2.1.2. Establishment of MUZO**

Lenin was determined to unite all spiritual, artistic and educational public activities in a gigantic institution known as Narkompros. MUZO, the musical section of Narkompros was established in January 1918 and Arthur Lourié (1892-1966), one of the well-known figures in the artistic avant-garde, was appointed by Lunacharsky as the head of the musical section. Originally founded in Petrograd, MUZO was later transferred to Moscow, the new capital city of Soviet Russia. Although Moscow and Petrograd had the same official president, MUZO in Petrograd continued to work as a separate organization and it was the musical centre of Russia in the first decade of Soviet power (Nelson, 2004, p. 20).

The most important purpose of MUZO was to facilitate access to music education by removing obstacles between musicians and the public. Therefore, they organized many concerts and lectures which were introduced by well-known academics and composers such as Mal'nev, who gave a presentation entitled *The History of Music from a Marxist Point of View* and Avraamov who gave lectures entitled *Future Music from the Point of View of Communism*. In addition, more basic educational activities were also carried out to raise public awareness. For instance, in an educational brochure published by Lourié, the following information was included: "There are many different musical instruments and you can play difficult music on each of them if you wish. Assemblies in which many musicians play together on different instruments are called orchestras" (Mitchinson, 1997, p. 73).

Musicians who agreed to cooperate with the Soviet government were provided with some financial opportunities. For instance, members of MUZO were protected from their homes and personal property being confiscated. It was a strong incentive for musicians to carry on their artistic activities. In the early years of the Bolshevik revolution, every esteemed musician benefited from the support of MUZO and some musicians were on a stable payroll. As a result of the privileges offered, from 1918 to 1921 the number of MUZO employees increased from twelve to eight hundred (Nelson, 1993, p. 24-27).

A controversial issue at MUZO meetings was the policies regarding sacred music. Musicologist E. Leont'eva, who spoke at the meeting, argued that sacred music should not be supported by the government, because the Communist Party had declared that the church and the state were separated and, furthermore, people had to be freed from the influence of absolute inclinations like religion. Aleksandr Grechaninov and Pavel Chesnokov were the most famous church music composers at the time and were very active in the MUZO bureaucracy. Grechaninov objected to Leont'eva by claiming that sacred music was apolitical and also an important part of their musical heritage. Another participant noted that sacred music should be treated as a kind of "concert music rather than an art form fatally infected by the religious impulse" (Mitchinson, 1997, p. 76). The latter approach had been appreciated and adopted by Soviet authorities. During War Communism, almost no attempt was made to restrict the performance and publication of sacred music. Nevertheless, such toleration would begin to change over the years.

In this period, many institutions and organizations were nationalized and placed under the remit of Narkompros. All of the private publication houses, Petrograd and Moscow Conservatories were nationalized. This was followed by a decree allowing all students aged sixteen and over to be accepted into the Higher Education Institutes, regardless of entrance examination requirements. However, Lunacharsky was persuaded to accept only talented individuals to musical institutes and conservatories later on.

In September 1918, it became mandatory for all orchestras, choirs and soloists to register with MUZO and give a detailed description of their activities. In addition, everyone was obliged to provide an inventory of their musical materials such as musical scores and instruments. Those who failed to do this would be brought before a People's Court for the concealment of state property. Narkompros also forbade artists and musicians to leave their residential address without permission.

In November 1918, Lenin went a step further in sanctions on music and Narkompros declared that both published and unpublished scientific, literary, musical or artistic works belonged to the RSFSR and the reproduction, distribution or performance of unauthorized works was forbidden. In 1919, MUZO was declared as "the central and sole organ, uniting, leading, controlling and administering the entire musical life of the RSFSR" (Mitchinson, 1997, p. 64).

Despite all the constraints, musicians faced far greater problems during the Civil War than just freedom of travel and residence. There were more vital needs addressed at MUZO meetings, such the problem of heating the Mariinsky and Bolshoi Theaters and issues of electricity and water. Moreover, the Moscow Conservatory, which served as a hospital during WWI, had to be converted into a concert venue again.

On October 18, 1920 the Worker-Peasant Inspectorate (RABKRIN) examined MUZO to reveal bureaucratic wastes and corruption. As a result, they delivered a devastating report which brought MUZO to an end:

The cause of the noted musical poverty of the revolution has nothing whatsoever to do with the artistic poverty of the revolutionary people, but in the shortcomings of the organization that was to have devoted itself to gathering the manifestations of the collective popular soul, finding a necessary form for it, attracting the masters of musical creativity towards leadership of the masses and introducing into all the creations of the revolutionary masses the spirit of free songs and bold victorious ecstasy of heroic musical works. (Mitchinson, 1997, p. 81).

In addition, RABKRIN blamed Lourié personally for wasting capital in order to publish artistic works for a special segment of the people, rather than large masses. Moreover, much of MUZO's publications (77 works) were Lourié's own works. Thus, they failed to create a new revolutionary repertoire or a permanent body of work. Lourié was removed from office in January 1921 and MUZO was reorganized as the State Institute of Musical Sciences (GIMN).

## **2.2. Music under the New Economic Policy and the Five-Year Plan (1921-1932)**

The period between the end of the Civil War and the rapid industrialization at the end of 1929 was referred to as the New Economic Policy (NEP). The NEP, imposed at the 10<sup>th</sup> Party Congress in March 1921, was developed by Lenin to rescue the Russian economy from collapse. The most striking success of the policies contained within the NEP was the abolition of forced seizures in grain, which was one of the most reactionary practices that took place during War Communism. After 1921, peasants were allowed to sell their products on the market at a certain rate of profit and the seizures were replaced by a 10% tax (Mitchinson, 1997, p. 85). Therefore, they tried to cultivate more agricultural products, and the economy that had collapsed due to WWI and the Russian Civil War was revived by the new NEP policies.

During the NEP period, liberalization was reflected in politics and cultural life as well. In 1922, Lev Trotsky, the Party's number two after Lenin, used the label *poputchik* which literally meant fellow-traveller(s) and could be attached to anyone engaged in art or literature without being a party member or a loyal communist. Until the second half of the 1920s, the ideological services of the regime remained tolerant towards the *poputchik*, and even encouraged pluralism (Hakobian, 2017, p. 23). Cultural relations with the West increased and dozens of private publishing houses were established. As for the field of music, the Soviet State launched an effort to institutionalize the music community. This was followed by the establishment of state academic institutions of music and the centralization of concert events (Mitchinson, 1997, p. 86).

In this period, the most significant contributions in the music field were made by Leon Theremin (1896-1993) and Arseniy Avraamov (1886-1944). Both Avraamov and Theremin believed that a new revolutionary music could emerge through new

technology and it could make a significant contribution to the victory of the Soviet Union.

Theremin graduated from the Petrograd Officers Electro-Technical School as a Military Radio Engineer and also graduated as a cellist from the Petrograd Conservatory. His interest with radio interference and electromagnetic field capacitance encouraged him to combine his training in music and physics to develop a new electronic musical instrument. Thus, he invented one of the earliest electronic instruments, the etherophon<sup>8</sup>. After two years of the first public demonstration, Theremin was invited to give a demonstration to Lenin personally at the Kremlin. He performed works by Glinka, Saint-Saens, and Scriabin. Lenin was impressed with the new invention and even attempted to play the instrument himself (Mitchinson, 1997, p. 90). Subsequent presentations were made in many parts of the Soviet Union under the name termenvoks (Orton & Davies, 2001). The invention of the etherophon was a striking example of the reflection of technology on the field of music.

For Avraamov, the etherophon was important in terms of being a suitable instrument for the performance of the previously undervalued folk music. Unlike the piano, the etherophon was not limited by the twelve-tone system and folk music indeed contained some notes that could not be expressed by the traditional European system. In addition to his focus on Russian and Far Eastern folk music, Avraamov is also known for composing the most courageous experimental music of his time: turning machines into musical instruments. His *Symphony of Factory Sirens* (Simfoniya gudkov, 1922) was inspired by a poem by Alexei Gastev:

When the morning sirens roar  
Across the workers' districts,  
It is not the call of unfreedom  
It is the song of the future. (Frolova-Walker and Walker, 2012, p. 81).

It was a truly proletarian work and the sound material of the symphony included a huge cast of choirs, the foghorns of the entire Caspian flotilla, all the factory sirens of Baku, car and ship horns, aircraft, marching crowds of workers, guns and other

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<sup>8</sup> The instrument is more commonly known as the theremin nowadays, named after its inventor.

similar devices. Avraamov's symphony was first performed in Azerbaijan in 1923 and it is considered a precursor of the *musique concrète*<sup>9</sup> (Hakobian, 2017, p. 22-23).

Avraamov, as one of the Russian pioneers of quarter-tone music, aimed to change the bourgeois culture with the alliance between technology and folklore. He demanded that the structure of the bourgeois art music of the West must be utterly destroyed. He was an ardent revolutionary who argued that all pianos must be confiscated and destroyed for the sake of art because the instrument symbolized Bach's temperament and their confiscation would be an initial step towards abolishing Western tempered pitch. According to Ader (2009, p. 34), he planned to move away from the traditional system and use a new variety of chords consisting of microtones. He developed a 48-tone scale at the GIMN in Moscow and his works predated the establishment of the Circle of Quarter-Tone Music in Petrograd. As for the development of microtonal music, it is important to understand the contributions of these two main organizations: the GIMN in Moscow and the Circle of Quarter-Tone Music in Petrograd.

The GIMN was founded by Nikolay Garbuzov in the same year that MUZO-Narkompros was liquidated. The aim of the GIMN was to centralize all activities related to disciplines such as acoustics, musicology, psychology, physiology, new musical instruments and ethnomusicology. The GIMN initially turned to academic research. Among the associates of the GIMN were many academics and inventors. (Ader, 2015, p. 99). Many research projects were carried out, articles were published and test devices were made. During the NEP period, the GIMN played a crucial role in the development of music technology through the works of enthusiasts like Theremin, Sabaneev and Avraamov. The GIMN was absorbed by the Moscow Conservatoire in 1931 (Frolova-Walker and Walker, 2012, p. 60).

An alternative to the GIMN in Moscow was the Circle of Quarter-Tone Music in Petrograd, which was established in 1923. The head of the Circle was Georgy Rimsky-Korsakov (1901–1965), the grandson of famous composer Nikolay Rimsky-Korsakov. The Circle undertook many activities that contributed to the development of microtonal music. They held public concerts including quarter-tone pieces,

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<sup>9</sup> *Musique concrète* is a genre of electroacoustic music developed by Pierre Schaeffer in 1948. It uses recorded and modified sounds obtained from different sources such as noises, percussion or other voices as a raw material (Apel, 1969, p. 560).

Rimsky-Korsakov informed their audience about the quarter-tone music in Russia, Malakhovsky gave lectures entitled Quarter-tone's Attitude to Proletarian Art. In the summer of 1926, when the collapse of the Circle began, Rimsky-Korsakov withdrew from membership and began to organize lectures under the name of Systems of Temperament which took place at the conservatory (Ader, 2009, p. 38).

Both the GIMN and the Circle of Quarter-Tone Music were the first organizations to demonstrate the phenomenon of microtone at the time. They opened new horizons for their contemporaries and future musicians. Furthermore, microtonal experiments received a favourable assessment by Lunacharsky.

Another striking development in this period was the establishment of Persimfans by the violin professor Lev Tseitlin. Persimfans was the first symphonic orchestra without a conductor which employed the best instrumentalists of the Soviets. Their repertoire included both Russian and European composers. They worked intensively, performing hundreds of concerts in factories, workers' clubs and military units. The collectivist principle of Persimfans was the dispersion and the diffusion of authority. Persimfans and its seventy musicians symbolized equality and anti-authoritarianism. In their ten years of existence they created a revolutionary laboratory, an egalitarian forum and a workplace. Persimfans was dispersed by the oppression of Stalin in 1932 (Stites, 1989, p. 136-140).

### **2.2.1. Establishment of ASM and RAPM**

The establishment of two independent and uncompromising associations was the most spectacular demonstration of pluralism in this period: ASM and RAPM. ASM represented the modernists in Moscow and argued that the revolution had to be innovative and needed new forms of expression. On the other side, RAPM was a powerful anti-modernist movement in favour of proletarian music and insisted that the Revolution was made for the proletariat and therefore, the music should be beneficial to them and be understood by them. According to Hakobian (2017, p. 24), the opposition between RAPM and ASM was a striking example of a typical Soviet debate that was characteristic of the Soviet cultural scene.

The ASM was established under the auspices of the State Academy of Artistic Sciences (GAKhN) in 1923. Its main goal was to provide performances of new Russian music both at home and abroad, as well as to enable Soviet musicians to

follow new tendencies in the West (Nelson, 1993, p. 42). ASM collaborated with the International Contemporary Music Society (ISCM) and the publishing house Universal Edition (UE) in Vienna. Thus, the works of the leading members were published by the UE and took part in the programs of the ISCM festivals. Some of these composers were Myaskovsky, Roslaveltz, Shaporin, Alexandrov, Deshevov, Shcherbachev, Feynberg, Polovinkin, Lyatoshinsky, Knipper, Mosolov, Shablin, Kabalevsky, Popov and Shostakovich (Hakobian, 2017, p. 5). In addition to taking part in the international festivals, the ASM sponsored a series of concerts which included the music of European composers such as Milhaud, Bartók, Hindemith, Honegger and Satie. Hindemith and Milhaud were invited to conduct their own works and Alban Berg attended the Leningrad premiere of his atonal masterpiece *Wozzeck* (1914-22) in 1927. In the 1927-28 season, ASM significantly increased concert activities including the performance of seven symphonic and many chamber music works, as well as a four-part Beethoven series (Nelson, 1993, p. 42). According to Maes (2002, p. 246), ASM was a random community of professional musicians who did not have a common program and had different perspectives and styles. In this context, it was ideologically more liberal than RAPM.

The opposition towards ASM came from RAPM and the proletarian groups which had close relations with the communist party. RAPM was originally founded by Lev Shulgin, David Chernomordikov and Alexey Sergeyev to provide a consulting body and organizational assistance to the Agitation and Propaganda Department (Agitotdel) of the Communist Party and to assure the hegemony of the proletariat in music. According to Slonimsky (2004, p. 114), it “was aggressively communistic and carried on militant propaganda for a new proletarian music.” RAPM proclaimed their Proletarian Music Principles in a manifesto issued in 1924 and criticized bourgeois music as follows:

The brilliant development of musical culture of the ruling classes was made possible by their possession of material and technical tools of musical production. As a ruling class, the bourgeoisie exerts great influence upon all strata of the population, systematically poisoning the workers mind. In the field of music, this process follows the lines of religious and petty-bourgeois aesthetics, and recently, the erotic dance music of contemporary capitalist cities (fox trot, jazz, etc.) (Slonimsky, 2004, p. 130).

According to Lunacharsky, both ASM and RAPM agreed that there was a need for revolutionary and new music. Although the musical language they used was the

exact opposite, both groups believed that they were the true representatives of the proletariat. Lunacharsky advocated a view that supported both groups. According to him, composers should compose by taking inspiration from the legacy of classical music and combining it with the music of the people, especially folk songs. His different approach to music distinguished him from that of proletarian RAPM and the avant-garde ASM groups.

### **2.2.2. Musical life during Stalin's first five-year plan (1928-1932)**

In 1928, Stalin's First Five-Year Plan put an abrupt end to the liberal and internationalist phase of the NEP era, leaving nationalism strengthened by xenophobia in its place. The Plan aimed to industrialize the Soviet Union as rapidly as possible and mostly focused on manufacturing, transport and raw materials such as coal, iron, gas and electricity. Looking at the economic results, the Russian industry was quickly modernized, machinery production increased by four times, oil production doubled, electricity trebled. However, due to the focus on quantity instead of quality, as well as a neglect towards the production of consumer goods, the Soviet people suffered poor quality production and living conditions.

The economic and political changes brought about by The First Five-Year Plan, were reflected in the cultural and artistic life of the country. Known as Stalin's Cultural Revolution, it was one of the most oppressive periods in Soviet musical history. The new nationalist mindset led RAPM to gain a position of power. Although they were not officially supported by the state, RAPM established a repressive authority over musicians. By the middle of 1929, they obtained administrative control by gradually taking control of music publications, censorship organs, publishing houses and media. During their hegemony, simple harmonic writing, 4/4 time and major tonality were almost obligatory. RAPM demanded that composers write songs for the masses and establish folk music ensembles. They criticized modern approaches in composition severely. They did not accept any modern Western or Russian school except Beethoven, Mussorgsky and Russian National School.

The changes that the RAPM made in favour of the proletariat include the prohibition of the performance and publication of modernist works, the removal of ideologically inappropriate works from the repertoire, the modification of opera and musical theater to fit the revolutionary tastes, the change of the mission of the state orchestras

and theaters and the reorganization of conservatories for the sake of mass education. Additionally, publications were silenced in the field of modern music and musical criticism came under the domination of the RAPM, which put increasing pressure on many composers and performers who were previously members of the ASM. Both traditionalist and modernist musicians were increasingly being stigmatized as bourgeois formalist and were subjected to severe criticism (Darby, 1999, p. 183).

To give some concrete examples; Shostakovich's first opera *The Nose* (1928) and Prokofiev's ballet *The Steel Step* (1926) were among the works that received such criticism and censorship. As Manashir Yakubov observed in *Shostakovich Studies* (1995, p. 199), *The Nose* was removed from the upcoming performance list of the Bolshoi Theater in Moscow and the Maliy Opera Theater in Leningrad after the publication of the criticism by RAPM that the opera was a "nonsensical anecdote" and "an ugly grimace." A performance of *The Steel Step* in Moscow was also cancelled.

Some of the most striking examples of the adaptation of opera to fit revolutionary sensibilities are Puccini's *Tosca* (1900) and Meyerbeer's *the Huguenots* (1836). *Tosca* was transformed into a revolutionary opera in the Paris Commune and *the Huguenots* adapted as *the Decembrists*. The libretto of Glinka's opera *Life for the Tsar* (1836) was changed from 'Glory be to our Russian Tsar' to 'Glory be to our native land' (Slonimsky, 1944, p. 11).

### **2.3. Union of Soviet Composers and Centralization in Music (1932-1953)**

On April 23, 1932, the Central Committee of the Communist Party ordered centralization of all independent artistic organizations, so that all artistic disciplines would be directly under party control. In accordance with this purpose, a separate union was created for each artistic discipline for which membership was mandatory. RAPM, ASM and Proletkul't were merged under the Moscow Composers Union and the Leningrad Composers Union, until they were unified under the name of the Union of Soviet Composers (USC) in 1948. These Unions, which provided the centralization of Soviet music were largely governed by bureaucrats. Nikolai Chelyapov, who was appointed to the presidency of the Moscow Composers Union and the editor of the *Sovetskaya Muzika* (Soviet music) journal, was not a musician but a bureaucrat who was responsible for the Artistic Affairs Committee of

Narkompros. Chelyapov's appointment allowed the Soviet State to retain complete control of the field of music. The composers were obliged to attend the meetings where their works were discussed, examined and criticized by their colleagues. Refusing to attend these meetings was considered as a sign of bourgeois individualism (Maes, 2002, p. 254).

Several sources refer to the period between 1932 and 1935 as Stalinist perestroika (Stalinist restructuring). According to Slonimsky (2004, p. 132), this period was a milestone in Soviet music history and freed Soviet composers from the repressive dogmas of the RAPM. As Darby (1999, p. 140) argues in his thesis, a softer policy on culture and art was followed in general during this time and positive reviews of pioneering artists and intellectuals emerged in the press once more. Opera, jazz, light music, etc. which were banned during the RAPM's tenure, were allowed to be played in public again.

Slonimsky (2004, p. 132) captures this relief by quoting the words of a composer who gave a cheerful statement to *Sovietskaya Musika* after the dissolution of the RAPM: "Now I can learn how to write in 3/4 time again!" The composer's expression clearly reveals the lightness of being freed from RAPM's impositions of composing in 4/4 (march) time.

### **2.3.1. Socialist realism and western formalism**

The doctrine of socialist realism and formalism are the two important elements that must be understood in order to define Soviet art in the post-1930s. In 1934, the Communist Party ordered all artistic spheres to express socialist ideology through traditional forms. This officially approved doctrine was called socialist realism which was initially described in the Soviet Writers' Union with the participation of Joseph Stalin, Maxim Gorky, Nikolai Bukharin and Andrei Zhdanov:

Socialist Realism, being the basic method of Soviet literature and literary criticism, demands from the artist a truthful, historically concrete depiction of reality in its revolutionary development. At the same time, the truthfulness and historical concreteness of the artistic depiction of reality must coexist with the goal of ideological change and education of the workers in the spirit of socialism. (Volkov, 2004, p. 16).

The necessity of socialist realism was also advocated by Stalin: "The development of cultures national in form and socialist in content is necessary for the purpose of their

ultimate fusion into one general culture, socialist as to form and content, and expressed in one general language” (Taruskin, 2016, p. 263). Slonimsky (1944, p. 6) stated that the concept of Socialist Realism did not have a fixed goal, it rather specified a direction that was, as proclaimed by Stalin: “socialist in content and national in form.”

According to Heller (1997, p. 52) the core concepts of the socialist realist aesthetics are divided into three categories; “an ideological commitment, a national/popular spirit and party-mindedness.” The ideological commitment defines the relationship between the content and an approved thought; this means that the formal structure should not dominate the content. The concept of a national or popular spirit refers to the idea that art must express the will of the people and should be accessible to them. The third category, party-mindedness, requires the artwork to support the party vigorously and to help build socialism.

Although the theoretical discussions of socialist realism first appeared in the field of literature, it was later applied to all branches of art. Due to the fact that the outline of the concept was unsettled, it was very hard to define in a musical sense. The painters, for instance, produced praiseworthy works on the achievements of Stalin’s first and second Five Year Plans. However, the adaptation of socialist realism in musical composition was much more complex due to its abstract nature.

As Tompkins (2013, p. 18) stated, in order to fulfill the requirements of socialist realism in music, the composition of text-based works containing ideological messages supported by the party were requested. Instrumental music was supposed to be melodic and vivid enough to be easily understood by the masses. In addition, it was essential to base new works on the great masters of the past to preserve the national musical tradition and to compose in accordance with the communist ideology. Composers who did not comply with these principles were labeled as formalists and were harshly criticized.

Formalism became a concept that included all modernist movements and composition techniques such as using dissonance, atonality, twelve-tone, etc. In other words, formalism included all abstract ideas that did not belong to Soviet nationalism and were borrowed from the West. In his *Brief Music Dictionary* (1959), Dolzhansky described formalism as “a bourgeois cosmopolitan tendency opposed to realism in

art, thus destroying its ideality, its national autonomy and progressivism, and instead preaching individualism and pessimism, distorting the images of reality and investing them with intentionally contrived, ugly forms” (Slonimsky, 2004, p. 179).

In order to better understand what formalism is in music, it would be instructive to include personal statements of composers who witnessed the post-revolutionary musical politics first-hand. For instance, Igor Stravinsky describes the essence of music in his book entitled *An Autobiography* (1962, p. 53-54) as follows:

...For I consider that music is, by its very nature, essentially powerless to express anything at all, whether a feeling, an attitude of mind, a psychological mood, a phenomenon of nature, etc. Expression has never been an inherent property of music. That is by no means the purpose of its existence. If, as is nearly always the case, music appears to express something, this is only an illusion and not a reality...The phenomenon of music is given to us with the sole purpose of establishing an order in things, including, and particularly, the coordination between man and time. To be put into practice, its indispensable and single requirement is construction. Construction once completed, this order has been attained, and there is nothing more to be said. It would be futile to look for or expect anything else from it.

Stated succinctly, Stravinsky is suggesting that music is formalist in itself and that meaning comes from its structure. The form of a work gives its meaning and it is completely subjective what people feel while listening to it.

The term formalism was used so inexactly that Sergei Prokofiev once stated that “formalism is music that people don’t understand at first hearing” (Schwarz, 1976, p. 115). Similarly, Dmitri Shostakovich stated: “there was a time when this was all greatly simplified. If you set verses, it would seem, there’s your content, if you don’t, there’s your formalism” (Fay, 2000, p. 88).

While composers attempted to understand and produce works according to the requirements of socialist realism, the first successful model was Ivan Dzerzhinski’s *Tikhii Don* (Quiet Flows the Don, 1935). It came to the forefront especially after the attendance and approval of Stalin at the Moscow performance. Stalin praised the work for combining patriotic and heroic themes with simple, revolutionary melodies. After the performance, Dzerzhinski had a chance to talk with Stalin and published his remarks in an article in Pravda. According to Dzerzhinski, Stalin declared that the time had come for the creation of the new Soviet Opera which must widely use folk songs, be emotionally exciting and follow the latest developments in music. But above all, it must strive to maintain closeness to the masses (Slonimsky, 1944, p. 10).

Dzerzhinski's opera *Tikhii Don* was dedicated to Shostakovich and won him a Stalin Prize. Ironically, ten days after Stalin's commendation of *Tikhii Don*, Shostakovich's *Lady Macbeth* (1934), which had been staged for two years and achieved great success, was targeted for being in line with formalist values. It was immediately after Stalin's attendance of a performance at the Bolshoi Theater that Pravda published an article on January 28, 1936, entitled *Chaos Instead of Music* attacking Shostakovich with the following words:

Certain theatres are presenting to the new culturally mature Soviet public Shostakovich's opera *Lady Macbeth* as an innovation and achievement...The young composer, instead of hearing serious criticism, which could have helped him in his future work, hears only enthusiastic compliments. From the first minute, the listener is shocked by deliberate dissonance, by a confused stream of sound. Snatches of melody, the beginnings of a musical phrase, are drowned, emerge again, and disappear in a grinding and squealing roar. To follow this "music" is most difficult; to remember it, impossible...Here we have "leftist" confusion instead of natural human music. The power of good music to infect the masses has been sacrificed to a petty-bourgeois, formalist attempt to create originality through cheap clowning. It is a game of clever ingenuity that may end very badly. The danger of this trend to Soviet music is clear. (Seroff, 1943, p. 204-207).

As Pravda was the official voice of the Communist Party, this condemnation created a fear in the musical community, because the laudable opera they supported suddenly became bourgeois formalism in music. This case was a turning point and it marked the beginning of the official attack towards music.

Another Pravda article published ten days later criticized Shostakovich's socialist realist ballet *The Limpid Stream* (1934-35), for its failure to reach the masses and for being artificial and formalist. All these criticisms caused Shostakovich to worry about his life and career. Fearing Stalin's displeasure, he admitted the validity of the Pravda criticism with a public statement. He abandoned the field of opera and ballet for a while and withdrew his Fourth Symphony. Shostakovich composed his Fifth symphony at such a critical period of his career. Fortunately, he succeeded and won the admiration of Stalin with the performance of the symphony at the annual October Festival in 1937. Alexei Tolstoy proudly wrote "Glory be to our people which produces such talents as Shostakovich" (Slonimsky, 1944, p. 7).

In order to better understand the adaptation process of socialist realism, it is important to consider Sergei Prokofiev (1891-1953), a prominent Soviet composer

who experienced similar challenges. Although Prokofiev lived abroad for fifteen years, his music was actually based on Soviet music and was essentially suitable for the needs of socialist realism. Nevertheless, he suffered many corrections and obstacles in his Soviet career.

Prokofiev's sense of restlessness began with the inability to use the works he composed in 1936 as intended. The stage dramas *Boris Godunov* (1936) and *Eugene Onegin* (1936) along with his music for the projected film *The Queen of Spades* (1936), were cancelled for containing formalist elements. This was the first waste of his labour and the first exposure to forces beyond his control. *Cantata for the Twentieth Anniversary of October* (1936-37) was in fact composed in order to impress the Soviet authorities, but the result was not as expected. Although it seemed to glorify the Soviet State at first sight, it was widely criticized for being satirical by arranging the words of Lenin, Marx and Stalin to ensure musical integration. Eventually, a very controversial situation arose and the work was banned with harsh criticism by the Committee of Artistic Affairs in 1937 (Morrison & Kravetz, 2006, p. 262). Prokofiev had to endure the consequences of his failure for years.

Following this turbulent experience, Prokofiev knew that his subsequent works had to be completely in line with the requirements of socialist realism. Although he was displeased with ideological overseers, he worked tirelessly to gain approval from Soviet authorities. In 1938, he composed music for Sergei Eisenstein's film, *Alexander Nevsky* which achieved great success and became popular. After reaching the success he desired, Prokofiev began to work on his first Soviet Opera, *Semyon Kotko* (1939), which would be produced by a close friend of Prokofiev, Vsevolod Meyerhold (1874-1940). Unfortunately, the great stage director Meyerhold was arrested and shot to death on February 2, 1940 and the premiere of the opera was postponed. Later, it was premiered at the Stanislavsky Opera Theatre in Moscow on 23 June, 1940, but did not achieve the expected success.

A few months after Meyerhold's arrest, Prokofiev was asked to compose *Zdravitsa* (Hail to Stalin, 1939) for Stalin's 60<sup>th</sup> birthday. He faced a dilemma between his own internal artistic sensibilities and his adherence to the rules of socialist realism. To avoid any possible mistakes, Prokofiev designed a libretto based on the poems for Stalin which included the following lines:

There has never been a field so green  
The village is filled with unheard of happiness  
Our life has never been so happy  
Our rye has hitherto never been so plentiful.

Usage of such poems as libretto during a period of mass hunger and deportation clearly reveals Prokofiev's confusion. According to Nestyev (1946, p. 155), *Zdravitsa* is one of the best Soviet compositions singing of the love of the people for Stalin. Composed for mixed chorus and orchestra, *Zdravitsa* received great appreciation and the premiere was rebroadcast over the radio throughout the winter (Morrison & Kravetz, 2006, p. 251).

The aesthetics of socialist realism and the compliance problems of two foremost composers have been examined so far. However, it must be also underlined that some positive developments for Soviet music were experienced in this period. For instance, Soviet instrumentalists were competitively well-trained and had extraordinary technique and musicality. Thus, there was almost no international competition that they lost in 1930s. In addition to the international success of the performers, many music festivals were organized. For instance, the All-Union Music Festival which was firstly held in Moscow, Leningrad, Kiev and Tbilisi in 1937, spread to thirty cities in the next year and the following two festivals covered the whole Soviet nation (Schwarz, 1976, p. 133-134).

Another important festival was the Dekadas (ten-day festivals) which mainly took place in Moscow. Beginning from 1936, each Dekadas was dedicated to one of the republics of the Soviet Union. They included all kinds of performing arts such as opera, ballet, orchestra and folk music along with visual arts, painting and sculpture. Ten Dekadas were organized presenting the arts of Ukraine, Kazakhstan, Georgia, Uzbekistan, Azerbaijan, Kirghizia, Armenia, Byelorussia, Buriat-Mongolia, and Tadzhikistan. The Dekadas lasted until the Nazi invasion in 1941 (Schwarz, 1976, p. 132).

### **2.3.2. Music during the Great Patriotic War**

The German invasion during WWII directly affected the policies on art and culture. Due to their alliance with Western powers, the Soviet government had to restructure its relations with the West and abandon their anti-Western rhetoric. Thus, the new era

in music focused more on patriotic propaganda and initially aimed to raise the morale of the Soviet people.

The aggression of German troops was a powerful awakening of the nationalist movement. As in all other areas, music was highly influenced by these nationalist tendencies. Many composers took the theme of nationalism and military triumph to the forefront in their works. These themes were straightforward to express in vocal music since it was based on texts. However, composers used different techniques to create a nationalist mood in instrumental music. They often took inspiration from historical figures or places and made use of national musical elements, such as melodies and rhythms of traditional Soviet music.

During World War II, the Soviet government took some proactive measures in the field of music such as evacuating the composers from cities on the battlefield and ensuring financial stability for them. The Stalin Awards were presented as incentives both for moral and material support and they ensured continuity of musical creativity during the war. Thus, music continued to express the feelings of the Soviet people despite all the adversities of the war.

Shostakovich's *Seventh Symphony* (1941), a touchstone of a shift in Soviet music, was one of the most important works written during the period of German invasion and it was inspired by the city of Leningrad (Harris, 2016, p. 75). The symphony represented a promising end to the siege with its assertive brass tones and militaristic texture. It implicitly gave the signals of victory to the audience which stimulated Soviet people to sustain their wartime struggle.

Two other praiseworthy works written in this period include Shostakovich's *Eighth* (1943) and Prokofiev's *Fifth Symphonies* (1944). Although these two important works emerged in the same period, they reflect two different perspectives: the sorrow caused by the war and the enthusiasm of victory. Shostakovich's *Eighth* is his most heart-wrenching work in C minor reflecting the tragedy of war. In contrast, Prokofiev's *Fifth symphony* in B-flat major is more thrilling and ends in the first flush of victory (Harris, 2016, p. 75).

Prokofiev's other works that are directly related to the Great Patriotic War include his orchestral suite *The Year 1941* (1941), his opera *War and Peace* (1942) and *Ballad of an Unknown Boy* (1942), the central narrative of which concerns a boy who

wants to retaliate against the German occupiers for killing his mother and sister (Schwarz, 1965, p. 196; Slonimsky, 1944, p. 13).

One of the most striking changes in this period was the creation of a new national anthem. Alexander Alexandrov's marching song called *Hymn of the Bolshevik Party* (1938) was found to be appropriate and the lyrics of the song were changed to emphasize the patriotic character of the Soviet nation. With the approval of Stalin, the resulting work was declared as the new National Anthem and it officially replaced the *Internationale* on March 15, 1944. The new anthem emphasized the nationalist and patriotic spirit more effectively and united people in this common impulse (Slonimsky, 2004, p. 18).

### **2.3.3. The year 1948 and after: Zhdanovism**

After the war, Zhdanov launched a series of ideological campaigns to rebuild the Party line towards art. The Communist Party once again emphasized anti-westernism and encouraged artists, writers, intellectuals and composers to produce works including themes of the Russian Revolution and nationalism. Beginning in August 1946, the period in which intelligentsia were subjected to various forms of repression, is known as Zhdanovshchina and it began with three Central Committee resolutions on literature, theater, and film, respectively.

On 10 February 1948, Central Committee's final resolution, "On the Opera *Velikaia Druzhba* by V. Muradeli" was an attack on the field of music and it became a turning point in Soviet musical life in terms of censorship and criticism. The starting point of this resolution was Zhdanov's attendance to the premiere of Muradeli's opera *Velikaia Druzhba* (the Great Friendship, 1947) which dealt with war between the Reds and Whites in the Caucasus. After the premiere, Zhdanov summoned a three-day meeting with composers in which he attacked Muradeli's opera for being expressionless, poor and incompatible (Schonberg, 2013, p. 498), he denounced it as being formalist. In the meeting, composer Vladimir Zakharov suggested: "Shostakovich's *Seventh*, *Eighth*, and *Ninth Symphonies* are supposed to be considered as works of genius abroad, but who considers them as such?" (Ross, 2007, p. 196). Considering the musical circles' respect for Shostakovich, Tikhon Khrennikov, a politically talented younger composer, criticized him carefully without

targeting him personally: “The *Leningrad*<sup>10</sup> was described as a work of stupendous genius besides which Beethoven was a mere pup” (Ross, 2007, p. 196).

Even though the starting point seemed to be Muradeli’s opera, the resolution singled out Shostakovich, Prokofiev, Khatchaturian, Shebalin, Popov, and Miaskovsky as being the pioneers of formalism and demanded that Soviet composers return to the traditions of Russian music (Tassie, 2014, p. 276; Rubsamen, 1951, p. 268-269). Starting with the anti-formalist campaign against Shostakovich’s opera *Lady Macbeth of Mtsensk*, political interference with the field of music reached its peak with this resolution.

Another series of meetings were held between 17 and 26 February, again under the chairmanships of Zhdanov and Khrennikov at which some prominent composers had to apologize for the ‘worthless’ music they composed. At the General Assembly of Soviet Composers, Zhdanov stated that Muradeli’s opera turned out to be a failure. He noted that the main defect of the opera was its inability to reach the people due to the lack of a single memorable melody. Zhdanov criticized the Committee of Fine Arts, especially its chairman Comrade Khrapchenko, for publishing this opera to a great extent and spending six-hundred-thousand rubles on its production at the Moscow Bolshoi Theater alone. According to Zhdanov, this irresponsibility, which encouraged the government to spend money in large quantities, showed that the Committee of Fine Arts was inadequate for leadership in art.

Khrennikov, who would be appointed as the General Secretary of the Composers Union at the end of these meetings, took an even tougher line in his famous speech. He stated that the resolution was very important for the destiny of Soviet music. According to Khrennikov, the resolution was a definite blow to anti-democratic formalism and modernist tendencies in Soviet music and it directed Soviet composers towards realism; to the path of true democratic art. What follows is an excerpt from this historic speech<sup>11</sup>:

In the music of these composers we witness a revival of anti-realistic decadent influences calculated to destroy the principles of classical music. These tendencies are peculiar to the bourgeois movement of the era of imperialism: the rejection of melodiousness in music,

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<sup>10</sup> Leningrad Symphony: Dmitri Shostakovich’s Symphony No. 7 in C major, Op. 60.

<sup>11</sup> All references to the declarations at the meetings are written on the basis of the original transcripts published by Slonimsky (1994).

neglect of vocal forms, infatuation with rhythmic and orchestral effects, the piling-up of noisy ear-splitting harmonies, intentional illogicality and unemotionality of music. All these tendencies lead in actual fact to the liquidation of music as one of the strongest expressions of human feelings and thoughts. (Slonimsky, 1994, p. 1059).

He first pointed out that formalist distortions and anti-democratic tendencies were found in the works of Shostakovich, Prokofiev, Khachaturian, Popov, Miaskovsky, Shebalin and some other composers. Complaining that the composers drove audiences away, Khrennikov made scapegoats of particular works including Muradeli's opera *Great Friendship*, Prokofiev's *Festive Poem*, *the Mighty Land* and *the Sixth Symphony*; Miaskovsky's *Pathetic Overture* and the cantata *Kremlin at Night*; Shostakovich's *Poem of Fatherland* and Khachaturian's *Symphonie-Poeme*.

Khrennikov accused Khachaturian and Prokofiev of conducting formalist experiments and writing impracticable orchestral combinations, such as the inclusion of twenty-four trumpets in Khachaturian's *Symphonie-Poeme* and scoring for sixteen double-basses, eight harps and four pianos in Prokofiev's *Ode to the End of the War*. He claimed that the irrational use of orchestral sonorities meant nothing more than creating astonishment among listeners. He also denounced the *Eighth* and *Ninth Symphonies* of Shostakovich and the *Piano Sonatas* of Prokofiev for their neurotic content, "escape into a region of abnormal" and for being "tenseness, repulsive and pathological" (Slonimsky, 1994, p. 1059).

Another typical expression of formalism for Khrennikov was the omission of Russian folk songs or the arrangement of them in an "overcomplex decadent manner alien to folk art." Therefore, he denounced Popov's *Third Symphony* on Spanish themes, and arrangements of Russian folk songs by Prokofiev (Slonimsky, 1994, p. 1060).

Khrennikov defined formalism as "a revelation of emptiness and lack of ideas in art." According to him, the rejection of ideas would reveal the concept of "art for arts' sake, a cult of pure form, a cult of technical devices as a goal in itself" and this concept destroys the integrity and harmony in art. He stated that "the cultivation of form as a goal in art leads in the end to the disintegration of the form itself and to the loss of high-quality professional mastery" (Slonimsky, 1994, p. 1060). Khrennikov criticized this kind of subjective idealism, in which the artist became appraiser of his

own art. Ingratiating himself into Zhdanov's favour, Khrennikov often referred to his speech:

Comrade Zhdanov has said in this connection that if an artist does not expect to be understood by his contemporaries, it leads to desolation, to an impasse. If a true artist, says Comrade Zhdanov, finds that his work is not understood by the listeners, he must figure out first of all why he failed to please the people, why the people cannot understand him. (Slonimsky, 1994, p. 1060).

Indicating that the music of the Soviet composers since the 1920's contained many formalist items, Khrennikov condemned half of the Soviet composers' works in the early 20<sup>th</sup> century. Among them are Shostakovich's opera *The Nose*, *Symphony Nos. 2, 3, 8, 9* and *Second Piano Sonata*; Prokofiev's ballets *The Prodigal Son*, *On the Boristhenes*, *Pas Dacier* and his operas *The Flaming Angel*, *War and Peace*, *Symphony Nos. 3, 4, 5, 6*, *Piano Concerto*, *Fifth Piano Sonata*, and a number of piano works; Khachaturian's *Symphonie-Poeme*; Mossolov's *Iron Foundry*, *Newspaper Advertisements*; Knipper's opera *North Wind*, *Tales of a Porcelain Buddha*; Shebalin's *Lenin Symphony*, *Symphony No. 2*, the *Quartet* and *String Trio*; Popov's *Symphony No. 1*; Liatoshinsky's *Symphony No. 2* and songs; Boelza's *Symphony Nos. 1, 2* and songs; Litinsky's: *Quartets* and *Sonatas*; Shcherbachev's *Symphony No. 3*, Popov's *Symphony No. 3*, Miaskovsky's *Symphony Nos. 10, 13*, *Third Piano Sonata*, *Fourth Piano Sonata* and so on.

Khrennikov also declared that formalist tendencies were strongly reflected in the education of younger composers. He stated that treading in Shostakovich and Prokofiev's footsteps, these composers used degenerate themes, exoticism and mysticism more frequently. He continued his condemnation, accusing other professors of the Moscow Conservatory:

Formalistic distortions are also strongly reflected in the education of young composers in conservatories, particularly in the Moscow Conservatory. This is obviously connected with the fact that some composers mentioned in the resolution of the Central Committee of the All-Union Communist Party as representative of the formalistic movement (Shostakovich, Shebalin and Miaskovsky) are professors of the Moscow Conservatory and Shebalin is its director. (Slonimsky, 1994, p. 1061).

It was obvious that such criticism could have harmful consequences due to the political environment and Zhdanov's cruel campaign against formalism. After many years, in an interview with Eichler (2007), Khrennikov stated that he did not write

that speech himself and he had no other option. It was merely a task that the Central Committee had imposed on him. He stated he was compelled to make that speech as the Party discipline was so strong and added that it did not affect the creative activity of the composers. For him, it inflicted no harm to them.

When observed from the perspective of the composers, the situation was not as Khrennikov described. Despite claiming that he was also a victim and it was the most tragic event in his life, it does not change the fact that Khrennikov's words made the composers' lives much more miserable than his own purported misery.

Following the Congress, all condemned composers were dismissed from their professional posts and their works were barred from performance, which caused them pecuniary loss and intangible damages. Shostakovich was dismissed from his teaching posts at the Moscow and Leningrad Conservatories on the grounds of professional inadequacy and thereby lost his only regular income. In addition, many of his works were barred from performance. Shebalin was dismissed from the Moscow Conservatory Directorate. The concert and theater managers removed Prokofiev's works from the repertoire and his works were also barred from performance. Along with Muradeli's opera, forty-two other works by thirteen composers were suppressed (Macdonald, 1990, p. 196-197; Jaffé, 2012, p. 80; Morrison, 2009, p. 314).

The composers' acceptance of their guilt in response to the February Resolution which condemned, accused, and censored them reveals how they actually suffered under oppression. Muradeli, for instance, immediately accepted the blame and said:

How could it have happened that I failed to introduce a single folk song in the score of my opera? It seems strange and almost incredible to me and can be explained only as a manifestation of my inherent snobbishness. I will try with all my heart to earn the right to continue my devoted service to our Soviet music. (Slonimsky, 1994, p. 1062).

Shostakovich stated that the criticism of the Party was strong but fair and it made him focus on the works of the Russian national art more intensely. Facing his colleagues, Shostakovich promised to utilize folkloric melodies and write songs and romances in his future works (Fay, 2000, p. 160). Shostakovich conveyed his apology to the General Assembly as follows:

I know that the Party is right; I know that the Party shows solicitude for Soviet art and for me as a Soviet composer...I am deeply grateful for it and for all the criticism contained in the

resolution...I shall try again and again to create symphonic works close to the spirit of the people from the standpoint of ideological subject matter, musical language and form. I shall still more determinedly work on the musical depiction of the images of the heroic Soviet people...I shall again and again try to create Soviet mass songs. (Slonimsky, 1994, p. 1063).

Khachaturian stated that the Party Resolution fully reflected the musical perspective of the Soviet people and it brought liberation to Soviet musicians. “We feel easier, more free” he said, and continued “What can be higher and nobler than writing music understandable to our people and to give joy by our creative art to millions?” Among the composers accused of formalism, only Myaskovsky kept his silence (Tassie, 2014, p. 276). Prokofiev stated that his health condition prevented him from participation in the Soviet Composers Assembly. Therefore, he sent a letter of apology to Khrennikov stating that the resolution “separated decayed tissue in the composers’ creative production from the healthy part” (Slonimsky, 1994, p. 1064).

Following the meetings, a humiliating public apology was published, bearing the signatures of the accused composers. Composers stated that they were “tremendously grateful” to the Central Committee and Comrade Stalin for the “severe but profoundly just criticism of the present state of Soviet music” (Slonimsky, 1994, p. 1065). In this letter, the composers acknowledged that they moved away from socialist realism and confirmed that they would use their artistic mastery to reflect the lives and struggles of the Soviet people:

Not for the snobs should sound our music, but for our whole great people...We shall give all our strength to the new and unparalleled great flowering of Soviet musical art...We give to you and to the whole Soviet people a sworn pledge that we shall direct our work along the path of socialist realism, tirelessly laboring to create, in all musical forms, models worthy of our great epoch, striving to make our music beloved by the whole great Soviet people, so that the great ideas that inspire our nation in its universally historic deeds of valor shall find living and vivid expression in our art...Long live our leader and teacher, father of the nation, great Stalin! (Slonimsky, 1994, p. 1066).

As a result of the meetings, on February 26, the Central Committee appointed Tikhon Khrennikov as the General Secretary of the Composers Union ahead of the All-Union Congress of Composers in April. With this appointment, an ardent supporter of Zhdanov in attacks on formalist composers became the third major force after Stalin and Zhdanov to pursue Soviet music policies. Two months after the February

Resolution, the first All-Union Congress was held in Moscow between 19 and 25 April, 1948, which resulted in a complete revision of Soviet music.

Formalists were once more invited to convey their apologies at the Congress. Many of them did not appear. One participant stated that it was a conspiracy of silence. Shostakovich went to the podium to give another apology; later pointing out that the text he read was given to him by a Party official at the very last minute. He later described this humiliating moment as follows: “I read like the most paltry wretch, a parasite, a puppet, a cut-out paper doll on a string!” (Ross, 2007, p. 279; Wilson, 1994, p. 294).

## **2.4. Khrushchev and the Thaw Period (1953-1964)**

Stalin’s death on 5 March 1953 was the most important event that precipitated Khrushchev’s Thaw. Although the Thaw Period is considered to have started after Khrushchev’s secret speech<sup>12</sup> in 1956, it was clear that the political atmosphere had already relaxed. Khrushchev’s speech at the 20<sup>th</sup> Party Congress in 1956 was a milestone in Soviet policies, it triggered the process of de-Stalinization, which was a series of Soviet political reforms eliminating the Stalinist ideology and Gulag labour camps (Schwarz, 1976, p. 298). It was a period of reflection on the past and the future and it influenced all aspects of life in the Soviet Union.

In the months following Stalin’s death, Lavrentiy Beria, Stalin’s longest and most influential secret police chief and later Deputy Premier, was arrested and executed. With his execution, the pressure on Soviet people, artists and intellectuals was reduced as it was a symbol of the end of brutal terror and extermination.

De-Stalinization was first reflected in art through literature, specifically with Ehrenburg’s *Otтеpel* (1954, the Thaw) which dealt with Soviet life in a more realistic way and condemned the political terror of the Stalin Period. It described the atmosphere of fear and insecurity that dominated Soviet society. It was also important as the first novel to show courage towards the taboo aspects of the police

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<sup>12</sup> Khrushchev’s Secret Speech: Khrushchev made a speech at the Communist Party’s 20<sup>th</sup> Congress on February 24, 1956 where he condemned Stalin for his crimes and cult of personality. The reason it was considered a secret was that it was held in a closed session and was not included in the Soviet press as part of the Congress.

state. Therefore, it was subjected to much criticism. Nevertheless, Ehrenburg's eponymous novel was a symbol of the Thaw in literature and arts.

While literature was pushing the limits of emancipation, music underwent similar developments. In 1953, a few months after Stalin's death, Shostakovich completed his *Tenth Symphony*, its role resembled that of Ehrenburg's novel and incited similar criticism. After the premiere of the symphony, a three-day discussion took place at the Composers' Union. As the discussions focused on the freedom of the composers to express themselves without bureaucratic intervention and their right to be individual and subjective, Shostakovich clearly stated that he aimed to express "human emotions and passions" in his work (Schwarz, 1976, p. 279).

Refusing the Stalin Prize for his *Tenth Symphony*, Shostakovich was later awarded the title of People's Artist of the U.S.S.R, which was the highest artistic accolade within the Soviet Union. Two other composers who deserved this title were Khachaturian and Shaporin (Fay, 2000, p. 192). Unfortunately, the veteran composer Prokofiev never experienced liberalism in the post-Stalin era due to his death on March 5, 1953, by a strange coincidence, on the same day as Stalin.

In 1957, the Second All-Union Congress of Composers was held under the leadership of Tikhon Khrennikov. His opening speech was more moderate compared to that of 1948:

I dwell particularly 1930's because it is precisely this period when the concept of socialist realism ripened...that certain foreign critics have recently represented in a distorted light as the beginning of the decline of Soviet art. By automatically linking the development of our art since 1934 with the mistakes and flaws of the cult of personality, in considering Socialist Realism merely an offshoot of this cult, these 'theoreticians' wish to represent the weaknesses and shortcomings of our creative work as the genuine history of Soviet art; they try to discredit the very method of Socialist Realism and the principle of Party spirit; under cover of the slogan 'freedom of creation', they try to put Soviet artists in opposition to the Communist Party and to Party direction of the arts...Such views, whether they be a link in the openly reactionary propaganda campaign or the result of confusion among ideologically unstable circles of the arts intelligentsia in certain of the People's Democracies, cannot of course change our stand in the fundamental questions of principle of Soviet aesthetics. (Schwarz, 1976, p. 300).

With his speech, Khrennikov created the perception that only foreign critics discredited the method of socialist realism. He went further and claimed that the

consistent criticism of formalism in the 1948 decree was valuable and had a positive impact on Soviet music.

As a matter of fact, Khrennikov seemed to put little effort into the supervision of musical activities in this period since some Stalinist dogmas were revised and liberation was achieved in every respect. Additionally, there was no longer a reason for him to adopt a prohibitive stance, primarily because, many leading composers, such as Shostakovich, Khachaturian, and Kabalevsky were becoming more conservative as they reached their fifties. As a result, they were creating a spontaneous front against modern Western tendencies, such as the twelve-tone technique (Schwarz, 1976, p. 309).

In 1958, interactive relations with the West improved through the cultural exchange agreement with the United States. Many American composers and conductors visited the Soviet Union and Shostakovich, Kabalevsky, Khrennikov, Dankevich and Amirov went to the United States in exchange (Figure 2.1). As a consequence, the Soviet Union abandoned its extreme nationalism in music.

One of the most remarkable incidents of this period was the new decree entered into force on 28 May 1958: On the Correction of Mistakes in the Evaluation of the Operas *Great Friendship*, *Bogdan Khmel'nitsky* and *From All My Heart*. The decree essentially aimed to provide official rehabilitation of the leading composers who were blacklisted and exposed to harsh criticism during Zhdanovshchina (Fay, 2000, p. 204). Although it did not fully repeal the 1948 decree, it was significant that the Central Committee corrected itself for the first time and withdrew some of the accusations officially. They admitted that the works of denounced composers were not actually representative of formalism. Interestingly, Khrennikov, a leading actor of the 1948 Decree, later claimed that he convinced Khrushchev that the composers should be absolved from the unfair disgrace bestowed on them by the 1948 purge (Schwarz, 1976, p. 215, Bittner, 2008, p. 70-71).



**Figure 2.1 :** Khrennikov, Shostakovich and Kabalevsky at a press conference in Los Angeles.<sup>13</sup>

In the early 1960s, some of the compositions which were prohibited in the Zhdanovshchina were included in the concert repertoire again. For instance, the neglect of the war symphonies by Khachaturian and Shostakovich was brought to an end, instead they were cherished and re-entered the repertoire. Prokofiev's *Semyon Kotko* and his last opera *The Story of a Real Man* were re-staged. Shostakovich's *Fourth Symphony*, which was postponed by the composer, was finally premiered after twenty-five years. His banned opera *Lady Macbeth of Mtsensk* was also re-staged with a slight revision, under the title of *Katerina Izmailova*. In addition to his formerly composed and revised works, Shostakovich also premiered his newly composed *Thirteenth Symphony*, his operetta *Moskva Cheremushki* and his new cello concertos in this period. Other prominent works completed in this period were Georgi Sviridov's *Pathetic Oratorio*, which received the Lenin Prize, Eshpai's *First Symphony* and a violin concerto by Khrennikov (Schwarz, 1976, p. 326-327).

In the spring of 1962, the Third All-Union Congress of Composers was held in Moscow. Many prominent speakers agreed that the five years following the Second Congress constituted the most productive period in Soviet Music history. Shostakovich's *Eleventh (The Year 1905)* and the *Twelfth Symphonies (The Year*

<sup>13</sup> © 2001. Cultural Heritage Series/Artistic Director Oksana Dvornichenko. All rights reserved. International copyright secured.

1917) were the two monumental works completed in this period. The *Eleventh* (1957) was composed for the 40<sup>th</sup> anniversary of the Bolshevik Revolution and as Shostakovich stated, it was “dedicated to the First Russian Revolution and to its unforgettable heroes” (Fay, 2000, p. 199). This programmatic work earned him the Lenin Prize in 1958 and represented his official rehabilitation after the restrictions of 1948. Composed with a revolutionary and programmatic conception, the *Twelfth Symphony* (1961) was in congruence with the themes of the *Eleventh*. Although they both have similar characteristics with respect to their thematic approach, some critics who compared the two works defined the *Eleventh Symphony* as a “folk music drama” and the *Twelfth Symphony* as a “folk-heroic epic” (Fay, 2000, p. 224). In addition to Shostakovich’s masterpieces, the oratorios of Sviridov, the ballets of Khachaturian and Karayev, and the works of Khrennikov and Kabalevsky were hallmarks of this period. All these productive composers and their works were also honoured at the Congress.

The key speakers at the Third Congress agreed on a further important issue, namely the need to warn young composers against the dodecaphonic tendencies. Khrennikov expressed his opposition as follows:

I must speak here of an exclusive small group existing in the backwater of the broad stream of musical life and engaged in formal searchings and fruitless experimentation. Their striving to deck themselves in other people’s cast-off clothes is undoubtedly the sign of immaturity of some of our young composers...Our young experimenters should realize that there is a difference between freedom of creative searching and lack of principles. (Schwarz, 1976, p. 345).

Some leading composers/key speakers such as Khachaturian, Kabalevsky, Taktakishvili and Shostakovich were in agreement with Khrennikov on this matter. Stravinsky was the only major composer who did not agree with them and gave a speech to young composers about dodecaphony. During his speech, he turned to Khrennikov and said facetiously: “You, too, Tikhon Nikolayevich, will be trying it soon” (Schwarz, 1976, p. 352).

Unlike the overly nationalist Second All-Union Congress, the Third Congress involved international participation. Composers from the US, China, Japan, India, France, Belgium, Norway and Finland attended the Congress. Khrennikov stated that two hundred and fifty composers and musicologists from thirty countries had visited

the Soviet Union since 1957 and the same number had visited the bilateral agreement countries. These exchange agreements contributed to an increase in the number of foreign composers' performances taking place in the Soviet Union, as well as the exchange of musical materials such as recordings and musical scores.

In general, Khrushchev's Thaw Period was a time of peace for musicians. Thanks to Khrennikov's amiable relationship with Khrushchev and Khrushchev's appreciation of Khrennikov's work ethic, the Composers' Union benefited greatly. Although this period was far more liberal in general, Khrushchev had his limits and did not offer complete freedom for musical composition. His following words formed the basic principles of his policy until his forced resignation on 14th October, 1964:

I do not, of course, claim that my knowledge of music should become some sort of standard for everybody...We stand for melodious music with content, music that stirs people and gives rise to strong feelings, and we are against cacophony...Music without melody gives rise to nothing but irritation...You can meet young people who try to prove that melody in music has lost the right to exist and that its place is now being taken by new music 'dodecaphony', the music of noises. It is hard for a normal person to understand what the word dodecaphony means, but apparently it means the same as the word 'cacophony.' Well, we flatly reject this cacophonous music. Our people can't use this garbage as a tool of their ideology. (Schwarz, 1976, p. 418).

## **2.5. Music in Brezhnev's Stagnation Period (1964-1982)**

A few months after Khrushchev's resignation and Brezhnev's coming to power in 1964, Pravda issued an important statement which referred to Leninism and a Party Resolution of 1925. The statement entitled *The Party and the Intelligentsia*, emphasized that the most important Party principle towards artistic issues was the existence of, and rivalry between different schools, trends and styles. According to this view, "communist criticism must rid itself of the tone of literary command. The Party must in every way eradicate attempts at homebred and incompetent administrative interference in literary affairs" (Schwarz, 1976, p. 440). This statement, dated February 25, 1965, was very well received by libertarian composers and it helped spread the musical scene across a wider spectrum (Schwarz, 1976, p. 441). In the period following the Pravda statement, a concert series *Countries of the World* was arranged in which each concert was devoted to the music of different countries. Avant-garde composers from Schoenberg to Denisov were performed

more frequently. Moreover, some works previously deemed to be unacceptable were premiered in this period alongside Volkonsky's Webernish *the Laments of Shchaza* (1962) and Shostakovich's unstaged experimental work *Five Fragments for orchestra* (1935).

1966 was a very fertile year in terms of music. The Leningrad Spring Festival ensured the participation of young composers regardless of their modern tendencies. Slonimsky's *Concerto Buffo* (1964) with sections of controlled aleatory, Tishchenko's *Third Piano Sonata* (1965) with tone clusters to be played with elbows and Galina Ustvolskaya's *First Symphony* (1955) was performed within the scope of the festival. The Third International Tchaikovsky Contest was also held in the same year with participation from 342 performers from thirty-eight countries (Schwarz, 1976, p. 467).

In December, 1968, the Fourth All-Union Congress of Soviet Composers was held. In his speech to the Congress, Khrennikov warned composers against "camouflaged methods of capitalism" which supported the counter-revolution against socialism. Khrennikov argued that these capitalist methods aimed to separate art from ideology in order to keep artists away from politics and social events. Thus, such external propaganda, which was foreign to the Soviet ideology, should be fought. Although Khrennikov firmly adhered to socialist realist values, he realized that the Soviet musical idiom was expanding and new expressive techniques were justified. Thus, he admitted that "all and every method, however daring, is good if it helps the composer to give the fullest possible and profoundly true expression of the progressive ideas, imagery, and conflicts of our time" (Curlette, 1991, p. 37-38).

In 1970, Shostakovich's *Fourteenth Symphony*, which was dominated by the use of dodecaphony, was premiered. Although the approval of Shostakovich's symphony reflected a measure of tolerance, Khrennikov's critical words soon appeared in Pravda. He called on the Soviet critics to "overcome the spirit of liberalism" and continued as follows: "In our drive against hostile bourgeois ideology and inimical aesthetic theories, we shall continue our tireless effort to carry forward the fine traditions of Soviet music, the traditions of the art of Socialist Realism" (Schwarz, 1976, p. 494).

In spite of the decrease in censorship and sanctions compared to 1948, the composers were still exposed to various forms of disguised restrictions. Rostropovich's open letter to the Editors-in-Chief of several newspapers in 1970 proves such restrictions: "In 1948 there were lists of banned compositions. Now they prefer oral bans, citing that there is an opinion, that it is not recommended" (Schmelz, 2009, p. 186).

For instance, the unrivalled leader of the Composers' Union Tikhon Khrennikov was disdainful of avant-garde composers and therefore, they were only allowed to perform in a limited fashion. When Denisov presented his *Italian Songs, Three Pieces for Piano Four Hands* and *Romantic Music* to Khrennikov in 1970, he said "all of this is just a waste of time" (Kholopov & Tsenova, 2005, p. 21).

In the early 1970s, the Third Wave of emigration began due to the repressive regime of the Party. Some musicians left the country voluntarily, while others were forced into exile. Among them were Boris Berman, a dedicatee of Gubaidulina's *Music for Harpsichord and Percussion Instruments* (1972), Mstislav Rostropovich and Andrei Volkonsky (Kurtz, 2007, p. 98).

In 1974, despite many obstacles, Schnittke's belated *First Symphony* was premiered. The world premiere of his poly-stylistic symphony was in the city of Gorki because he was unable to obtain permission to perform it in Moscow. Consisting of enigmatic musical quotations from Tchaikovsky, Strauss and Chopin along with some jazz improvisation, the symphony also included a theatrical feature such as the musicians coming to the stage a few minutes after the beginning of the symphony and leaving altogether during the final movement, except the solo violinist who played a theme from Haydn's symphony. (Schnittke et al., 2002, p. xxii; Service, 2013). Khrennikov, who was reluctant to premiere the work, stated that Schnittke should not compose due to his lack of the requisite skills.

### **2.5.1. The Khrennikov Seven**

The most striking censorship after that of 1948 emerged with Khrennikov's accusation of avant-garde composers at the Sixth Congress of the Soviet Composers (1979). Khrennikov pointed out his opposition to them and especially sneered at the distressed effects of their works; describing their work as music written "for the sake of sonoristic combinations and eccentric effects in which musical thought drowns in a frenzied torrent of noise, harsh outcries and unintelligible mutterings" (Hakobian,

2017, p. 203; Jones, 2015, p. 1003). The most vital part of his speech was his mockery of a contemporary Soviet music festival entitled Encounter with the Soviet Union in Cologne in March, 1979. He compared participant and non-participant composers and listed seven composers who would not be accepted as genuine representatives of Soviet music:

Here one did not find music by Prokofieff, Myaskovsky, Khachaturyan, Karayev, Shchedrin, Eshpai, Boris Chaikovsky, or Kancheli. Rather, it so happened that in the festival program one found mainly the names of those whom the organizers considered worthy representatives of the Soviet avant-garde: Elena Firsova, Dmitry Smirnov, Alexander Knaifel, Victor Suslin, Vyacheslav Artyomov, Sofia Gubaidulina and Edison Denisov. A somewhat one-sided picture, wouldn't you say? (Taruskin, 2016, p. 318).

The above-mentioned composers known as the Khrennikov Seven were condemned for their unapproved participation in the festival. Khrennikov addressed their music as “meaningless and loud” and they were placed on some performance and travel restrictions. Inexplicably, other composers whose works were also performed at the same festival were not blacklisted. Among them were Sergey Slonimsky (1932-), Arvo Pärt (1935-), Alfred Schnittke, and Valentin Silvestrov (1937-) (Jaffé, 2012, p. 181). According to Taruskin (2016, p. 319), the list of banned composers in 1948 and 1979 were not only related to their artistry, but also to the relations between themselves and the officials who wrote the lists. He stated that Khrennikov condemned composers who were in opposition to the Union for the reason that he could no longer control them and prevent the spread of their influence.

After Khrennikov's condemnation at the Congress, a boycott was imposed across the country particularly affecting Denisov himself and his two students Firsova and Smirnov. The restriction in Denisov's music also crossed the state borders. The concert programs were changed and his works were withdrawn from the events. For example, *The Sun of the Incas* to be performed in Sofia was banned and was also cancelled in Austria in 1981 along with *Silhouettes* and *Ode* (Kholopov & Tsenova, 2005, p. 25-33). This condemnation also caused serious economic difficulties for Gubaidulina and Suslin. Both of them were banned from travelling and performing. Gubaidulina was dismissed from her job at the state publishing house.

Khrennikov's humiliating speech at the Congress was published in all the major newspapers which placed the composers in a difficult situation. Even Gubaidulina's

father stated that he was ashamed of his daughter. Gubaidulina responded by observing that “an artist’s position is not a bed of roses” (Kurtz, 2007, p. 146). She looked on the bright side of being blacklisted, stating that it gave her “artistic freedom” and that she could write what she wanted “without compromise” (Jeffries, 2013). Gubaidulina stated that the worst aspect of the restrictions was the ban on performances, because they were “not only denied the opportunity to hear themselves, but also the chance to receive honest evaluations” (Schwartz & Childs, 1967, p. 262).



**Figure 2.2 :** Tikhon Khrennikov.<sup>14</sup>

However, Khrennikov never accepted the claim that the avant-garde composers were banned. In an interview with Anders Beyer (Schmelz, 2009, p. 185), he stated that they complained that their works were forbidden, but that was not the case. He said that they complained because they were a small coterie that was not supported by broader musical circles. Khrennikov suggested that their works were merely performed less than the others, but they were not censored. In his memoirs entitled *Tak eto bilo* (That’s how it was) published in 1994, he further explained that the Union never had a campaign against the avant-garde composers. He elaborated as follows:

When the Ministry of Culture asked me how our affairs stood, I answered that we had a normal creative situation with naturally varying creative opinions and artistic tastes, that we decided all questions independently and did not require decrees of any kind...In any case, no

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<sup>14</sup> Accessed from <https://alchetron.com/Tikhon-Khrennikov#->

one was ever expelled from our union because of a passion for modern [i.e., avantgarde] music. And only...two composers, Andrey Volkonsky and Arvo Pärt, ever left the union and emigrated abroad, both of their own volition.<sup>15</sup> (Schmelz, 2009, p. 185).

Perhaps unexpectedly, being victims actually worked as a promotional activity for avant-garde composers. This increased their popularity in the West. Elena Firsova stated that domestic boycott led to greater attention of her music abroad and worked like an advertisement. Firsova's husband, Dmitry Smirnov suggested optimistically that "sometimes obstacles themselves generate strong and powerful impulses towards overcoming these challenges and Russian contemporary music is a good example of this" (Eichler, 2007).

## **2.6. 1982 and after: Perestroika and Glasnost under Gorbachev (1982-1991)**

The music that emerged after 1982 had a wide range of pluralistic ideological and aesthetic tendencies. Therefore, this period was much more diverse than the opposition between officially approved and unapproved musical trends (Hakobian 2017, p. 203).

When Mikhail Gorbachev was elected as the seventh General Secretary of the Communist Party in 1985, he launched a series of reforms which put an end to the ideological monopoly in cultural life and radically liberalized the relations with the outside world. Aiming at a return to Leninist ideals, and to restore the Soviet economic system, these policies called perestroika (restructuring) and glasnost' (openness), also affected culture and the arts profoundly (Quillen, 2010, p. 1).

In music, glasnost' meant removing all bans on the basis of style and genre. As early as 1986, a festival was organized to celebrate the works of the modernist composer Nikolay Roslavets. In 1987, the first annual early music festival, Days of Ancient Music was held in Moscow (Quillen, 2010, p. 3).

Gorbachev's reforms also helped to create new opportunities for international cooperation. In March 1988, several Soviet musicians including Denisov, Schnittke, and Gubaidulina attended the Making Music Together Festival in Boston. It was followed by a major rock festival in Tallinn and the First International Festival of Folklore in Moscow. Pianist Aleksey Lyubimov started the Alternativa Annual

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<sup>15</sup> Tikhon Khrennikov's speech was published in *Sovetskaya kul'tura* with the title (Art belongs to the people) *Iskusstvo prinadlezhit narodu* (Taruskin, 2016, p. 330).

Contemporary Music Festival to showcase the avant-garde musicians in Moscow. In addition, the Composers' Union organized the Third International Contemporary Music Festival in the same year. It was a thirteen-day festival including works of many composers from different nationalities such as John Adams, Luciano Berio and John Cage, alongside Soviet avant-gardists. Unlike the more restrained first two festivals held in Moscow in 1981 and 1984, the third festival thoroughly represented the spirit of glasnost' (Hakobian, 2017, p. 203). In the booklet of the festival, which also contained Gubaidulina's *Hour of the Soul* (1974), Tikhon Khrennikov stated:

The last two festivals, which took place in Moscow, fully accomplished everything they set out to do. They brought together several remarkable artists of today and introduced a broad audience to dozens of compositions written by 20<sup>th</sup> century composers from all ends of planet. This year's festival continues these traditions, all the while pursuing its own specific goals. In the past, when putting together the programs, we emphasized 20<sup>th</sup> century classics; when incorporating contemporary compositions, we gave priority to works composed in a style familiar to us. Today, on the other hand, the festival's organizers have attempted to overlook all stylistic boundaries and expand the festival's thematic horizons. Because of this, listeners will enjoy a multi-faceted panorama, unprecedented in scope, of themselves. I am convinced that this democratic approach perfectly captures the spirit of the times, corresponding to the creative atmosphere in our country today and the new stage in our international relations and cultural life. (Quillen, 2010, p. 4).

In 1989, some avant-garde composers symbolically revived the ASM. The new ASM was established under the leadership of Edison Denisov in Moscow. At the invitation of the new ASM, western avant-garde composers such as Boulez, Stockhausen and Xenakis came to Moscow to perform their music.

As the Soviet State began to voluntarily abdicate authority during Glasnost', dissident composers, who were interdependent only through their opposition to the Union, parted company with each other. Due to the deep ideological changes during Glasnost', they divided into many fractions. This fracturing was further exacerbated by the deterioration of the economy, which increased competition among musicians in the post-Soviet period. Russian Musicologist Svetlana Savenko expressed her opinion on the subject as follows: "The situation in music composition in Russia today is not geared towards bringing composers together, but rather tearing them apart" (Quillen, 2010, p. 6).

By the end of the 1980s, prominent young composers such as Schnittke, Volkonsky, Gubaidulina, Pärt and many others had already contributed towards brain drain within Russia by emigrating to Germany and the United States. Following the collapse of the Soviet Union in 1991, many members of the ASM emigrated to the west as well. A small group derived from the new ASM continued to work by establishing a Contemporary Music Center at the Moscow Conservatory (Jaffé, 2012, p. 46). Denisov, although never a permanent emigrant, worked in Paris each year as a guest of IRCAM (Boulez's new-music research foundation) from the early 1980s onwards (Taruskin, 2010b).

### **3. THE COMPOSITIONAL AESTHETICS AND TECHNIQUES OF SOFIA GUBAIDULINA**

#### **3.1. Background**

Sofia Gubaidulina was born on October 24, 1931, in the Tatar Autonomous Soviet Socialist Republic (TASSR). Her father was a Tatar geodetic engineer and her mother was a Russian teacher. Gubaidulina's father attended the Muslim elementary school and learned Arabic before enrolling in the public Russian-Tatar village school. Her grandfather was an Imam who trained at a Muslim Academy and visited Mecca on a pilgrimage. He was an intelligent cosmopolitan, a deeply religious person, and a gifted orator in Russian and Tatar who could also speak Arabic, Turkish, and Uzbek (Kurtz, 2007, p. 3).

Gubaidulina spent her childhood and youth in Kazan, the capital city of TASSR. In 1937, at the age of just five, she attended the Children's Music School. Although her family was poor, her father believed that music education was a necessity and bought Gubaidulina and her sister a baby grand piano. As she described later, the moment when it was delivered to their apartment was the "most powerful experience" of her life (Kurtz, 2007, p. 13).

At the age of six she became tired of playing simple pieces and experimented with new techniques such as placing paper, pieces of cloth, and pencils across the strings. As she began to explore the rich world of sound, she decided to write some compositions of her own:

Several folders of music for beginners lay around Ekaterina Pavlovna's studio. In my naïveté, I assumed that this repertoire for beginners was all there was to the world of music. Since mankind suffers such deprivation, I will do some composing myself. Why not?! I knew it would be endless hard work...I already understood a lot even then. And I prayed to God to give me this path in life. I promised to do whatever work was required. (Kurtz, 2007, p. 13).

Gubaidulina continued her studies at the Children's Music School and at public school until, in 1946, she attended the Kazan Music Gymnasium (secondary school). It was here that she took her first composition lessons with Nazib Zhiganov. She later described Zhiganov as her "first musical love affair." Zhiganov expected his students to be concerned with the heritage of Tatar music. Although Gubaidulina stated that "willingly or not she soaked it up" because it could be heard everywhere, she still defined herself as a "universal human being" (Kurtz, 2007, p. 19).

Having graduated from the four-year program at Kazan Music Gymnasium in just three years, she began studying piano at Kazan Conservatory at the age of seventeen. During her time at the conservatory, she studied piano under Leopold Lukomsky and Grigory Kogan. Starting in 1952, she also took composition lessons under Albert Leman.



**Figure 3.1 :** Gubaidulina with Prof. Grigory Kogan at the Conservatory of Kazan.

The oppressive policies of Zhdanov period which lasted until the death of Stalin in 1953 coincided with Gubaidulina's pupillage at Kazan Music Gymnasium and Kazan Conservatory. She later talked about that period with English author Elizabeth Wilson:

We grew up at a time when everything around us became one unending question. We were obsessed with asking questions because at the time there was a complete absence of information about everything from politics to art. The crude attacks on literature and music

that appeared in our press were utterly bewildering. One day you're in love with a story by Zoschenko or a poem by Akhmatova; then suddenly they are proclaimed bad and terrible, and their works are aggressively attacked in all the major newspapers. (Kurtz, 2007, p. 21)

According to the Zhdanov doctrine, Soviet artists had to conform to the party line, and all arts had to be politically inspired. Works with foreign and bourgeois influences were considered counter-revolutionary and described as “incorrect art” (Stites, 1992, p. 117). During Zhdanovshchina, the teaching and performing of Western music was forbidden. In a BBC documentary directed by Barrie Gavin, composer Edison Denisov described those days as follows: “It was a dark time for all our art...and, in particular, our music. For just mentioning Debussy, Ravel and Stravinsky, you could be dismissed from the conservatory.” Prokofiev and Shostakovich were the only composers the students could therefore draw upon as a model (BBC & Gavin, 1990).

When Gubaidulina moved to Moscow to study composition, Zhdanovshchina had already come to an end and a new era, Khrushchev's Thaw, had begun. She studied at a time when the masses condemned the policies of Zhdanovshchina. She later talked about her first year in Moscow: “When I arrived in Moscow in 1954, they had lifted the prohibitions and stopped searching the dorms at the conservatory. It had also become possible again to listen to Stravinsky and Hindemith in the archives” (Kurtz, 2007, p. 38).

In her second year, she studied composition with Nikolai Peiko, who was an assistant of Shostakovich. Peiko supported Gubaidulina in many ways throughout her studies. He introduced her to Vissarion Shebalin and invited her to the Friday meetings of musicians at Shebalin's place. Gubaidulina later stated that: “it was fascinating to be among these famous people: Shostakovich's two sisters would join us, and Sviridov and his wife came once” (Kurtz, 2007, p. 44).

Shostakovich had a strong reputation among all musicians and he also became a model for Gubaidulina as well. In a meeting with Shostakovich a few weeks before her final exam, Gubaidulina played her symphony to him. As head of the examination committee, Shostakovich appreciated her music. She graduated from Moscow Conservatory with the highest possible score and was awarded a three-year post-graduate degree candidacy with financial support in June 1959. She continued

her graduate studies with Shebalin for a year until he withdrew due to illness (Kurtz, 2007, p. 268).

Gubaidulina was then accepted into the Moscow Union of Composers in 1961. As mentioned in the previous chapter, the Soviet State had immense control over all kinds of music and the Union was therefore formed to centralize the musical scene and produce simple, patriotic, and folkloric works within the context of socialist realism. It was very hard for composers to survive in those days without being a member of the Union.

In 1962, Gubaidulina began to achieve recognition throughout the country. She attended her first Meet the Composer Evenings for Young Composers, following which the first part of the second meeting, which took place at Gnesin Hall on December 15, 1962, was dedicated to her. The concert program included her *Piano Quintet* (1957), *Phacelia* (1956), and the premiere of *Chaconne* (1962). Victor Bobovsky, a lecturer in musicology and music theory at the Moscow Conservatory, published an article in *Sovetskaia Muzyka* praising the works of Gubaidulina and defining her as an “exceptional talent” (Kurtz, 2007, p. 57). In the following year, she won first prize at the All-Union Competition of Young Composers with her duet *Allegro Rustico* for flute and piano. This work had also become a compulsory piece at the All-Union Competition of Wind Players in the same year (Kurtz, 2007, p. 61).

In 1963, Gubaidulina completed her candidacy and started work as a freelance composer. This proved to be a turning point in her career. Thanks to Peiko’s support, she now had an opportunity to write music for films. The works she composed in 1964 consisted solely of film music: two for documentaries and one for a feature film, *Believe It or Not*. Through her income from film music, she made a living and, for a while, was able to work independently.

### **3.2. Compositional Styles**

As one of the most prominent and renowned composers in the international music scene of the 21<sup>st</sup> century, Gubaidulina stands out for the individuality of her works. The most important characteristic of her music lies in its strong spirituality and the use of Western avant-garde techniques together with Eastern music and philosophies. Her compositional style includes a wide range of techniques which extend from early

tonal pieces to atonality and from electronic music to eclecticism (Pendle & Zierolf 2001; 286-287).

In an interview with Dmitry Smirnov, Gubaidulina stated that she divided her compositional styles into three phases:

...At first I was interested mostly in instrumental timbres and different sound qualities. Then in the '80s I played with rhythms and numbers. Now I am more attracted to the idea of quarter-tones, in showing the difference between one tuning and another, to prove its importance and that it works. (Smirnov, 2001).

Between these phases, there were no sudden changes in terms of aesthetic and technical aspects. Instead, Gubaidulina progressed by adding new techniques to her previous style. Thus, the use of the exotic timbres of world instruments and their combinations along with the Fibonacci series continued to be her inspiration throughout her career. She explained her development as follows:

I really can't say that any radical shift has taken place in my work, or any unexpected change in my way of thinking. Twenty years ago, for example, I wrote the work "Die Nacht in Memphis" to the text of old Egyptian lyrics and translation by Ana Achmatova. Today I look at this work and see that I am still doing exactly the same. In other words, I didn't have such a change in my style, as I can see in some of my colleagues... It seems to me that I have been travelling through my soul the whole time, in a definite direction, always further and further... Yet, it must be said that the technique is quite different... (Cojbasic, p. 1998, p. 4).

### **3.2.1. Sound and timbre**

The political changes which took place after Leonid Brezhnev's rise to power in 1964 affected every aspect of life. It also resulted in another wave of immigration caused by economic issues and repressive policies in relation to cultural life. Gubaidulina, who was already a non-conformist composer in this period, became involved with Soviet dissidents (Kurtz, 2007, p. 68).

The pressure and resistance within the system led her into an internal process of self-discovery and caused a radical change in her compositions: less can be more. In this period, Gubaidulina was influenced by sound and timbre and she experimented extraordinary combination and coloration of instruments in her works. In *Five Etudes for Harp, Double Bass and Percussion* (1965) which Gubaidulina considered as her first mature work, she searched for new possibilities and explored unusual timbral qualities for each instrument. In terms of dynamics, she toned down her music and

used dynamic markings ranging from mezzo piano (*mp*) to pianissimo (*pp*) as if to whisper. She expressed her volte-face as follows:

Until then, I had wanted to write for the theatre, to compose ballets, symphonies... But then I understood: no, absolutely not. I need to write miniatures, miniatures in a whisper. I picked instruments that have almost no sound. The harp, a quiet, gentle instrument; the string bass is purposely muted; the percussion instruments are also treated the same way, so that the score calls for very few sounds. (Kurtz, 2007, p. 69).

*Five Etudes* (1965) was premiered at a session of the Moscow Youth Musical Club dedicated to her works on 21 April, 1966. In the following year, Gubaidulina attended the International Biennial for Contemporary Music in Zagreb. Although her *Five Etudes* (1965) was included in the concert program, she reluctantly canceled the performance after being stumped at the rehearsal in which the performers were sight-reading. Although many participants experienced similar troubles at the festival, this was not especially harmful for Gubaidulina, who was accustomed to the difficulties of the Soviet Union (Kurtz, 2007, p. 78).



**Figure 3.2 :** Sofia speaking at a concert of Moscow Youth Musical Club<sup>16</sup> (1969).

Between 1967 and 1969 Gubaidulina was offered several commissions to compose film music. As well as a five-part animated film entitled *Mowgli*, she also composed for another animation and two feature films. Her income from film music allowed her to work as an independent composer for some time. As a result of that, she

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<sup>16</sup> Kurtz, 2007, p. 159.

completed her two cantatas for solo voice and chamber ensemble, *Night in Memphis* (1968) and *Rubaiyat* (1969).

*Night in Memphis* (1968) which is composed for mezzo-soprano, men's choir, and a chamber ensemble is based on poems from ancient Egypt. Mezzo soprano and the ensemble are organized in alternation while the choir contributes with a spoken text. The cantata is composed in twelve-tone principle which gives it an indecisive quality. In terms of timbre, the orchestral accompaniment is characterized by the soft and pizzicato playing of the strings, along with contrasting sound qualities of the flutter tonguing flute and the muted trumpet.

In *Rubaiyat* (1969) for baritone and chamber orchestra, Gubaidulina experiments with the human voice and also makes use of graphic and aleatory techniques. The baritone part is quite rich in terms of timbre as the composer demands for a variety of techniques such as singing falsetto, breathing audibly, screaming, cackling, whispering, speaking or whispering with glissando, and singing through a microphone (Kurtz, 2007, p. 82).

According to Kholopova, these two cantatas are contradictions in every sense: the dodecaphonic rationalism of *Night in Memphis* versus the artistic spontaneity of *Rubaiyat*. In vocal writing, the traditional lyricism of *Night in Memphis* was replaced with new ideas in *Rubaiyat* (Schmelz, 2009, p. 265).

In 1969, Gubaidulina started visiting the Moscow Electronic Studio at the Scriabin Museum to create some experimental works. Founded in the late 1950s by Evgeny Murzin, this was the first electronic music studio in the USSR and it officially began to serve musicians after Murzin's legendary invention of the ANS synthesizer.<sup>17</sup> Gubaidulina embarked on a quest to explore new sound worlds and worked on combining the natural and synthesized sounds in the studio. As a result, she composed *Vivente-non vivente* (1970) by using pre-recorded sounds of laughter, sighs, scream, the tinkling of small bells, and fragments of a church choir (Kurtz, 2007, p. 83).

Gubaidulina continued her timbral quest in *Concordanza* (1971) for chamber orchestra and used quarter-tones for the first time. This work was organized as if it

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<sup>17</sup>ANS is a "light-electronic synthesizer for a seventy-two-fold subdivision of an octave." The synthesizer was named after the Russian composer Alexander Nikolayevich Scriabin (ANS), who was greatly admired by Murzin (Kurtz 2007, p. 53).

was written for ten different solo instruments including flute, oboe, clarinet, bassoon, horn, percussion, violin, viola, cello, and bass. The timbral character of the work constitutes the use of the staccato of the winds along with the pizzicato of the strings against the soft legato playing and the gentle harmonics on the violin and the bass.

In her *Piano Sonata* (1965), Gubaidulina used some unusual techniques to create a wealthier sound world; such as plucking the strings, touching the strings to produce a muted effect, playing glissando with fingernails over the strings, and the use of a bamboo stick to play glissando on piano pegs while cluster notes with staccato articulation are played on the keyboard.

1972 was a very prolific year for Gubaidulina. *Music for Harpsichord and Percussion Instruments* (1972) was commissioned by Boris Berman and premiered with great success on April 5, 1972 in Leningrad. This work built a bridge between the Eastern and Western sound worlds by combining various Asian percussion instruments with harpsichord and highlighting their similar timbral characteristics (Kurtz, 2007, p. 98). She also composed *Roses* (1972), a cycle of five romances for soprano and piano, and *Steps* (Stufen, 1972), her first work for a large orchestra in the same year.

Based on poems by Gennadi Aigi, *Steps* (Stufen, 1972) was associated with the Graduale of the Catholic Mass. Its formal structure consisted of seven descending steps in which the orchestral color changes gradually in each step by switching from higher to lower registers. The descending line which represented a descent into death began with a dispassionate sonority and became richer as the texture expanded gradually in each step. In terms of timbre, the seventh step in which all performers read verses from Rilke's poem asynchronously in a whisper constituted the darkest and the most chaotic part of the whole work. (Kurtz, 2007, p. 104). A year later, *Steps* received an honorary mention at the Seventh International Composers Competition of the Italian Society for Contemporary Music.

Gubaidulina composed *Detto II* (1972) for cello and chamber ensemble at the request of Natalia Shakhovskaya, successor professor of cello following Rostropovich's emigration. *Detto II* (1972) is characterized by the use of quarter-tone glissandi of the cello and vibrant playing of the large percussion section (Kurtz, 2007, p. 107). Starting as a meditative recession with quarter-tone intervals, the sound world

expands to larger intervals in the middle section and reverts to quarter-tones in the end while the solo cello and the accompanying instruments (flute, strings and percussion) play in *ppp* dynamic level and fade away slowly.

Gubaidulina's *Hour of the Soul* (1974)<sup>18</sup> for percussion, mezzo-soprano, and orchestra was performed at the Third International Music Festival of the USSR in Leningrad in May 1988 and received its world premiere as a part of a concert series under the direction of Pierre Boulez and IRCAM in Paris in October 1979. Thus, Gubaidulina achieved her first success abroad. *Hour of the Soul* (1974) was a musical portrait of Marina Tsvetaeva, one of the greatest Soviet poets of the 20<sup>th</sup> century, whose life ended in suicide following the execution of her husband in 1941 (Kurtz, 2007, p. 200). Because Tsvetaeva was a little masculine by nature and very fond of percussions, Gubaidulina used percussion to represent her personality in this work. The timbral qualities of the orchestra are organized to put emphasis on Tsvetaeva's masculinity by bringing a constant and powerful sound world to the foreground. In terms of orchestration, this work contains a wide range in texture along with the use of quarter-tones and a variety of instrumental techniques. A mezzo soprano who is hidden amongst the orchestra throughout the work only appears in the coda with her calmly progressing solo melodic line to represent Tsvetaeva's feminine nature.

Her *Concerto for Bassoon and Low Strings* (1975), which garnered both objections and praise from the Composers' Union, received its premiere on May 6, 1975. It was a thrilling work in terms of pushing the timbral limits of the instrument. Its dedicatee, Valery Popov, stated that the piece was entirely new for Moscow and truly expanded the possibilities of the instrument with its variety of sounds, double notes, glissandi, and trills (Kurtz, 2007, p. 116).

In 1975, she founded an ensemble called Astraea, where she improvised with folk instruments alongside Artyomov and Suslin, and experimented with new sounds and timbre (Figure 3.3). This was an improvisatory ensemble which initially worked on a casual basis but turned into a serious improvisation project over time. Artyomov explained the emergence of this project as follows:

Our improvising was actually based on a common motivation. The seventies were difficult years, and we had to stick together and work together to fight our political environment. We

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<sup>18</sup> *Hour of the Soul* (1974) was revised and entitled as *Percussio de Pekarski* in 1976.

met quite often, sometimes with Schnittke and other composers. And at one of these meetings, we began our improvisations. (Kurtz, 2007, p. 120).



**Figure 3.3 :** Astraea: Viacheslav Artymov (tar), Sofia Gubaidulina (Georgian hunting horn) and Victor Suslin (pandura).

Although all three were pianists, each member of Astraea came to the fore using different instruments. For example, Artyomov was talented in the use of stringed instruments, Suslin on recorder, and Gubaidulina on percussion. By virtue of using different instruments and tuning their zithers<sup>19</sup> in diverse ways, such as diatonic, chromatic, pentatonic and quarter-tones, they explored a new world of sounds. Gubaidulina once corrected a misunderstanding that they “did not come together as a concert group but only as a composition laboratory”. Astraea came to an end with Suslin’s immigration to West Germany in 1981.

Gubaidulina summarized the period of Astraea a few years later as follows: “Our get-togethers as a group and our improvising contributed enormously to my sound world and my intellectual development. Listening and reacting to one another was a very important sonic experience.” She felt that Astraea contributed to her development in three ways by: “expending her imaginative range in the realm of sound, developing spontaneity, and learning from purely psychological experiences” (Kurtz, 2007, p. 157).

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<sup>19</sup> Zither is a class of stringed instruments consisting of many strings stretched across a flat wooden body and played with a plectrum or fingers.

Gubaidulina's musical symbolism also began in this period. Although her religious influences had been criticized since the 1960s, she began to use religious titles and contents more overtly in her works, starting with her piano concerto *Introitus* (1978) (Kurtz, 2007, p. 140). *Introitus* (1978) was the first phase of a new cycle of religious compositions. As is evident from its title, this work refers to the opening section of the liturgical celebration of the Eucharist. *Introitus* opens with a flute cadenza which resembles the music of the Far East, in particular, the shakuhachi. The piano follows the flute with its slow and repetitive chords. In *Introitus*, quarter-tones, chromatic, diatonic and pentatonic scales are used together with various instrumental techniques. The melodic lines of the piano which progress calmly in a mysterious mood created by the woodwind section, reveal an effect of deep contemplation.

Her second work of the cycle, named after a section of the Catholic Mass, was *Offertorium* (1980, rev. 1982, 1986), a violin concerto dedicated to Gidon Kremer, which pioneered the worldwide fame achieved by Gubaidulina. The title came from Offertory which means the Eucharistic offering of bread and wine before the consecration. The series of spiritual works continued with *Descensio* (1981) for chamber orchestra (Kurtz, 2007, p. 154).

In 1978, she composed her first work for bayan, *De Profundis*, and dedicated it to Friedrich Lips, a world famous Russian bayanist. When Gubaidulina met Lips, she expressed her interest in the timbral characteristics of the instrument as follows: "Do you know why I like this monster so much? Because it breathes" (Kurtz, 2007, p. 134). In *Seven Words* (1982), she used bayan's quality of 'breathing' to symbolize the last heavy breathings of Jesus Christ on the Crucifixion.

In 1978, Gubaidulina was given the opportunity to premiere several works by Denisov's series, New Works by Moscow Composers. These included her *Quartet for Four Flutes* (1977); *Bacchanal* (1978) for soprano, saxophone quartet, bayan and percussion; and *Garden of Joy and Sorrow* (1980).

As mentioned in the previous chapter, in 1979, Gubaidulina suffered trouble due to Khrennikov's accusation at the Sixth Congress of the Soviet Composers. Soon after her denouncement, she composed two film scores; an animated film *The Puppet Show* (1980) and a feature film *The Scarecrow* (1980), along with two works for

violin and cello, *Mysterium* (1980) and *Rejoice* (1981) on the order of Oleg Kagan and Natalia Gutman (Kurtz 2007, p. 154).

After developing an intuitive approach and specializing in sounds and timbre until the early 80's, Gubaidulina was convinced that the spectrum of musical materials had massively grown as a result of a trend towards serialism and sonority. She therefore pursued different quests in the early 1980s. Therefore, instead of searching for new timbres, textures, and articulations, she focused on a mission "to cure the excessiveness of musical material by the method of time structuring" (Lukomsky, 1999, p. 28).

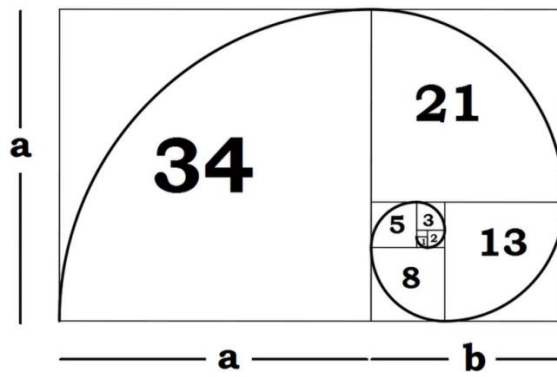
### **3.2.2. Rhythm of form**

In the 80's, she focused more heavily on numbers and rhythm, started composing in rhythm of form, and used Fibonacci series and golden mean along with other additive series. Gubaidulina's numerical aesthetics are literally based on combining numerical structures with Eastern mysticism and Orthodox symbolism. In her interview with Lukomsky (1999, p. 28), she stated that progression through these series was the way to perfection and that the golden mean represented the "universal proportion of life." Gubaidulina also examined the concept of rhythmic consonance and argued that: "the farther away from the Fibonacci series, the less perfect is the proportion." According to this categorization, she considered the Fibonacci series to be a consonance and the other (farther) series derived from it a dissonance construction.

The Fibonacci series is basically the set of numbers in which each number is obtained by the addition of the two previous numbers:

$$F_n(0) = 0, 1, 1, 2, 3, 5, 8, 13, 21, 34, 55, 89, 144, 233, 377...$$

These numbers are directly connected to the golden mean because the ratio of consecutive Fibonacci numbers is very close to the golden ratio. For instance, the ratio of 233 to 377 is 1.618 and the ratio of 89 to 144 is 1.617. As illustrated in Figure 3.4, the golden mean is basically found by dividing a line segment into two segments so that the ratio of the small part (b) to the large part (a) is equal to the ratio of the large part (a) to the entire length (a+b).

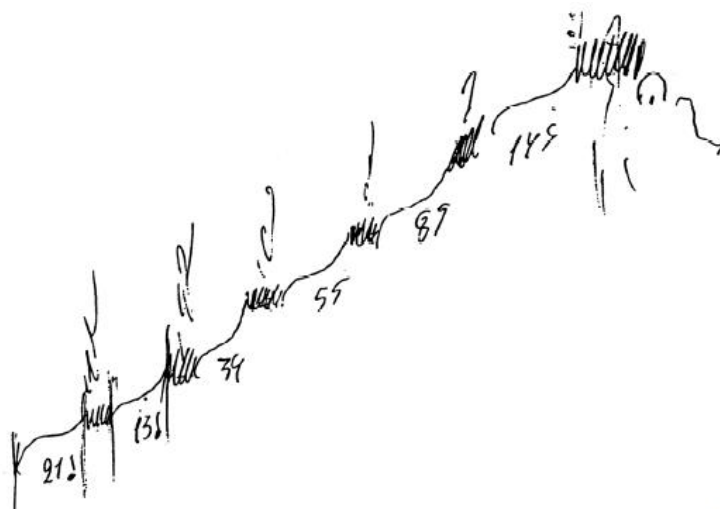


**Figure 3.4 :**  $\phi = a/b = (a+b)/a = 1.61803398874\dots$

The golden mean is thought to yield the most competent results in terms of harmony and aesthetics and can be observed in nature where the human body, shellfish, and tree branches are among the most remarkable examples of the appearance of a golden ratio.

She first used Fibonacci series as a structural tool in the twelfth movement of *Perception* (1983), a thirteen-movement large-scale work for soprano, baritone, and strings set to poetry by Francisco Tanzer. As illustrated in Figure 3.5, she portrayed the rhythmic structure of this movement as follows:

A development in all the episodes rises higher and higher in the registers. Each episode is suddenly stopped or interrupted by unisons...The rhythmic structure of the composition is strict and pure: as a rhythmic unit I took the quarter note; the number of quarters in the different episodes corresponds to the numbers of the Fibonacci series: 21, 13, 34, 55, 89, 144, etc. The unisons also correspond to the numbers of the series. (Lukomsky, 1999, p. 29).



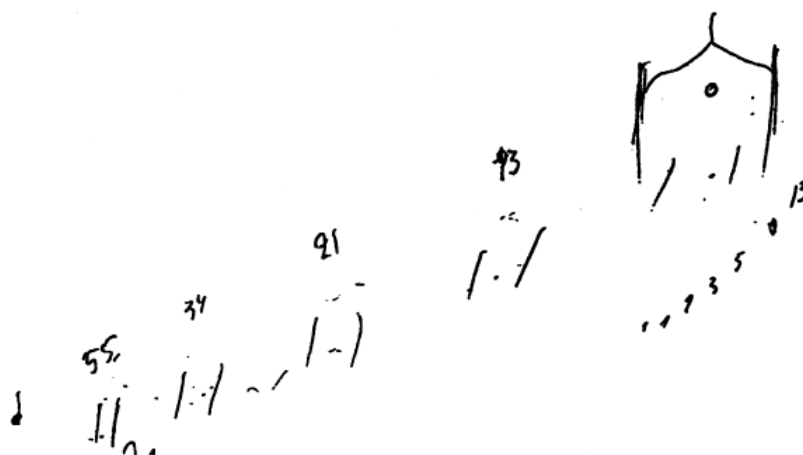
**Figure 3.5 :** Gubaidulina's sketch for the twelfth movement of *Perception*.<sup>20</sup>

<sup>20</sup> Lukomsky, 1999, p. 29.

This was followed by a composition for percussion ensemble, *In the Beginning There was Rhythm* (1984), *Hommage a Marina Tsvetaeva* (1984) for A Cappella choir, *Et Exspecto* for bayan, and *Quasi Hoquetus* (1984) for viola, bassoon, and piano. Each was based on comprehensive mathematical calculations related to the Fibonacci series, such as the length of the expressions and the number of notes in each expression (Tsenova, 2002, p. 256).

In subsequent years she completed her first major symphonic work, *Stimmen...Verstummen...*(1986), in which she based all odd-numbered movements on the Fibonacci series. As illustrated in Figure 3.6, the rhythmical function of the Fibonacci series can be clearly seen from her formal sketches. She described the structure of the symphony in the following way:

In the first movement there was 55 quarters, in the third 34, in the fifth 21, in the seventh 13, and, finally, in the ninth zero. This 'zero' is represented by the conductor organizing time according to the Fibonacci series: (1, 1, 2, 3, 5, 8, 13). Then he 'holds' 13; at this time the organ enters with a major triad in the high register. For a while, the conductor continues to 'hold' that pyramid of Fibonacci numbers and then starts moving down the Fibonacci series from 13 to 1 (Lukomsky, 1999, p. 31).



**Figure 3.6 :** Gubaidulina's sketch of the *Stimmen... Verstummen...*(1986).<sup>21</sup>

In addition to the aforementioned works, she also composed several others using the Fibonacci series. Among these are her Second and Third String Quartets (1987), the String Trio (1988), and the *Pro et Contra* (1989) for a large orchestra.

Apart from the aesthetics of the integer series, numbers with sacral-mystical meanings also became a source of inspiration for Gubaidulina. For instance, she

<sup>21</sup> Lukomsky , 1999, p. 31.

considered the number 7 to be a holy number due to its symbolic meanings, such as the Seven Last Words of Christ; the seven days of creation of the heavens and the earth which is considered to be the template for the 7-day week, the seven colors of the rainbow, etc. (Askew, 2002, p. 102). She started to work with the number seven in *Seven Words* (1982). Acknowledging its symbolic meaning, she stated that working with '7' was a "sacred process" (Beyer, 2000, p. 48). Valeria Tsenova (2002, p. 253) divided Gubaidulina's use of number seven into four categories: 7 movements in the cycle as in *Seven Words* (1982); 7 performers (as in *In the Beginning There Was Rhythm*); 7 instruments (as in *Misterioso*, for seven percussionists); and 7 sections within the form (as in *Quasi Hoketus*, a rondo in 7 sections).

Gubaidulina also considered number 4 to be representative of T.S. Eliot's symbolism in *Four Quartets* (1943), such as the four elements (earth, water, air and fire), four seasons, four concepts of God (the Father, the Son, the Holy Spirit and the Virgin), and the four dimensions of time (past, present, future and eternal sphere). Kurtz (2007, p. 193) noted that *Hommage a T.S. Eliot* (1987) for soprano and octet was influenced by the sacral meanings of number 4. The seven-movement work was designed according to an axial principle with the fourth movement at the center.

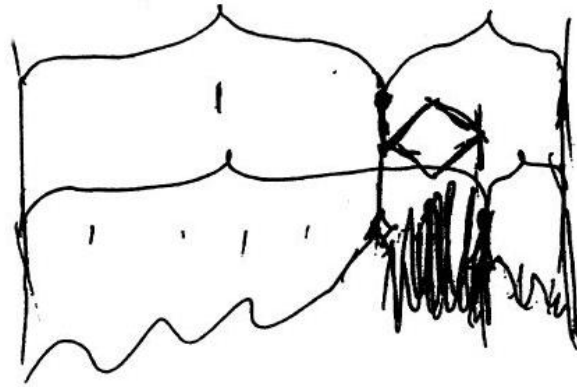
From the early 1980s, Gubaidulina intertwined her two fields of interest, the integer series and the sacral numbers, within the scope of a new technique: rhythm of form. This was based on the use of numbers to construct the proportions of a composition on both large (formal divisions, sections) and small scales (the value of individual notes). This then became the nucleus of Gubaidulina's works. The reason why she adopted this technique was that she could integrate her own intuitive composition process into a highly intellectual structure without limiting her freedom. As illustrated in Figure 3.7, she explained her understanding of musical form as follows:

For example, if we build a composition in such a way that in the first section there is one unit of time, and in the second section two equal units of time (that is, we take this ratio from the Fibonacci series), then the Golden Section is located between these two sections, and something important always happens in this point of the composition.

Now, we'll take the ratio from the sixth series (1:7); it means that in the first section there is one time unit, whereas the second section contains seven units. Such a proportion will cause terrible dissonance, which occurs between these two points (i.e., between the 'almost perfect'

and the 'dissonant' Golden Sections). The extreme tension between these two points calls for extraordinary musical events to happen in this area...

Let's suppose that there are two different musical layers, and the tension arises between the two layers. And, in the point of their meeting, something should occur: a dialogue, or a conflict, or something else - whatever I can imagine. I built the form in such a way that the musical development moves to the area of tension, and after that, so to speak, steps away. This is my concept of a musical form. (Lukomsky, 1999, p. 28).



**Figure 3.7 :** Sketch of Sofia Gubaidulina, illustration of the rhythm of form.<sup>22</sup>

In the 1990s, Gubaidulina began to use other integer series derived from the Fibonacci numbers, such as the Lucas and the Evangelist series. Based on the same principle as the Fibonacci series, both the Lucas and Evangelist series start with different numbers:

$$L_n = 1, 3, 4, 7, 11, 18, 29, 47, 76, 123, 199...$$

$$E_n = 2, 5, 7, 12, 19, 31, 50, 81, 131, 212...$$

For instance, the large-scale form of *Heute früh, kurz vor dem Aufwachen* (Early in the morning, right before waking, 1993) is based on the Lucas series. As Table 3.1 shows, the number of measures in each section is determined by the Lucas numbers (Tsenova, 2002, p. 257).

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<sup>22</sup> Lukomsky, 1999, p. 28.

**Table 3.1 :** Formal structure of...*Heute früh, kurz vor dem Aufwachen...* (1993).

| Sections        |    |    |   |    |    |    |             |    |                  |       |
|-----------------|----|----|---|----|----|----|-------------|----|------------------|-------|
| 1               | 2  | 3  | 4 | 5  | 6  | 7  | 8           |    | 9                | 10 11 |
| Measures        |    |    |   |    |    |    |             |    |                  |       |
| 47              |    |    |   | 47 |    | 11 | 47          |    | Climax<br><br>18 | 47    |
| 11              | 18 | 11 | 7 | 18 | 29 |    | 29          | 18 |                  | 18 29 |
|                 |    |    |   |    |    |    | (11+7)      |    |                  |       |
| 47+47+11+29=134 |    |    |   |    |    |    | Golden Mean |    | 18+18+47=83      |       |

Similarly, the rhythmic structure of *Silenzio* (1991) for bayan, violin, and cello is based on the Evangelists' series in various ways. As her facility with numbers progressed, the formal structure of Gubaidulina's works became increasingly multifaceted. Advancing a step further, she started to combine all three integer series to create multi-layered textures in her duet for percussion and harpsichord, *Even and Uneven* (1991) (Milne, 2007, p. 29). *Now Always Snow* (1993) for chamber ensemble and chamber choir and *Dancer on a Tightrope* (1993) for violin and piano are among other works based on the integer series. *Dancer on a Tightrope* was structured around the holy numbers and the use of the Fibonacci sequence. Gubaidulina stated that this piece was the last example focused on numbers (Birch, 2017, p. 21).

### 3.2.3. Quarter-tones

Throughout each new compositional style, Gubaidulina continued to benefit from the elements she used in the past, building on them rather than leaving them aside. For instance, in the 2000s Gubaidulina has begun to use microtonality and combined different tunings. However, she continued to use the Fibonacci numbers and timbral experiments as well as the religious connotations in her quarter-tone works.

In an interview with Lukomsky (1998a, p. 12), she explained how she entered the magnetic field of quarter-tones:

I came to this idea following my friend, the composer Victor Suslin, who began thinking about quarter-tone music after reading Boleslav Yavorsky...who was a true generator of new ideas. In particular, Suslin was attracted by Yavorsky's suggestion to resolve a tritone neither to a third nor to a sixth, but to a perfect fifth by means of contrary voice-leading in which each part moves a quarter-tone.

Although she first used quarter-tones in *Concordanza* (1971) and *String Quartet No.1* (1971), her primary interest in that period was timbre. From late 1995 to the present day, her interest, like that of many other composers, turned to quarter-tones and the exploration of different tunings. She was keen to expand the possibilities of pitch more broadly and expressed her point of view on this issue thus:

We have reached a stage where all twelve tones participate equally in our musical system, and this is very bad for large forms in music because there's nowhere left to go, and hence no reason to go...but we must go on. So, I am trying to find a dark space or a night by doubling the twelve-tone system with quarter-tones. This is a very important stimulus for me. (Smirnov, 2001).

She began experimenting with alternative tunings and created works emphasizing the difference between one tuning and the other; for instance, conventional tuning versus tuning that was a quarter-tone higher. Her idea of combining differently tuned instruments was initially put into practice with *String Quartet No.4* (1993). This quartet, which was divided into three musical layers, consisted of a live performance along with two prerecorded tapes, one of which was tuned a quarter-tone higher than the live instruments (Koay, 2018, p. 4).

Following *Quartet No.4*, she wanted to then adapt this technique for a live performance. In *Quarternion* (1995) for four cellos, she divided the cello parts into two halves, one of which tuned their instruments down a quarter-tone. She explained lexical meaning and the structure of the quarternion as follows:

The term quaternion is a mathematical one...Hamilton used it to designate the four-one numbers consisting of one real and three imaginary components. In this way, I could imagine a metaphor: on the one hand, the actual pitches played arco or pizzicato, on the other, various states of tonal indefiniteness: ricochet with the wood of the bow, playing with the fingers on the strings, playing with thimbles on the strings, different types of glissando and finally, in the coda, playing with the bow on the fingerboard. The principal theme is the drama of tones expanding by quarter-tone steps. (Gubaidulina, n.d.).

Similarly, in *Music for Flute and Strings* (1995), she divided the string orchestra into two sections, tuned the same way as in the previous example; a quarter of a tone apart from each other. The flutist was located in between, joining one group or the other through the ability of the flute to play glissando and quarter-tones. As observed from these works, Gubaidulina considered quarter-tones to be a twenty-four-tone

system that includes two sets of twelve-tones. In an interview with Lukomsky (1998a, p. 11), she explained her use of quarter-tones:

I understand it as a unification of two spaces: the first is the twelve-semitonal space, and the second is another twelve-semitonal space a quarter-tone higher. For me, this is a metaphor of the image and its shadow, or a day and a 'night.' From my point of view, in the twelve-tone compositions of the 20<sup>th</sup> century, everything is as in the day-time; everything is enlightened and rationalized; there is no place for night... But within the twenty-four-tone scale, we may have not only a 'day' but also a 'night.'

Beginning with a solo viola part, Gubaidulina's *Viola Concerto* (1996) continues in a similar way; accompanied by a string quartet tuned a quarter-tone lower than the rest of the orchestra ("Kancheli: Styx", n.d.). Likewise, in her concerto for amplified koto, bass koto and zheng, *In the Shadow of the Tree* (1998), both the orchestra and the solo instruments are divided into two sections and tuned with a quarter-tone difference. This means that the two string groups are set against each other and the zheng is tuned a quarter-tone lower than the other solo instruments. As previously stated, Gubaidulina explained that she used this unusual tuning to present the two contrasting musical spheres; which were analogous to a region of light and shadow:

The discourse involving the two regions constitutes an attempt to come to grips with both the musical rendering and the emotional significance of the phenomenon we refer to as shadow. Thus, the process which leads to a greater understanding of the phenomenon is cast in the form of a musical discourse which in the end reveals to us that shadow is the sphere of existence from which life emanates, and even light. (Gubaidulina, n.d.).

*The Light of the End* (2003) for large orchestra is also built on the dichotomy of conventional and tempered tunings. In the program note, she explained that the duet of French horn and cello provides a striking example of contrast and reveals a terrific dissonance. In her words, it is "especially antagonistic" to play the same melody in different tunings: while the horn plays in natural pitches, the tempered cello plays along the same melodic line (Gubaidulina, n.d.).

A different way of using the quarter-tones appears in her flute concerto, ...*The Deceitful Face of Hope and of Despair* (2005). As stated in the liner notes, each interval in the concerto is designed to create a summation tone or a difference tone, and the pulsations of the difference tones can be heard in the natural intervals. Gubaidulina remarks that the alteration from pulse-to-tone and vice versa evokes the idea of hope and despair.

This precise moment when a tone emerges from the pulsation, can be regarded as a metaphor for our hope. A gradual slowing down of the pulsating difference tone will lead ultimately to a disappearance of the sound, and finally also of the pulse, a metaphor for our despair. (Gubaidulina, 2008).

Her orchestral works, *Feast During a Plague* (2005) for orchestra and *the Lyre of Orpheus* (2006) for violin, percussion, and strings, along with *Deceitful Face of Hope and of Despair* were parts of a triptych, *Nadeyka*, dedicated to the memory of Nadezhda, daughter of Gubaidulina. The common ground in all three works was to emphasize the contrast between pulsating difference tones and the intervals creating them.

In her concerto *Glorious Percussion* (2008), Gubaidulina combines the difference tones with the Golden Section. She explains the characteristic nature of the work in the program note:

The central theme here is the agreement of the sounding intervals with their difference tones. This gives rise also to the work's formal disposition: on three occasions the music comes to a halt. Against the resulting static background there remains only the pulsation that had given rise to the intervals of the preceding chord. Such episodes occur at specific formal locations and thus submit the form to the principle of the Golden Section. (Peters, 2011).

Another feature of her use of quarter-tones is pitch bending, which is a technique enabling the bayan to create a non-tempered glissando effect. She uses this effect mostly in combination with another glissando movement in the reverse direction, especially in her concerto *Fachwerk* (2009), for bayan, percussion, and strings (Džinović, 2017, p. 33). In using this criss-crossing effect, she symbolizes the Cross.

### **3.3. Gubaidulina as a Woman Composer**

Since the beginning of the 20<sup>th</sup> century, female composers, musicologists, and performers became increasingly more influential in the Soviet Union. Although the Soviet regime was essentially class-based, issues of sexual equality and the emancipation of women were also addressed in this context and women's participation in creative processes was always considered a part of social enlightenment (Bullock, 2012, p. 134).

Because Gubaidulina was raised in an egalitarian society, she never had to take a back seat because she was a woman; neither in her pupilage nor in her professional

life. Sometimes, she simply got the feeling that she was more fortunate than her male colleagues. This was primarily because the government had greater expectations of male composers who were trying to gain a place in the wake of a grand master like Shostakovich. Moreover, she was of the opinion that she was perceived as a “female eccentricity” and was not considered to any great extent in the Soviet Union: In an interview with McBurney (1988, p. 121), she stated: “Nobody took much notice of me. They could always dismiss what I did as simply female eccentricity. It was much harder for the men.”

However, there were cases where being a man were advantageous, as in any other society. Elena Firsova, another leading female avant-garde composer, explained this in an interview: “Soviet life favors the man except for unmarried women without children. Yet there seems to be an almost equal number of women here.” Gubaidulina also stated that women and men were not equally respected as composers and added: “Men work at music as a business, but women have to create their own recognized publicity” (Polin, 1984, p. 13). However, in the same interview, Firsova emphasized that, despite all this, there was no gender-based discrimination: “Some composers are not performed on radio or television at all, not because of discrimination based on sex, but because they are considered to be avant-garde.”

As for education, Soviet women had always studied as equals to their male colleagues and perhaps had better educational opportunities than their female colleagues in the West (Regovich, 2016, p. 6).

During her travels to Western countries, Gubaidulina was astonished to observe that some of her female counterparts formed associations and held festivals only for women. Some even established publishing houses for female composers only. This kind of female solidarity was very unusual for her. Because Russian history has always accommodated strong female figures, she was never oppressed or excluded for being a woman and had never seen such female organizations in the Soviet Union (Kurtz, 2007, p. 69).

Given that women have made significant contributions to Russian music since the 20<sup>th</sup> century, it can be concluded that gender was not an important category in determining the academic and artistic progress of individuals in the Soviet Union (Bullock, 2012, p. 136). Furthermore, Gubaidulina wished her music to be included

in the contemporary music literature instead of a subset of women composers. She believes that the gender of a composer is not a distinguishing feature in the 21<sup>st</sup> century:

I have no doubt that women think and feel differently than men, but it is not very important whether I am a woman or a man. What matters is that I am myself and develop my own ideas strictly toward the truth. (Parsons and Ravenscroft 2016, p. 1).

It is also essential to emphasize the difference between sex and gender when evaluating Gubaidulina as a female composer. As Dunbar (2011, p. 41) explains in *Women, Music, Culture* "...sex is biological and gender is culturally constructed." According to Dunbar, music is a sexually neutral activity conducted to achieve the objectives of the composition. However, gender, "has been connected with aesthetic coding for centuries." Thus, the characteristics of gender should also be discussed in order to provide a better understanding of femininity and masculinity in Gubaidulina's music.

In an interview with Polin (1984, p. 14), Gubaidulina stated that composing music for films was a very frustrating job and was actually more appropriate for men. Nevertheless, she has made it clear that there is no sense of gender in her music: "When I write for films, I feel very different from a man; yet when I write my own music, there is no sense of gender involved."

In an interview with Göran Fant (1992, p. 40), it is evident that Gubaidulina's views at that point had become more gender-focused. She even explained how she considered her music to be feminine:

I am convinced that male and female consciousness are two quite different things. But that is complicated by the fact that no person is either purely a man or purely a woman. To determine what is typically masculine and typically feminine seems to me an immensely important area of research...Within myself, I sense a very distinct femininity. (Kurtz, 2007, p. 70).

She explained that all her thoughts came to her concurrently, "forming something like a vertical thought structure." She stated that, "instead of a line, I experienced a vertical form. I would say something and felt at the same time that it was not right" (Kurtz, 2007, p. 70). Thus, Gubaidulina feels that the accumulation of different and diverse ideas is unique to women and believes that "man does not experience such a disordered consciousness, that for him things are simple and clear, that his thoughts

are horizontal and linear” (Kurtz, 2007, p. 70). In this context, Gubaidulina asserts that vertical thinking is unique to women and therefore considers herself to be a composer with feminine qualities.

According to Kurtz, the ancient mystic also believed greatly in the femininity of the soul which was described as a bride trying to unite with the groom. From this point of view, and like her feminine verticality, mystical textures that are common in Gubaidulina’s music also reflect the feminine nature of her music. Mystical elements in her music are so distinct and foregrounded that Dunbar (2011, p. 38) describes Gubaidulina as a “spiritual counterpart” of Hildegard von Bingen of the 20<sup>th</sup> century.

In contrast to her self-evaluation and Kurtz’s views, Dunbar (2011, p. 41) brings a new perspective that classifies Gubaidulina’s music on the axis of male aesthetics. She bases her opinion on Gubaidulina’s use of “harsh dissonance, mathematically structured form, and overall complexity.” According to Dunbar, the themes of “terror, death, and ugliness” that are present in her *Seven Words* historically refer to men.

The musicologist Sally Macarthur (2010, p. 121) agrees and points out that the composer has a dominant aesthetic sense that goes beyond the limits of femininity: “Gubaidulina writes music that is consistently atonal in orientation and imbued with sonic masculinity.” Macarthur (2010, pp. 20-111) defines Gubaidulina’s music as “an intensification of a radical, musical, female masculinity” and suggests that Gubaidulina’s music reflects the austerity of a “hegemonic aesthetic.” Because Macarthur believes that atonality maximizes the instinctive effect of violence, she bases her standpoint on Gubaidulina’s use of the severe energy of Western atonality. In her analysis of *Offertorium*, Macarthur (2010, p. 135) argues that the concerto makes a difference by “disrupting the gender norms” with its extreme masculinity. She explains this as follows:

Its trajectory is violent, for it brutally massacres the theme it initially posits as a symbol of the sacred...Even in the lyrical passages of the third movement, any sense of the feminine is canceled out by the dissonant, non-functional harmonic language that underscores the music.

It is clear that femininity and masculinity are relative concepts and may be perceived differently depending on the social environment, cultural differences, and the perception of individuals. Although Gubaidulina considers her music to be feminine

with its spiritual sensitivities, mystical textures, and complexity, it clearly evokes masculine qualities in the perceptions of Australian musicologist Sally Macarthur and American scholar Julie C. Dunbar.

Regardless of whether her music is feminine or masculine, Gubaidulina has achieved great success in a male-dominated field and has put her stamp on history as one of the most successful living female composers in the global classical music scene.

### **3.4. Major Influences in Gubaidulina's Music**

#### **3.4.1. Symbolism**

It is known that Marxist ideology, which forms the basis of the Soviet regime, was not compatible with supernatural events and religion. Therefore, it was theoretically and practically impossible to hold religious beliefs and worship within the country. According to Pospelovsky (1987, p. 8), the Soviet government aimed to gradually destroy existing religious practices while implementing atheist policies. Even though the Soviet people were not officially attacked for their belief, they were persecuted on the grounds of political opposition.

During the Thaw Period (1953–1964) that followed Stalin's death, there was some relief in the field of music and religion as in every other field. As a consequence, religious tendencies in art became a general trend in the 1960s (Medić, 2010, p. 97). The artists who had lost their faith in the communist system wanted to revive the spiritual aspect of art. Their desire to return to their religious background had become an intellectual stimulus for them. Although the Soviet regime did not sympathize with religious freedom and regarded it as rebellion, the new fashion of art-religion synthesis survived to a restricted extent as unofficial art. In fact, Gubaidulina's spirituality was more intense than her desire to rebel against the regime. Nevertheless, her religious tendencies combined with her avant-garde idiosyncrasy led her to be largely discredited by the Soviet government (Angell, 2017, p. 11).

According to Medić (12, p. 111), Gubaidulina's conception of religion has been a type of "idiosyncratic pantheistic synthesis" including elements of many different beliefs. Although she was baptized in the Orthodox Church, she has interiorized spirituality without being bound to any religion. The breadth of her religious belief,

which directly affected her philosophy of life and her music, is in essence based on the origin of her family. As mentioned earlier in this chapter, her mother was of Russian and Jewish descent, and her grandfather (on her father's side) was a Tatar-Muslim mullah who visited Mecca on a pilgrimage. Gubaidulina comprehended how her subconscious mind tied her to this origin when she visited a mosque in Leningrad in 1963. It touched her deeply when she attended the Muslim worship and listened to a Qur'an recitation for the first time. Gubaidulina said that she once again understood the importance of such a relationship between human beings and God at that moment.

The mullah recited a passage from the Koran, a short one to begin with, which was met by silent meditation. The second passage, with a richer melisma, was again followed by a period of contemplation. The melodic quality grew more complex with each succeeding passage, and the silences became longer and longer. The climactic phrase, highly ornamented, unfolded like a melody in full flower. The silences between the passages created an almost ecstatic mood, and after one more meditation the service was over. (Kurtz, 2007, p. 60).

According to Medić (2012, p. 112), Gubaidulina reflected the influence of her Muslim origin and the effects of this listening experience in the mosque in her works. Medić argued that the melismatic structure and meditative silences in the Qur'an are even reflected in the works that explicitly deal with Christian themes, such as *Introitus* (1978) and *Offertorium* (1980).

For Gubaidulina, music and spirituality are always intertwined. In an interview with Vera Lukomsky (1998b, p. 31), she stated that all her works were religious and she had never written non-religious music. Believing that art has a religious function, she once stated: "True art for me is always religious; it will always involve collaborating with God."

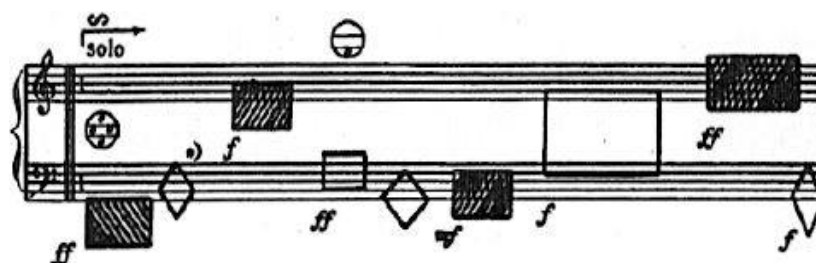
Religious connotations in Gubaidulina's music are quite evident and she has always used religious symbolism in a variety of ways including the libretto, timbre, gesture, graphics, or the selection of the instruments. The titles of the works can also be considered as symbolism for their crucial role in understanding the content. When the titles used in her works are examined, it is apparent that many of them are full of connotations of the Bible. For instance, *Introitus* (1978), a piano concerto that refers to the opening of the liturgical celebration of the Eucharist; *In Croce* (1979), a duet for cello and organ that refers to the crucifixion of Jesus and literally means 'on the

Cross'; *Offertorium* (1980), a violin concerto that refers to a part of the Proper of the Mass, the offertory, namely the presentation of bread and wine in the Eucharist; *Seven Words* (1982), a chamber work that refers to the last words of Jesus; *De profundis* (1978), a solo work for bayan that refers to the 130th Psalm meaning 'from the depths I cry to thee, O Lord'; *Et Exspecto* (1985), a solo work for bayan that refers to 'et exspecto resurrectionem mortuorum' which means 'and I expect the Resurrection of the dead' in Latin; *St. John* (2000), an oratorio that refers to St. John who was an apostle of Jesus Christ, and so on.

Gubaidulina first used religious symbolism in her *Concordanza* (1970) by embellishing advanced techniques with spirituality and assigning symbolic meanings to them (Regovich, 2016, p. 72). In this work, she portrayed the earthly and the spiritual life as staccato and legato, respectively. In other words, the use of staccato and legato was not only to enrich the musical expression, but to reflect their religious connotations (Kurtz, 2007, p. 95). She explained how she associated legato with spirituality as follows:

I understand the word 'religion' in its direct meaning: as re-ligio (re-legato), that is, a restoration of legato between me (my soul) and God. By means of my religious activity, I restore this interrupted connexion. Life interrupts this connection: it leads me away, into different troubles, and God leaves me at these times. This is unbearable pain: by creating, through our art, we strive to restore this legato. (Lukomsky, 1998b, p. 33).

Symbolism has always been an essential aspect of Gubaidulina's aesthetics. Tsenova (2002, p. 254) divides her use of symbolism into three different kinds: descriptive, instrumental, and registral. An example of descriptive symbolism is her use of the air noise of bayan to depict Jesus' last breaths as illustrated in Figure 3.8 (Džinović, 2017, p. 29).



**Figure 3.8 :** The use of the air-noise and tone clusters in the bayan part. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

Her violin concerto *Offertorium* (1980) is another example of descriptive symbolism that portrays the Transfiguration. The title of the work comes from the Offertory, a part of the Roman Catholic Mass. The title also refers to J.S. Bach's Musical Offering and uses its theme to symbolize the sacrifice and the transfiguration of Jesus. Some of the timbral changes in the work represent the Transfiguration or the transition from earthly to celestial. In order to portray this musically, she uses techniques such as harmonics, sul ponticello, or retrograde inversion of the melodic lines (Lee, 2007, p. 61).

*Offertorium* starts with the theme of Musical Offering, in Gubaidulina's words, "where the theme offers itself". It is followed by several variations created by "sacrificing one note from the beginning and one from the end in each variation." Following the second section devoted to cross-suffering images and the Last Judgement, the last section in which the Transfiguration is depicted begins; the main theme returns but is unrecognizable. As Gubaidulina explains, the theme "appears in its complete shape, but in retrograde motion, and nobody can recognize it" (Lukomsky & Gubaidulina, 1998a, p. 26-27).

The registral symbolism appears in her *Steps* (Stufen, 1972) as a continuous descending line in the orchestra part which represents "a descent through life into death" (Regovich, 2016, p. 72). *De Profundis* (1978) is another example with its pitches moving from the lowest registers towards the highest. As Angell (2017, p. 117) interpreted, this motion refers to a rise from the depths towards heaven.

As for the instrumental and registral symbolism, Gubaidulina explained explicitly how she attributed meanings to musical instruments and how she portrayed the Cross by criss-crossing the registers in her *In Croce* (1979) as follows:

In that particular combination [organ and cello] I imagined the organ as a mighty spirit that sometimes descends to earth to vent its wrath. The cello, on the other hand, with its sensitively responsive strings, is a completely human spirit. The contrast between these two opposite natures is resolved spontaneously in the symbol of the cross. I accomplished this by criss-crossing the registers (the organ takes the line downward, the cello upward); secondly, by juxtaposing the bright major sonorities of natural harmonics, played glissando, and expressive chromatic inflections. (Kurtz, 2007, p. 140).

*Seven Words* (1982) for cello, bayan, and string orchestra is also another striking example of instrumental symbolism. It is based on Christ's last seven utterances on

the Cross, and has been dedicated to world-famous bayanist Friedrich Lips. According to Lips, the combination of the musical instruments, bayan, cello, and the strings, symbolize the Trinity and represent Father, Son, and Holy Spirit, respectively (Džinović, 2017, p. 29). In speaking of this work, Gubaidulina also stated:

I like very much the idea of instrumental symbolism, when the instrument itself, its nature and individuality, hints at or implies a certain meaning. The instrument's quality and the meaning of music join each other ... I wanted to find the idea of the cross in the instruments themselves. The first thing that came to mind, obviously, was the 'crucifixion' of a string (Lukomsky & Gubaidulina, 1998a, p. 20).

Gubaidulina first revealed the idea of crucifixion in the cello part by creating a sonic crossover. She obtained this sound effect by criss-crossing 'the pitch A' on an open string and 'Bb-G# glissando' on D string (Figure 3.9). Although it did not give the same quality results, relying on Lips' mastery, she adapted the same idea to the bayan part as well (Džinović, 2017, p. 29).



**Figure 3.9 :** The crucifixion of the A string by means of glissandos. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

There are many kinds of Cross symbols used by Gubaidulina. In an interview with Lukomsky (1998a, p. 20), Gubaidulina states that in *In Croce* (1979), the Cross takes place even in the shape of the score (Figure 3.10). Moreover, the relationship between strings and the bridge of the cello also presents a symbol of the Cross:

The cellist 'crucifies' the string by means of the bow, which gradually moves closer and closer to the bridge. The sound becomes more and more unpleasant, expressive, and eerie. And then – an eerie shout on the bridge! Then a shout as if it were jumping away. The bow moves toward the bridge – and steps over this border! That is, the cello itself becomes the cross, a place of crucifixion. (Lukomsky & Gubaidulina, 1998a, p. 20).

The image displays a musical score for the piece "In Croce" (1979) by Gidon Kremer. The score is arranged in a way that visually suggests the shape of a cross. At the top, there are two staves: "Vc. solo" and "Bajan". Below these are three systems of staves, each containing three parts. The first system includes "Vni I", "Vni II", and "Vle". The second system includes "Vc." and "Cb.". The third system includes "Vc." and "Cb.". The score is written in 2/4 time, with a tempo marking of "♩ = 48". The music features a variety of dynamics, including *p* (piano), *mp* (mezzo-piano), and *f* (forte). The overall layout of the staves, with the solo parts at the top and the ensemble parts below, creates a cross-like silhouette.

**Figure 3.10 :** *In Croce* (1979), the shape of the score suggesting the Cross. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

*St. John Passion* (1999–2000) and *St. John Easter* (2001) are the two parts of Gubaidulina's massive oratorio which are intertwined with texts from St. John's Gospel and the Book of Revelation to symbolize "the temporal earthly 'horizontal' events of the Passion" and "the supratemporal 'vertical' realm of the Apocalypse of

St. John” (Kurtz, 2007, p. 248). As mentioned earlier, horizontal and vertical intersections also constantly symbolize the Cross in her works. In this work, Gubaidulina also symbolized ‘The Day of Judgement’ by her use of “extreme dissonance, a kind of cry or scream”. She explained the great silence after the last scream as follows: “there is no continuation and there can be no continuation: It is finished” (“Sofia Gubaidulina”, 2002).

Her concerto for two violas and orchestra, *Two paths: A Dedication to Mary and Martha* (1998) is another work in which she makes use of the horizontal and vertical dimensions. In this work, the two instruments represent the two sisters, Mary and Martha, who appear in Luke’s Gospel and John’s Gospel (Jordan, 2008, p. 8). The two sisters, representing the sacred and earthly love individually, reach to the two opposite edges, the celestial and the earthly (Lee, 2007, p. 69). Cynthia Phelps, one of the original soloists of the work, explains how their separation is depicted by registral symbolism as follows:

It’s based on the Biblical story of Mary and Martha, and how Mary chooses to ascend the heights of spirituality, and Martha stays and takes care of Lazarus, remaining very rooted in daily chores and earthly responsibilities. You can hear the faith and purity of Mary in the very high extremes of one viola line, and the insistent, earth-bound groundedness of Martha in the second viola part, with its low, growling trills. (Kettle, 2011, p. 73).

The symbolism of Gubaidulina is not limited to the above-mentioned categories such as descriptive, instrumental, and registral. She also uses numerical symbolism to evoke the sacral-mystical meanings of the numbers. For instance, she once stated that working with ‘7’ was a “sacred process” for her (Beyer, 2000, p. 48). She uses number seven in different ways; for example, *In the Beginning There was Rhythm* (1984) has seven performers, seven kettle drums, and seven other instruments; *Seven Words* (1982) has seven movements in a cycle; *Quasi Hoketus* (1984) has seven sections within the rondo form, and so on (Tsenova, 2002, p. 253). Another form of symbolism, which can be defined as gestural symbolism, is found in the solo cadenza part for the conductor in her *in Stimmen...Verstummen...*(1986) (Figure 3.11).

Gubaidulina has many other works symbolizing religious elements in different ways. Although it is not appropriate to include all her works in this subchapter, it should be noted that her most fundamental source of inspiration is her desire to establish a bond between the earthly and the divine through her music.

**IX**  
(Cadenza per direttore)

The musical score is for a conductor's cadenza. It is titled 'IX (Cadenza per direttore)'. The conductor's part is marked 'agitato 1 = 84' and 'statica 1' and 'statica 2'. The percussion part includes 'Gr. Cassa' and 'Cassa Rito'. The timpani part is marked 'Timpani' and 'pp'. The score is in 5/4 time and features a 'moto improv.' section. Hand-drawn sketches of hands are visible above the conductor's part.

**Figure 3.11 :** Cadenza for the conductor in *Stimmen...Verstummen...*(1986). © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

### 3.4.2. Influence of Shostakovich, Webern, and J.S. Bach

In addition to her spirituality, there are some composers who have influenced her deeply. Indeed, the first and foremost among them is Shostakovich. Gubaidulina's admiration for him had already begun during her studies in Kazan; his *Piano Trio No.2 in E minor* was her favorite. However, her admiration increased when she moved to Moscow and met him. She said: "I met Shostakovich on several occasions and hung onto his every word" (Wilson, 1994, p. 306). Gubaidulina did not only revere Shostakovich for his music, but also his attitude of mind. She expressed her feelings about him openly: "When I now look back to that time, it is clear to me that I could not have lived or breathed without Shostakovich, he was that important to me" (Kurtz, 2007, p. 44).

In 1959, when Gubaidulina had her final exam at the Moscow Conservatory, the chairman of the examination committee was her revered professor Dmitri Shostakovich. During the exam, young Gubaidulina was criticized by the members

of the committee for being too contrarian, and she was warned that the path she followed was incorrect. However, there was a moment which she considered as a turning point of her life. Shostakovich was impressed by her talent and told her in private: “Don’t be afraid to be yourself. My wish for you is that you should continue on your own, incorrect way.” Gubaidulina said that she was infinitely grateful to Shostakovich for those words and explained her feelings as follows:

One phrase said to a young person at the right moment can affect the rest of his or her life. I needed them at that moment, and felt fortified by them to such an extent that I feared nothing, and failure or criticism just ran off my back, and I was indeed able to pursue my own path. (Wilson, 1994, p. 306).

In a 1978 interview with musicologist Hannelore Gerlach, Gubaidulina noted that Webern also influenced her, as well as Shostakovich: “Dmitri Shostakovich and Anton Webern had the greatest influence on my work. Although their influence has left no obvious traces in my music, these two composers have taught me what is most important of all: to be myself” (Kurtz, 2007, p. 138).

Gubaidulina’s acquaintance with Webern was through Philipp Herschkowitz, a former student of Webern who escaped from Nazi occupation in 1939. Herschkowitz was a precious master for Gubaidulina, who introduced the tradition of the Second Viennese School and the music of Webern in Moscow at a time when almost all non-Russian music was banned. Although Herschkowitz was not officially recognized by the Composers’ Union, he made a living by giving private lessons and lectures to young composers. Gubaidulina has always been grateful to him for the knowledge and experience they shared (Lukomsky & Gubaidulina, 1998a, p. 15–16; Derek, 2015, p. 1002).

Other than the composers mentioned above, Gubaidulina often mentions J.S. Bach as the most significant influence in her advancement as a composer. In an interview with Lukomsky (1999, p. 27) she said:

During my long professional life I have experienced plenty of attractions. I love a lot of things from music history. I had a period of a strong attraction to Wagner, then a period of affection for the Russian classical school (Tchaikovsky, Rimsky-Korsakov, Mussorgsky), then a period of devotion to the 16th century (Josquin, Gesualdo), then a period of special interest in the Second Viennese School. But the figure to whom I experience a constant devotion is J.S. Bach. His works are still a great source of learning for me.

Gubaidulina also has many features in common with J.S. Bach. For instance, both composers use numbers and religious symbols as a tool in their music, bring their spirituality to the forefront, and their certainty in the structure is very evident. Known for her use of Fibonacci numbers and golden ratio in her works, Gubaidulina, in an interview with Desiateryk (2012, p. 2), stated that “it turned out, for example, that Bach also dealt with the golden section”. She explained it in another interview with Lukomsky (1998a, p. 19) by referring to Bach’s chorale entitled *Vor Deinen Thron Tret Ich Hiermit*. She said that “the piece consists of four sections ABAB, where A is Bach’s ‘own’ music, and B is the chorale”. After analyzing the work, she concluded that the longer part of the piece has 114 quarter notes, while the shorter part has 73 (Figure 3.12).



**Figure 3.12 :** Gubaidulina’s manuscript illustrating the golden section in Bach’s chorale *Vor Deinen Thron Tret Ich Hiermit*.<sup>23</sup>

In a 1999 interview, conductor Kurt Masur emphasized the spiritual similarities of Bach and Gubaidulina. He stated that apart from Bach’s *Brandenburg Concerto no. 6*, the only other great concerto for two violas was Gubaidulina’s *Two Paths* (1999). Masur also regarded Gubaidulina as “a woman who is closest to Bach in spirit” (Kurtz, 2007, p. 244).

Gubaidulina’s interest in baroque music can be observed in the titles of some of her works, such as *Toccata* for guitar (1969), *Ciaconna (Chaconne)* (1962), *Toccata-Troncata* (1971), and *Invention* (1974). According to Angell (2007, p. 117), the psalms or chorale references used in *De Profundis* (1978) for solo bayan may also refer to the aesthetics of baroque music, in particular, J.S. Bach. The influence of J.S. Bach and Webern can be observed overtly in her violin concerto *Offertorium* (1980). The theme of the concerto is based on J.S. Bach’s *A Musical Offering*, and its orchestration is enriched by Webern’s ‘pointillistic’ and *klangfarbenmelodie* (tone-color melody) technique, as illustrated in Figure 3.13 below. (Beyer, 2000, p. 51;

<sup>23</sup> Lukomsky, 1998a, p.19.

Macarthur, 2010, p. 127–128). By this means, Gubaidulina revered the two composers who inspired her the most.

The musical score is for Webern's *Klangfarbenmelodie* technique in *Offertorium*, bars 1–8. It is written for a woodwind and brass ensemble. The score consists of five staves: 2 Flauti (Flutes), 2 Fagotti (Bassoons), 3 Corni (F) (Horns in F), 3 Trombe (B) (Trumpets in B), and Tromboni (Trombones). The tempo is marked as quarter note = 54 (♩=54). The key signature has one sharp (F#). The score shows a 'I solo' section for the Flutes and a 'I solo con sord.' (muted) section for the other instruments. Dynamics include mf (mezzo-forte) and mf (mezzo-forte).

**Figure 3.13 :** Webern's Klangfarbenmelodie (tone-color melody) technique used in *Offertorium*, bars 1–8. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

Gubaidulina's *Meditation on Bach's Chorale "Before Thy Throne I Come, O Lord"* (1993) for amplified harpsichord and five strings, as it is understood from its title, is another work which is inspired by J.S. Bach. In an interview with Lukomsky (1998a, p. 17), Gubaidulina stated that *Meditation* was her "contemplation on Bach's chorale, specifically on Bach's use of numbers". This was because she believed that Bach's practice of using numbers represented his deepest bond with God. She said: "addressing God in this chorale; Bach meant: Look, God: I, Johann Sebastian Bach, step before thy throne."

Apart from its spirituality, Gubaidulina was also inspired by the theme and structural features of Bach's chorale, which mainly constitute the essence of the work. For instance, she used the same sacred tune as that employed by J.S. Bach and followed his structural principles. She also stated that she dedicated her *Meditation* to J.S. Bach, more particularly to his chorale (Lukomsky & Gubaidulina, 1998a, p. 20).

In 2000, Gubaidulina was commissioned by the Internationale Bachakademie Stuttgart to compose her colossal *Passion and Resurrection of Jesus Christ according to St. John* (2000) in memory of J.S. Bach. In this work, Gubaidulina revived some of the models which Bach used in his passions, and she also brought four vocal soloists to the fore, just as in Bach. Her clear departure from Bach in *St. John* is the unusual setting of the text consisting of a mixture of "St John's gospel" and the visionary "Book of Revelations" (Stein, 2003, p. 78).

Bach's influences are also evident in Gubaidulina's string quartet *Reflections on the Theme B-A-C-H* (2002). This work was commissioned by the Brentano String Quartet in order to dedicate companion works to each movement of Bach's *The Art of Fugue*. Gubaidulina was among ten composers who took part in this project and chose the final fugue, *Contrapunctus XVIII*, which remained unfinished due to Bach's death and includes his signature theme: B-A-C-H<sup>24</sup> (Steinberg, n.d.). In this work, Gubaidulina sheds new light on Bach's work by re-interpreting it in her idiosyncratic style.

Within Gubaidulina's oeuvre, it is common to observe Bach and Webern influences in various forms. In a statement to Sikorski Magazine (2016, p. 27) Gubaidulina briefly explained the place of these three composers in her life as follows:

In my youth, a figure like Shostakovich was extremely important for me, as a person, as a musician and composer. He was a personality without whom I might not have been able to live at that time. His way of living was an orientation for me. Then time passed, I became enthusiastic about others, and now Bach and Webern are the main figures for me. Not because I imitate their musical language, by no means, but I feel very close to their ways of thinking, their ways of living in music, in the sounds, their relationship to sound, music and life. For me, Webern and Bach are the most important, the main thing.

### 3.4.3. The use of dichotomy

When the works of Gubaidulina are examined, it is clear that the issues of duality and contradiction are often emphasized as can readily be seen in the titles of her works. For example, *Light and Darkness* (1976), *Garden of Joy and Sorrow* (1980); *Rumore e Silenzio* (1974, translated as noise and silence), *Vivente-Non-Vivente* (1970, translated as living-non-living); *Pari e Dispari* (1991, translated as even and uneven); and *...The Deceitful Face of Hope and Despair* (2005).

As reflected in their titles, the idea and the content in Gubaidulina's works are also based on oppositions. For instance, her tape piece *Vivente-non-Vivente* is based on the opposition of two sound worlds: concrete (living) and electronic (non-living). As the piece unfolds, the two opposing sound types transform and blend together, and the contrast between them becomes blurred (Askew, 2002, p. 115).

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<sup>24</sup> B-A-C-H: the signature theme of J.S. Bach. German names for the notes B, A, C, H correspond the pitches B-flat, A, C, and B-natural in English respectively.

Noise and silence are two contrasting aspects which are equally distributed in *Rumore e Silenzio* (1974). The noise is represented by the music itself while the silence, on the other hand, is found in the pauses and rests. Gubaidulina stated that this work is a “...symbolic ritual game in which two basic themes, noise and silence, are personified by two musicians and their instruments [...] on the one hand, the victory of noise over silence, on the other, noise being engulfed by silence” (Askew, 2002, p. 115).

The dichotomy is also observed in the sonic and timbral elements of her work, such as the use of high pitch in contrast to low pitch; pitched sound/chords set against tone clusters; staccato against legato, and so on. Gubaidulina also implies this in her compositional writing style. In an interview with Polin (1984, p. 15) she explained how she has applied it in her music: “I find contrasting ideas very interesting: for example, in string terminology, setting against each other arco vs. pizzicato, sordino vs. senza sordino, ponticello vs. sul ponticello vs. sul tasto, fété vs. spiccato. This concept of opposition influences my musical ideas.” The *Ten Preludes* (1978) for solo cello are a striking example of her use of contrasting playing techniques as can readily be observed from the titles listed below:

- I. Staccato, legato
- II. Legato, staccato
- III. Con sordino, senza sordino
- IV. Ricochet
- V. Sul ponticello, ordinario, sul tasto
- VI. Flagioletti
- VII. Al Taco, da punta d’arco
- VIII. Arco, pizzicato
- IX. Pizzicato, arco
- X. Senza arco, senza pizzicato

The dichotomy in her works has also a symbolic meaning in terms of substance. According to Kise (2013, p. 10), her devotion to dichotomy stems from her religious vision, that is, the contradiction of the divine and the earthly. As mentioned earlier, another contradiction that she often referred to with passion are the horizontal (earthly) and vertical (divine) dimensions.

In his article, Paul Griffiths (1999) made a pertinent remark about Gubaidulina's inner-individual dilemmas and described her as "...a woman among composers; a freethinker among Soviet apparatchiks; a Christian among atheists; an Easterner, half Tatar, among Europeans; a modernist among reactionaries, and a reactionary among modernists." Perhaps, these descriptions are quite sufficient to understand the possible basis of Gubaidulina's passion for dichotomy.



#### 4. ANALYSIS OF GUBAIDULINA'S FLUTE WORKS

Analyzing Gubaidulina's early works is not a topic that can be easily undertaken. In an interview, Gubaidulina states how complex it would be to analyze her earlier works: "It seems to me that my early period, the 70s, is very difficult for musicologists to talk about. I was searching in areas that are impossible to describe in words" (Lukomsky, 1998b, p. 35).

However, it is still appropriate to analyze these early works since all of them have contributed to her maturation and development. Perhaps the basis of her music had been laid on these earlier works. For example, we can observe that the principle theme of her famous piece *In Croce* (1979) was built upon the flute piece *Sounds of the Forest* (1978). The modest theme of the flute piece is used in a different tonality and became more sonorous in color in *In Croce* (Neary, 1999, p. 125).

As mentioned earlier, in her earlier works, Gubaidulina mainly focused on timbral aesthetics and a range of different sound qualities. Since both *Garden of Joy and Sorrow* (1980) and *Quartet for Four Flutes* (1977) that are analyzed in this chapter are from Gubaidulina's earlier works, they are considered to be more prominent in terms of their sound and timbre. In both works, she created a meditative atmosphere with traces of the mysterious sound world of the East, and she enriched the chant-like passages with various techniques such as the use of multiphonics and flutter-tongue on the flute, and timbral disturbances by touching the strings on the harp with a tuning key.

Her other compositions for flute are classified and listed chronologically in Table 4.1 below.

**Table 4.1 : Flute works of Gubaidulina.**<sup>25</sup>

|            | <b>Name</b>                                  | <b>Date</b> | <b>Instruments</b>              |
|------------|----------------------------------------------|-------------|---------------------------------|
| Solo       | Sonatina                                     | 1978        | fl.                             |
|            | Allegro Rustico                              | 1963        | fl., pi.                        |
| Chamber    | Quartet for Four Flutes                      | 1977        | 4fl., 3 afl.                    |
| Music      | Sounds of the Forest                         | 1978        | fl., pi.                        |
|            | Garden of Joy And Sorrow                     | 1980        | fl., hp, va (Speaker Ad Lib)    |
| Chamber    | Impromptu                                    | 1996        | fl. (fl/afl), vi., str.         |
| Orchestra  | Warum?                                       | 2014        | fl, (bfl), cl (bcl), str. orch. |
| Orchestral | Music for Flute, Strings and Percussion      | 1994        | fl., Str., Perc                 |
|            | ...The Deceitful Face of Hope and of Despair | 2005        | fl., large orch.                |

As illustrated in Table 4.1, *Sonatina* (1978), which is timbrally enriched by the use of flutter-tongued glissandos along with quarter-tones, is her only work for solo flute. Other earlier works such as *Sounds of the Forest* (1978) and *Allegro Rustico* (1963) are among her most frequently-performed works. *Allegro Rustico* is particularly notable as it won her first prize at the All-Union Competition for Young Composers, and was also performed as a compulsory piece at the All-Union Competition for Wind Players in 1963 (Kurtz, 2007, p. 61).

*Impromptu* (1996), a double concerto for flute, violin and string ensemble, is a tribute to Schubert, particularly to Schubert's *Impromptu*, op. 90, no. 4 for solo piano. It was composed at the request of Gidon Kremer and Irena Grafenauer, and premiered in the Kölner Philharmonie Concert Hall on January 16, 1997 (Kurtz, 2007, p. 235).

In *Music for Flute, Strings, and Percussion* (1994), Gubaidulina uses symbolism to depict the world of light and shadow by using quarter tone differences. The musicians are divided into two groups, with the instruments of one group tuned a quarter-tone higher than those of the other. The extraordinary tuning of the orchestra creates a dramatic and sometimes terrifying effect.

<sup>25</sup> The list of the works has been obtained by the web site of Sikorski Music Publishing Group, [http://www.sikorski.de/media/files/1/12/190/236/300/11991/gubaidulina\\_werkverzeichnis.pdf](http://www.sikorski.de/media/files/1/12/190/236/300/11991/gubaidulina_werkverzeichnis.pdf)

...*The Deceitful Face of Hope and of Despair* (2005) is a dark and challenging piece starting with three bass drums and increasing in intensity throughout a 26-minute single movement. There's a lot of tension and conflict in the music, with alternating dark and bright moods. In addition, the use of flutes of different sizes (fl, afl, bfl) give variety to the tone color. As Gubaidulina (2008) explained in the liner notes, it wasn't her intention "...to represent the emotional states mentioned in the title by musical means." Rather, she was interested in "musical and acoustic actualities." She explains that "...every interval creates a summation tone and a difference tone" in this work, and the 'difference tone' pulsations in the higher register are heard together with the natural intervals. According to Gubaidulina, switching from pulse-to-tone and vice versa symbolizes the concepts of hope and despair.

The title of her flute concerto is taken from a line from T.S. Eliot's poem *Ash Wednesday* which contains several references to flute as noted in the following:

...At the first turning of the third stair  
 Was a slotted window bellied like the fig's fruit  
 And beyond the hawthorn blossom and a pasture scene  
 The broadbacked figure drest in blue and green  
 Enchanted the maytime with an antique flute  
 Blown hair is sweet, brown hair over the mouth blown,  
 Lilac and brown hair;  
 Distraction, music of the flute, stops and steps of the mind  
 over the third stair,  
 Fading, fading; strength beyond hope and despair  
 Climbing the third stair.  
 Lord, I am not worthy  
 Lord, I am not worthy  
 but speak the word only

*Warum?* (2014) for flute (and bass flute), clarinet (and bass clarinet) and string orchestra was commissioned by the music festivals of Emilia Romagna, Ljubljana, Ravello and the Canary Islands, by Festival Pianistico di Brescia e Bergamo, Arena di Verona Foundation, Staatskapelle Dresden and the Amsterdam Sinfonietta, supported by The Eduard van Beinum Foundation ("Remarks on More Recent," 2016, p. 40). Gubaidulina stated that this work is based on the idea of the "origin of pain", using the disharmony of the minor second and the major second intervals to create this effect. She explained the work as follows:

The work is essentially a drama arising out of this incompatibility. These two ‘interval persons’ result from the sound of a vibrating unison. Both influence the entire sonic development of the work and both participate in the “convergence” of the sound masses in unison – this fundamental state of the material world which unites beginning and end within itself. The work is written in variation form. These are not variations on a theme, however, but on specific events: the formulation of a question or the drama of its return, or the overall change in the sonic situation out of which such questions arise. And finally, the development leads to a maximum tension of the sonic condition. This tension proves, in the end, to be the reverse side of the maximum stasis – the vibrating unison – with which the work began. (“Remarks on More Recent,” 2016, p. 40).

#### **4.1. Analysis of *Garden of Joy and Sorrow***

Garden of Joy and Sorrow (*Garten von Freuden und Traurigkeiten*) is a one-movement chamber work composed for flute, harp and viola in 1980. It was first performed in 1981 as a part of the concert series of New Works by Moscow Composers organized by Denisov.

The work is essentially influenced by two literary phenomena. The first one is Sayat Nova, written by Iv Oganov. This is a biography of the famous 18<sup>th</sup> Century Armenian troubadour, Sayat-Nova, known as the King of Songs. The latter is a poem by Francisco Tanzer (1921-2003), who is a dedicatee of this work. According to Gubaidulina, both of the literary works have important similarities in essence, in terms of “...their contemplativeness and refinement.” Supporting Gubaidulina’s commentary, Kholopova remarks that Tanzer’s poem and Oganov’s book do not contrast with one another:

The book of Oganov and the verses of Tanzer find an unexpected spiritual correspondence in the soul of Gubaidulina, together with a commonality of thought. The words of the composer testify to the musical construct of an “ecstatic blooming of a garden” which indulges in the reflection of all extremes of the world and its incessant life. (Neary, 1999, p. 44).

Gubaidulina states that the following lines of Oganov, in particular, embody the garden’s auditory perception for her.

...the revelation of the rose  
...the ordeal of a flower’s pain  
...the peal of the singing garden grew  
...the lotus was set aflame by music  
...the white garden began to ring again with diamond borders

Indeed, Gubaidulina expresses what garden means for her in a BBC documentary entitled *A Portrait of Sofia Gubaidulina* (1990). When talking about the challenges of her childhood, she states that they were a poor family and there was nothing to entertain a child. Buying toys or books were impossible. She states that everything was grey and she had a longing for nature. As a result, her imagination turned to the sky, and she would sit in their bare garden and look up at the sky. Later on, she started to live up there. She says that this was an attitude born of poverty, but it was also a source of such richness for her. “It’s very strange that something good can come out of poverty,” she says. “If poverty can be overcome, it is transformed into riches.” In some way, this work reflects her complex emotions with regard to that bare garden where she lived in her imaginary world as a child: sorrow on the ground and joy in the sky.

As mentioned earlier, the use of contrasting elements is an important feature in Gubaidulina’s music, and a large majority of her works is explicitly organized in terms of the concept of dichotomy, such as horizontal against vertical, chromaticism against diatonicism, dissonance against consonance, staccato against legato, and so on. Gubaidulina relates these contradictory expressions to earthly and spiritual concepts. As the title of the work ‘Joy and Sorrow’ also suggests, the trio has many associations with her aesthetic concept of using contrasting elements. For instance, Gubaidulina explained the timbral characteristics of this piece as the “...opposition of the bright, major coloration of the sphere of natural harmonics against the expression of the intervals of minor second and minor third” (Briscoe, 2004, p. 26; Hakobian, 1997, p. 287).

She also stated that she has portrayed “...Western consciousness against the vibrant colors of the East”. This concept, created with east-west contrast in mind, also affects the timbral features of the piece. Western avant-garde techniques such as the use of flutter-tongue on the flute, con sordino using paper between the strings of the harp etc. occur in all instruments. On the other hand, they sometimes evoke the sounds of their counterparts in East Asia: the flute sounds like a bamboo flute, the harp like a Japanese koto, the viola like an Asian string instrument. In order to illustrate the use of all kinds of contrasting elements in this work, Kholopova’s EPs are illustrated in Table 4.2 below.

**Table 4.2 : EP of *Garden of Joy and Sorrow*.**

|                                                       | <b>Consonant EP's</b>                                                                                                             | <b>Dissonant EP's</b>                                                                                                                                                                                                                                                                                               |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. Articulations and Means of Sound Production</b> | Legato (A Section)<br><br><br><br><br><br><br><br><br><br>Arco<br><br><br><br><br><br>Continuous dynamics (RN13)<br>Senza Sordino | Trills (A Section)<br>Tremolo (RN8)<br>Flageolet (RN23)<br>Flutter-tongue (RN23)<br>Harmonics (RN20)<br>Multiphonics on flute (RN33)<br>Timbral disturbance on harp by touching the strings with the tuning key (RN25)<br>Pizzicato (RN20)<br>Fluctuant dynamics (RN16)<br>Con. Sord. Di carta/ Con sord. (RN18-19) |
| <b>2.Melody</b>                                       | Conjunct motion<br>Narrow range (RN1)<br>12-tone equal temperament<br>Harmonic series (theme B)                                   | Disjunct motion<br>Wide range (flute cadenza)<br>Microtonality (RN41)                                                                                                                                                                                                                                               |
| <b>3.Rhythm</b>                                       | Monorhythm (RN39)<br>Regular meter in 3/4 (RN21)<br>Rhythmic regularity (RN16)<br>Regular tempo (RN26)                            | Polyrhythm/polytemporality<br>Rubato (RN21)<br>Rhythmic fluidity (RN17)<br>Allargando/Accelerando (RN26)                                                                                                                                                                                                            |
| <b>4.Texture</b>                                      | Continuous (RN29)<br>Solo layer (RN11)                                                                                            | Discontinuous (RN12)<br>Multiple layers/sound mass (RN12)                                                                                                                                                                                                                                                           |
| <b>5.Compositional Writing</b>                        | Precise                                                                                                                           | Flexible (RN24-25)                                                                                                                                                                                                                                                                                                  |

As for the use of symbolism, Kholopova explains that the garden mentioned in the title is an oriental term representing "...an Islamic paradise, in which the lotus flower blooms." It also refers to the "world" in a broad sense. There are also symbolic associations in the selection of instrumentation. According to Kholopova, antique instruments like the harp and the flute "...have become real personalities in oriental and occidental poetry, garnering in their own way a real and specific symbolism" (Neary, 1999, p. 130). For instance, in ancient civilizations, the flute was closely related to spiritualism and was usually played by the Gods, or it symbolized the voice of a God. The Ancient Egyptians believed that "...the voice of Isis, the mother of the Gods, could be heard in the long notes of the flute" (Concert Flute, n.d.). Likewise, the harp also has strong religious and mythological connotations, such as being the instrument of Orpheus and the spiritual connections with King David and the angels. There is also a passage containing religious symbolism where the flute and viola play ascending and descending lines synchronously. As Gubaidulina explains, the use of

glissando in reverse directions, and the use of natural harmonics versus chromaticism, symbolize the Cross. As mentioned in the previous chapter, Gubaidulina uses similar symbolic expressions in her earlier work *In Croce* (1979).

As for the overall structure, Gubaidulina explained that this piece has five waves: “The viola is at the center of the first wave, the flute of the second, the harp of the third; this segment lies at the golden mean. The fourth wave is a major flute cadenza of great expressivity, and the fifth returns to the beginning, to the viola” (Kurtz, 2007, p. 152). Although Gubaidulina explained that the work consists of five waves, this approach doesn’t seem to be related to the formal structure, but only with the selection of instruments. This is because the formal structure is divided into three sections as illustrated in Table 4.3: A, B with a flute cadenza and A’.

**Table 4.3 :** Formal Diagram of *Garden of Joy and Sorrow*.

|                         | Section A                          | Section B                                                                                                                      | Section A’                    |
|-------------------------|------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| <b>Rehearsal Number</b> | 0-8                                | 9-41                                                                                                                           | 42-47                         |
| <b>Texture</b>          | Monophony (RN8)<br>Homophony (RN1) | Call and response (RN9)<br>Multiple layers (RN12)<br>Homophony<br>Monophony: Flute cadenza<br>Heterophony<br>Sound mass (RN34) | Monophony<br>Homophony (RN42) |

#### 4.1.1. A Section

The timbral influence of Eastern mysticism is ambiguously perceivable at the beginning of the piece. The ‘tuning key slide’ technique on the harp is evocative of a Japanese koto and it creates a sound world beyond that of the ordinary plucked strings. The up and down dynamics and the melodic structure of the flute also contribute to this effect which remains outside the paradigm of traditional Western music.

In the A Section, there is a thematic hierarchy in terms of instrumental interrelations: the flute and viola establish the main counter-action, while the harp functions like an extension of the flute in more subordinate ways. There are three main themes in the A Section: Theme A, created by a slightly developing melodic line on the flute, expands on either side symmetrically from the A-centered pitch content. A chromatic

melody using the flute creates a mysterious atmosphere along with the glissandi of the harp produced using the tuning key. The flute presents the motivic material while gradually entering the PCs in the following order [9,10,8,5,0] and building motivic material based on ICs +1+4-4-1. Meanwhile, the harp creates a fluctuant droning layer using a long glissando between G# and Bb, the metaphor of crucifixion of a string is classified as theme C (Figure 4.1).

The figure displays a musical score with three systems. The first system features three staves: Flute (labeled 'Theme A Flauto'), Harp (labeled 'Theme C Arpa'), and Viola. The Flute staff contains a melodic line with a box highlighting a sequence of notes with interval markings '+1' and '-1', and a triplet of eighth notes. The Harp staff shows a continuous glissando marked 'p gliss. longitudinale \*'. The Viola staff is empty. The second system continues the Flute and Harp parts, with the Flute staff marked 'mf' and 'p' and the Harp staff marked 'p'. The third system shows a continuation of the Flute and Harp parts, with the Flute staff marked 'p' and the Harp staff marked 'p'. A box in the Flute staff of the third system highlights a sequence of notes with interval markings '-1-4+4+1'. The Flute staff also has a triplet of eighth notes and a single note marked '1'.

**Figure 4.1 :** Theme A on flute (theme of sorrow) and theme C on harp. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

It is also worth noting that the selection of the pitch material [9,10,8,5,0] creates a cross when written on the staff. While F and C form the upper and lower ends, the glissando between G# and Bb, supported by the theme of the flute, creates the right and left ends of the cross as it fluctuates (Figure 4.2).



**Figure 4.2 :** PCs [9,10,8,5,0], creating the Cross symbol on the staff.

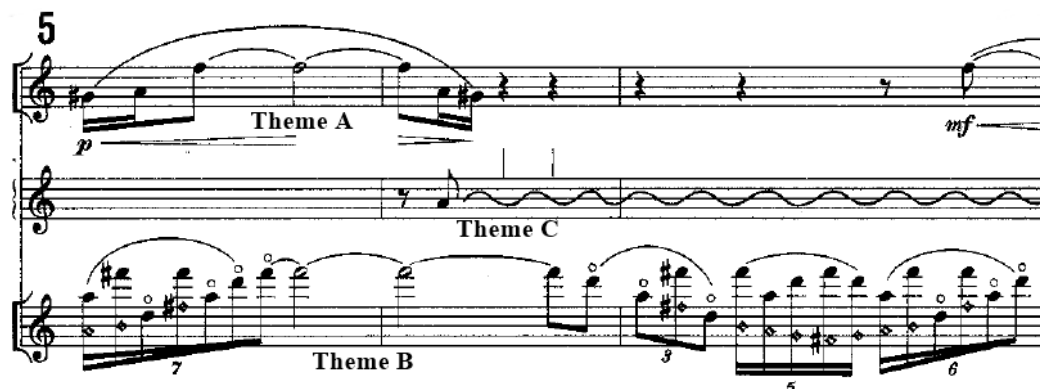
Emerging with extreme tranquility, the work passes through a thrilling ascension at RN3. The viola enters the third layer of sound with a contrasting character on F# [6]. That is where the theme B starts, consisting of a fluctuant D-harmonic series (Figure 4.3). The consonance of the harmonic series D,F#,A [2,6,9] is challenged by the presence of F $\flat$ [5] in the motivic material of the flute and harp.

**Figure 4.3 :** Theme B, fluctuant harmonics on viola (theme of joy). © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

As for the symbolism in thematic material, arpeggiated harmonics in the upper register of the viola represent joy. As Gubaidulina once stated, “...the joyous and airy world of harmonics is where the expressiveness can be found” (Neary, 1999, p. 130). On the other hand, the opening theme of the flute, consisting of m2 and m6

intervals, depicts sorrow (Lukomsky, 2002, p.186). A similar approach to the thematic material has also been used in her other works such as *Perception*, *Stimmen...Verstummen...* and *Be Joyful Sonata*.

The ongoing monophonic and homophonic texture until RN4 ends with the participation of all the instruments, each instrument playing its idiosyncratic theme. The simultaneous use of the contrasting thematic materials throughout RN5 and RN6 can be seen in Figure 4.4.



**Figure 4.4 :** Unity of theme A, B and C. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

The thick texture of three layers decreases gradually at RN7. The flute and harp retreat respectively, and the viola is left alone to play the passage that serves as a bridge to the B section. The abrupt change of viola from D-harmonic series to F# announces the coming of a new section.

#### 4.1.2. B Section

According to Neary (1999, p. 48), B section is in the concept of moment form, consisting of nine moments. The term moment form originates from *Kontakte* (1958-60) by Karlheinz Stockhausen. As Stockhausen explained in his *Texte zur Musik* (1963) "...a given moment is not merely regarded as the consequence of the previous one and the prelude to the coming one, but as something individual, independent and centered in itself, capable of existing on its own." According to him, a moment is "...any formal unit in a particular composition that is recognizable by a personal and unmistakable character" (Kramer, 1988, p. 201).

In the B section of *Garden of Joy and Sorrow*, it is hard to detect any kind of linearity between consecutive events. Nevertheless, some recurring thematic

connections are observed that uncover a type of continuity. For instance, RN17 is a variation of RN11, adapting the melodic line to the flute and being transposed to a P4 higher. The beginning of RN41 is also a variation of the same fragment. In addition, all of them are variations of the opening theme of the flute. As can be seen in Figure 4.5, they all begin with the same interval classes. Because of such coherences, it is more convenient to use the term episodic rather than moment form to avoid any contradiction in terms.

**Figure 4.5 :** Beginning of RN11, RN17 and RN41: Theme A'.

There are ten episodes in the B section as demonstrated in Table 4.4. These episodes sometimes appear clearly distinct from each other (Episodes 7-8), while they overlap and totally intertwine in some places (Episodes 8-9).

**Table 4.4 :** Formal structure of the B section.

| Episode | 1    | 2     | 3     | 4     | 5     | 6     | 7     | 8     | 9     | 10    |
|---------|------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| RN      | 9-10 | 11-12 | 13-15 | 16-19 | 20-22 | 23-25 | 26-28 | 29-33 | 34-37 | 38-41 |

**Episode 1:** At the beginning of the B section, at RN9, a completely new thematic idea is established. An imitational call and response pattern, which combines IC3 and IC4, suddenly breaks with the past motivic ideas. All three instruments dialogue intensely in triplets, quintuplets, sextuplets throughout RN9-10 (Figure 4.6).



**Figure 4.6 :** RN9, new thematic idea (theme D) of the B section. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

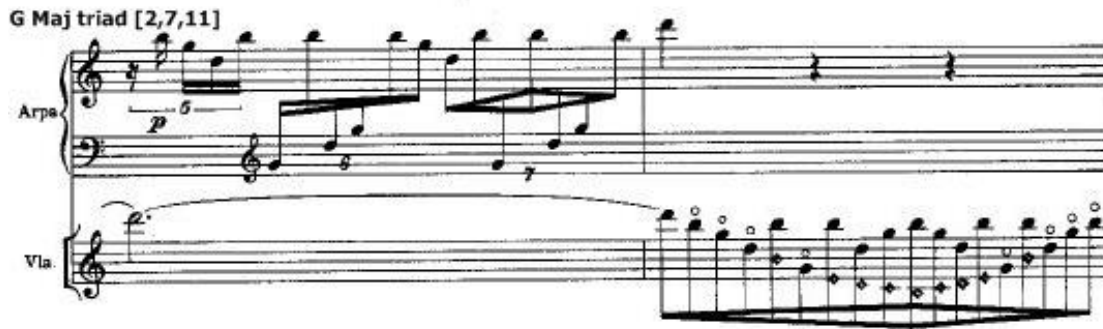
**Episode 2:** The motion of theme D prevails until RN11, in which a solo melodic line consisting of the same ICs of theme A (-1-4+4+1) is assigned to the viola. This expansive variation of Theme A recurs several times throughout the B section, thus entitled the Theme A'. At RN12, flute and viola play the same pitch material: the [0,5,8,9] idea of theme A which is distinguished on the flute part, this time transposed a M3 higher, creating a melodic line consisting of pitch classes [0,1,4,9]. The PC sets [0,5,8,9] and [0,1,4,9] used here are related by T9I; thus, sharing the same prime form (0347).

At RN12, the flute and viola combine IC1 and IC4 in a symmetrical way. Meanwhile, the harp contributes to this symmetry by playing glissando on whole tone series. All three instruments play in various rhythmic divisions in a gradually/chromatically ascending manner (E4 to D6), thus creating a discontinuous texture: rhythmic and textural dissonance. The same melodic material with small rhythmic variants played by the flute and viola, creates a heterophonic texture which dissolves towards RN13, and the two instruments converge at the C#-D tremolo at the end of this episode (Figure 4.7).

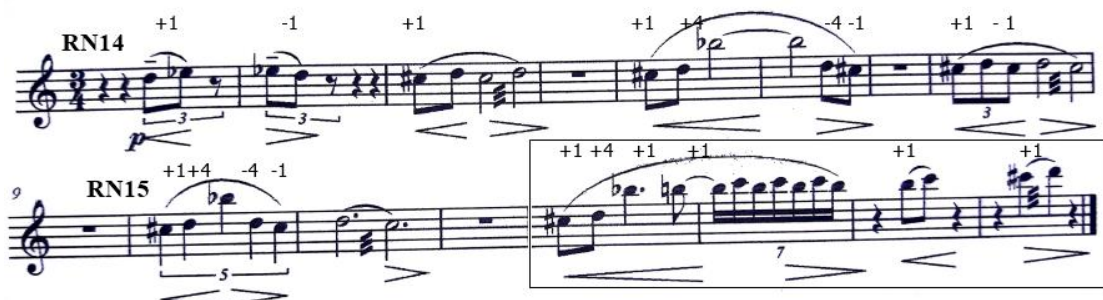
The musical score for Figure 4.7 consists of two systems. The first system, labeled '12', shows a symmetrical combination of interval classes [+4-4+1-1] in the upper voice. The piano accompaniment in the lower voices includes various musical notations such as notes, rests, and dynamic markings like 'p'. The second system, labeled '13', shows an ascending line in unison in the upper voice, with piano accompaniment. The score includes various musical notations such as notes, rests, and dynamic markings like 'p'.

**Figure 4.7 :** Symmetrical combination of [+4-4+1-1] interval classes. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

**Episode 3:** At the beginning of the new episode, at RN13, the sound mass leaves its place to a coherent harmonic glissando of viola and an arpeggiation of harp based on the G Major triad [7,11,2] as illustrated in Figure 4.8. The viola and harp keep playing this consonant motive throughout this episode. The flute enters at RN14, having the same interval classes as theme A [+1+4-1-4] (Figure 4.9). Its melodic structure differs slightly from theme A; unlike the consistent symmetrical structure, it ascends chromatically through D6. The piano (*p*) dynamic level, contrasting with the previous idea, in some way brings tranquility to this episode.



**Figure 4.8 :** Glissando harmonics of viola and arpeggiation of harp in G. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

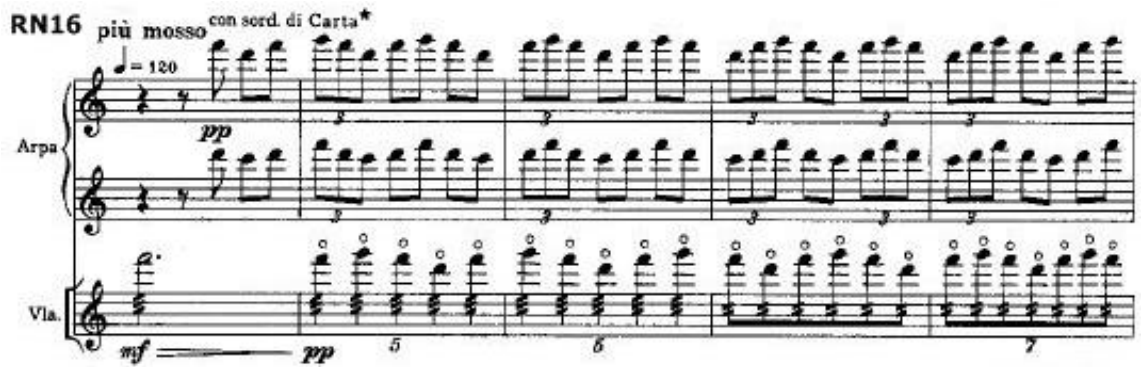


**Figure 4.9 :** Flute part at RN14-15, variation of theme A.

**Episode 4:** A new episode starts with the harp and viola playing an ostinato pattern at RN16. The use of *con sordina di carta*<sup>26</sup> on the harp, together with the viola's bowed tremolo on harmonics, creates an utterly different timbral universe. The harp plays a triplet followed by four eighth notes consisting of pitch classes [0,2,5,7] throughout RN16, while the viola plays a bowed tremolo on the same pitch classes (Figure 4.10).

The flute enters at RN17, recalling Theme A'. As mentioned earlier, RN17 starts as a transposition of the viola part at RN11 (see Figure 4.4). Unlike the viola part, the melodic line of the flute expands gradually in terms of interval classes; the typical use of m6 (IC4) gives way to ascending m7 (IC2) through the end of RN17. After this momentous solo, the flute fades out with an attack by harp and viola at RN18 which recalls the rhythmic and melodic ostinato pattern of RN16. The viola and harp use the same interval classes as in RN16, this time transposed a m2 higher on the harp [1,3,6,8] and a M2 higher [4,7,9] on viola.

<sup>26</sup> Mute with paper between the strings.



**Figure 4.10 :** Ostinato pattern at RN16. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

The sound mass created by the harp and viola ascends chromatically throughout RN19. They gradually increase the tension with up and down symmetrical motion along with the use of rhythmic dissonances. Starting with the third register (Eb3, Gb3), they reach and resolve to G5 and Gb5 at the end of this episode. The melodic reduction of RN19 is shown in Figure 4.11.



**Figure 4.11 :** Melodic reduction of RN 19.

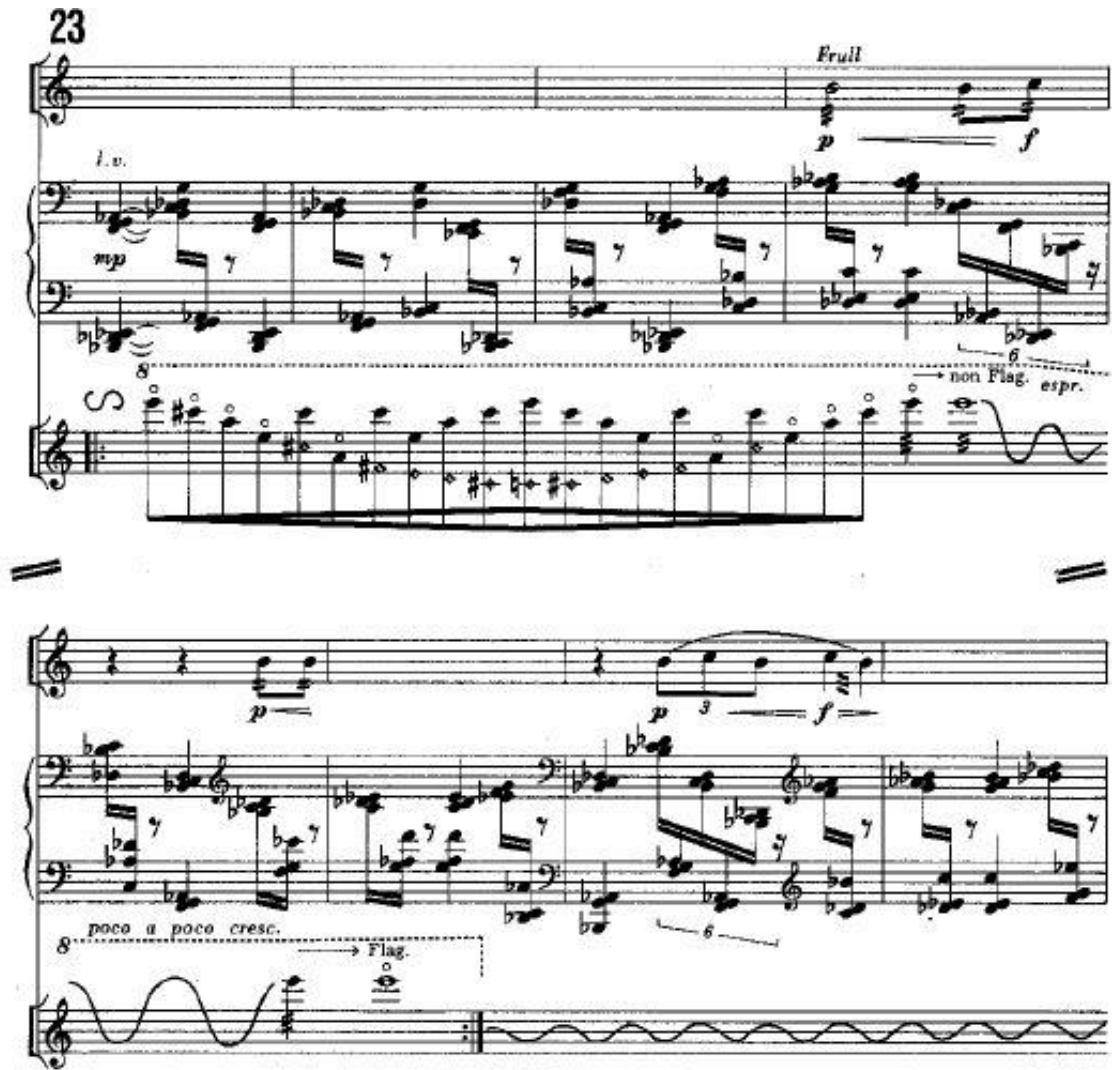
**Episode 5:** RN20 starts with the flute playing a C-based arpeggiated melodic line. The texture thickens, measure by measure, with the participation of harp and viola respectively. Using the same pitch classes [0,4,7], both harp and viola start in piano (*p*) dynamic level as an accompaniment to the flute line, and they gradually increase the tension with scaling up the dynamic level to fortissimo (*ff*). The crescendo starts with the appearance of the next pitch class [10] on the flute, igniting an ascending motion towards A6 [9]. Starting with C-based pizzicato harmonics and arpeggiation within the range of C4-G5, all three instruments extend their use of range through to the climax at RN22. The arpeggio, which is relatively calmer, gives way to glissando clusters on the harp, and triple stop glissandos on the viola to create a more strained musical expression. At RN22, the climax dissolves to a flute solo which descends chromatically to Eb4. Here, the ascending tremolo glissando of the viola, and the

descending flutter-tongued flute line, die out from fortissimo to piano, creating a transition to a new episode. As mentioned in the previous chapter, the use of glissando in reverse directions usually symbolizes the Cross in Gubaidulina's music (Figure 4.12). She uses registral criss-crossings to embody this symbol aurally, that is the flute takes the line downward, the viola upward (Kurtz, 2007, p. 140).



**Figure 4.12 :** Glissando in opposite directions: symbolization of the Cross. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

**Episode 6:** At RN23, the clashing sounds of harp and viola create a cataclysmic atmosphere and change the mood. While ascending cluster chords on the harp increase the tension, the viola returns to the joyous harmonics material of Theme B. The use of adjacent pitch classes of the Ab Major scale [8,10,0,1,3,6,7] on the harp, the A Major triad on the viola [9,1,4] along with the flutter-tongue/tremolo [11,0] on the flute reveals a vertical dissonance (Figure 4.13).



**Figure 4.13** : RN23, clash of Ab Major on the harp and A Major triad on the viola.  
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 Hamburg.

A fragment of theme A played on the flute signals an abrupt transition to RN24, with an ascending M6 motion. At RN24, similar figurations (as in theme A) are played by harp with an emphasis on the descending line of PC [5,8,9,10,11]. Arriving on the cluster chord [11,0,1] at RN25, this episode ends with a special timbral effect obtained through the employment of the tuning key touching the vibrating strings gently. It might be significant to note that the three-note cluster employed in this transition is previous material from RN23.

**Episode 7:** This episode consists of a flute cadenza inspired by the motivic content of theme A which recurs constantly throughout the piece. In accordance with the purpose of its historical past, the cadenza section brings the soloist to the forefront. It gives the flutist an opportunity to show her technical mastery by using almost the entire range of the instrument, with challenging legato playing of large intervals in the third register and a flexible rhythmic motion as if to suggest a brilliant improvisation.

Five primary motivic cells and three levels of ascending melodic lines constitute the flute cadenza. The three melodic lines which are illustrated in Figure 4.14, intertwine in a fluctuating chromatic manner throughout this episode.



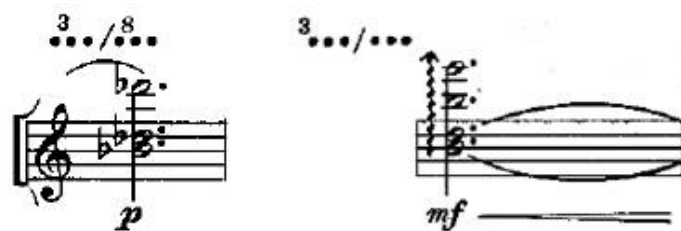
**Figure 4.14 :** The three melodic layers of the flute cadenza in melodic reduction.

The cadenza starts with motivic cell 1 which is a m6 lower [-4] transposition of the primary motive of theme A. Contrary to theme A which usually proceeds in a stepwise motion and consists of only ICs 4 and 1, the intervals used in the flute cadenza appear to be gradually expanding. Leaps of larger intervals such as 7<sup>th</sup>, 9<sup>th</sup> and 10<sup>th</sup> in the flute part are solely used in this episode. Revealing the general characteristic of the flute cadenza, the leaps are created either by a direct skipping motion as in motivic cell 2, or by adding a step-note in between, as in motivic cell 3 (Figure 4.15).



**Figure 4.15 :** Motivic cells of the flute cadenza.

**Episode 8:** The new episode starts at RN29 with a long passage containing a prolongation of C on all instruments, initiating a long process until RN37, in which all materials gradually build up. The viola plays theme C, this time a semitone glissando on C, oscillating between Db and B. The harp consolidates the C prolongation by playing the harmonics in a rhythmic ostinato motion, and emphasizing Bb and Db. Starting from RN31, the flute contributes to this motion by playing tremolos in *pp* dynamic level, and increases the timbral intensity by adding multiphonics consisting of Bb-Db and B-D-G until RN34 (Figure 4.16). Here, a quasi-heterophonic relationship is observed between harp and viola (Figure 4.17), which dissolves towards the end of this episode, a sort of call and response. At the same time, a quasi-tonal atmosphere is established through the employment of C, Db, E, G, Ab and B, which is colored by the use of D#. As the passage progresses, the texture and surface activity gradually thicken, and the tone center, C, heads towards a sound mass.



**Figure 4.16 :** Multiphonics on flute.



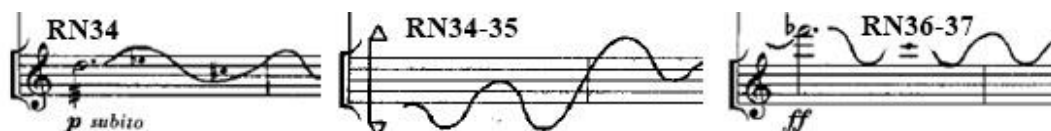
**Figure 4.17 :** Quasi heterophony between harp and viola accompanied by multiphonics and tremolos on flute at RN32. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

**Episode 9:** At the beginning of this episode, the pitch center of the viola's semitone glissando (theme C) shifts to D, while the flute continues to play the symmetrical motive of theme A consisting of the same pitch classes of the previous episode. Instead of the typical use of [+1+4-4-1] interval classes, this time, the motivic material of the flute consists of interval classes [+1+5-5-1] (Figure 4.18). The ascending chromatic line of the flute starting from RN34 takes it from Bb4 to Fb5. The persistent use of the flutter-tongue technique on the *ff* and *sf* dynamic levels brings the timbral intensity to its peak towards RN38.



**Figure 4.18 :** Theme A on flute part, theme C on viola, cluster chords on harp. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

The glissando motion of the viola progresses with continuous transformation throughout this episode; the semitone glissando on D at the beginning continues throughout the whole register of the instrument until RN35, and then transforms into Fb-C glissando at RN36-37 which continues until the next episode. The variations of theme C in the viola part are illustrated in Figure 4.19.

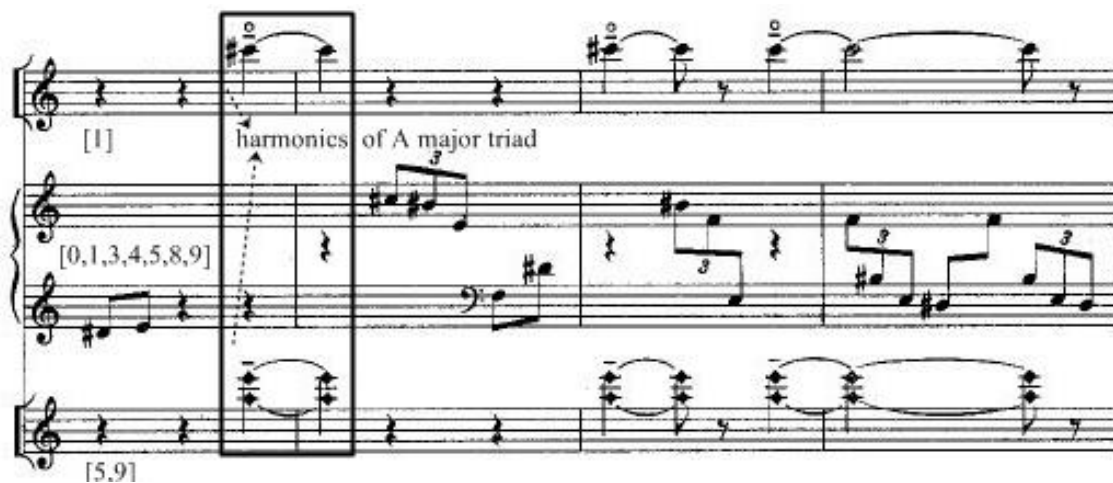


**Figure 4.19 :** Variations of theme C in the viola part.

Starting with the arpeggiation of pitch classes [0,1,2], the harp creates a sound mass by playing chord clusters with the use of pitch classes [0,1,2,3,4,8] throughout RN34-35, and returns to arpeggiation at RN36, this time using pitch classes [4,3,2,1,0]. Although not using the total compass of the instrument such as in the

case of the viola, the harp descends to its lowest notes (D1, Eb1, Fb1) for the first time in this episode.

**Episode 10:** This episode starts with an abrupt change in mood, from a climactic tension to a total calmness (a thick *sf* texture to subito *p*). A monophonic line of flute and viola plays the harmonics of the A major triad which is another variation of theme B (Figure 4.20). The harp contrasts this duo with an eight-level descending line of arpeggios, emphasizing A5, C#5, B#4, F4, B#3, F3, E3, D#3 respectively.



**Figure 4.20 :** RN38 harmonics on flute and viola, descending line of harp. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

RN39 starts with two contrasting layers: the flute and viola play a complementary descending line in their highest register, while the harp plays its lowest register in an ascending motion, using the PC set of the Dorian scale [0,1,3,5,6,8,10] on D# (Figure 4.20). The melodic line of the flute is a variation of theme A, and consists of the same interval classes [-1-4+4+1]. The flute and the viola constitute triads in parallel motion, starting with a minor triad which appears as the primary and sole material of the harp. The first chord, D#m-Dm, refers to a fundamental use of harmonic dissonance throughout the piece, such as the use of the chromatically-adjacent pitch class material of the Ab Major scale and the A major triad in RN23.

Towards the end of RN39, the P5 and P4 intervals reduce step-by-step and converge in unison at the pitch center A3 at RN40 (Figure 4.21). The viola stops after reaching A3, while the harp and flute keep playing in an insistent way. The harmonics on the harp and the flutter-tongue on the flute in the piano (*p*) dynamic level creates timbral tranquility, and prepares for the coming Theme A' of the viola at RN41. The melodic

line of the viola differs from its previous iterations by including the quarter-tones on D and E which enrich the chromaticism.

Figure 4.21 shows a musical score for RN39, a variation of theme A. The score is written for three staves: Flute (top), Harp (middle), and Viola (bottom). The time signature is 2/4. The key signature changes from D minor to D# minor. The Flute staff has interval markings above it: -1, -4, +4, -4, -1, -1, -4, +4, -1, (+5), (-5). The Harp staff has a box labeled 'pitch class of the dorian scale [0,1,3,5,6,8,10] on D#'. The Viola staff has interval markings below it: (Reducing intervals) P4, M3, m3, M2, (Reducing intervals) P5, dim5, P4, M3, m3, M2, m2. The score includes dynamic markings like *mf* and *sf*, and a key signature change from D minor to D# minor.

**Figure 4.21 :** RN39, variation of theme A on flute, ascending motion on harp and descending motion on viola. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

#### 4.1.3. A' Section

The viola initiates the A' Section by passing to theme B, and is then joined by theme A of the flute, and theme C of the harp<sup>27</sup>. As all the instruments return to their main themes in a concise manner, A' Section is revealed as a summary of the A Section. There are only minor differences between the A Section and the A' Sections. For instance, in the melodic line of the flute, the ICs +1+4-4-1 pattern remains the same, excluding the -4 motion to C4 which decreases the PC set as [8,5,9,10]. The melodic line of the flute is supported by the tuning key glissando of the harp in exactly the

<sup>27</sup> Theme A, B and C are illustrated in Figures 4.1 and 4.3.

same manner as A Section, a wide glissando between G# and Bb. The viola continues to play the harmonic series of D,F#,A [2,6,9] throughout this section, which creates a contrast to the sustained F $\sharp$ [5] of the flute. The flute and harp retreat respectively through the end of RN45, and the viola is left alone in the last phrase, just before the spoken recitative consisting of German verses from Tanzer's *Tagebuch* as shown below. This part (RN47) is cited as *ad-libitum*<sup>28</sup>, and can be recited by one or all three performers.

|                                       |                                   |
|---------------------------------------|-----------------------------------|
| Wann ist es wirklich aus?             | When is it really over?           |
| Was ist das wahre Ende?               | What is the true ending?          |
| Alle Grenzen sind                     | All borders are                   |
| wie mit einem Stück Holz              | like a line drawn                 |
| oder einem Schuhabsatz                | with a stick of wood              |
| in die Erde gezogen.                  | or with the heel of a shoe.       |
| Bis dahin...,                         | Up to here...,                    |
| hier ist die Grenze.                  | there is the borderline.          |
| Alles das ist künstlich               | All this is artificial            |
| Morgen spielen wir ein anderes Spiel. | Tomorrow we'll play another game. |

#### 4.2. Analysis of *Quartet for Four Flutes*

*Quartet for Four Flutes* (1977) was commissioned by Pierre-Yves Artaud, flute professor at the Paris Conservatory and founder of the *Quatuor de flûtes Arcadie* (1965). Artaud petitioned the Union of Soviet Composers (USC), requesting that Gubaidulina be asked to compose a piece for his flute quartet. His petition remained unanswered for a long time. Although he received a delayed telegram stating that the application was incomplete, he didn't respond. Instead, he hid Gubaidulina's identity in order to protect her from the sanctions of the USC and didn't include her name on the concert program (Kurtz, 2007, p. 129). The Moscow premiere of *Quartet for Four Flutes* took place in 1978, played by flutists Irina Loben, Alexander Korneyev, Alexander Munshin and Oleg Chernyavsky.

The *Quartet for Four Flutes* is a five-movement cyclic composition, characterized by the repetition of episodes. The formal structure is rather freer than its general usage

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<sup>28</sup> *Ad libitum* means at one's pleasure, or as you desire in Latin.

in common practice, intensified by the frequent employment of improvisatory phrasings. Through specific idioms such as silence between episodes, and various tremolo techniques, a verbal quality<sup>29</sup> is established in various episodes. The formal structure, where similar episodes are shown in the same color, is illustrated in Table 4.5.

**Table 4.5 :** Formal analysis of *Quartet for Four Flutes*.

|                            | <b>Episode 1</b> | <b>Episode 2</b>     | <b>Episode 3</b>     |
|----------------------------|------------------|----------------------|----------------------|
| <b>1<sup>st</sup> mvt.</b> | RN1-5            | RN5-10               | RN10-End of the mvt. |
| <b>2<sup>nd</sup> mvt.</b> | Beginning -RN15  | RN15-18              | RN18-20              |
| <b>3<sup>rd</sup> mvt.</b> | RN21-26          | RN26-End of the mvt. |                      |
| <b>4<sup>th</sup> mvt.</b> | RN30-31          | RN32-End of the mvt. |                      |
| <b>5<sup>th</sup> mvt.</b> | Beginning-RN35   | RN36-End             |                      |

Throughout the work, musical materials such as chromatic, diatonic and quarter-tones create textures in which different layers are superimposed, and alternately get the upper hand on each other (“Berlin: World Premiere”, 2012). In this manner, the phrasings of the separate parts function like echoes of each other. For a prevalent textural dissonance effect, pitch class sets with m2 intervallic spacing recur several times.

Kholopova’s EP has been used to reveal the opposing musical elements in *Quartet for Four Flutes* as illustrated in Table 4.6.

<sup>29</sup> Verbal quality: Any language-like feature that may refer to freer/improvisatory phrasing (Kobaner, 2016, p. 25).

**Table 4.6 : EP of Quartet for Four Flutes.**

|                                                       | <b>Consonant EP's</b>                                  | <b>Dissonant EP's</b>                                                                               |
|-------------------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <b>1. Articulations and Means of Sound Production</b> | Legato (RN26)                                          | Staccato (RN7)<br><i>sf</i><br>Tremolo<br>Flutter-tongue<br>Multiphonics                            |
|                                                       | Continuous dynamics (RN26)                             | Fluctuant dynamics (RN22)                                                                           |
| <b>2.Melody</b>                                       | Conjunct motion<br>Narrow range<br>Diatonic scales     | Disjunct motion<br>Wide range<br>Chromaticism and microtonality                                     |
| <b>3.Rhythm</b>                                       | Precise rhythm (RN1)                                   | Rhythmic freedom (RN10)<br>Rhythmic irregularity (RN7)<br>Improvisational quality(RN10)             |
|                                                       | Monorhythm (RN24)<br>Regular tempo (RN7)               | Polyrhythm/polytemporality<br>Ritardando (RN31)<br>Poco piu mosso (RN29)                            |
| <b>4.Texture</b>                                      | Solid (RN26)<br>Continuous (RN26)<br>Solo layer (RN24) | Perforated (RN 30)<br>Discontinuous (RN11)<br>Multiple layers/<br>micropolyphony/sound cloud (RN21) |
| <b>5.Compositional Writing</b>                        | Precise (RN1)                                          | Flexible (RN10)                                                                                     |

#### 4.2.1. Movement I

The first movement consists of three episodes. Even though the first episode (RN1-5) sounds like a solo flute line at the first hearing, the texture is distributed among the four instruments until the middle of RN4. This may be done to emphasize the individual differences in tone color between flutists which becomes more explicit with the employment of the alto flute in later episodes. Silence is used as a temporal organizational component and a phrasing element. This fragmented melodic flow is comprised of interval classes which are introduced sparingly as follows: IC3, IC1, IC5, IC4, IC2. Through the mapping of these interval classes with distinct gestures, a thematic continuity is evoked. For instance, there are flutter-tongued tremolos between m2 and m3 intervals, and staccato gestures between large leaps. The motivic cells used throughout the piece are illustrated in Figure 4.22.



**Figure 4.22 :** Motivic cells of the first episode (RN1-5) in melodic reduction.

As can be seen in Figure 4.22, the motivic cells gradually expand after RN3. There is also textural condensation towards RN5, and the melodic line focuses around the pitch-center A4, dissolving to Bb4. The texture evolves from monophonic to heterophonic/polyphonic through RN5.

At the beginning of the next episode (RN5-10), expansions and variations of motivic cells 2, 2a and 2b create short sound clouds that fade towards a single line. At RN6, another variation of the first episode emerges with the presentation of the remaining interval class, IC6. From RN7 onwards, the four instruments create a dense texture by using triple, quadruple, quintuple, sextuple and septuple rhythmic divisions, thus creating a verbal quality of phrasing through rhythmic dissonance. This type of texture can be described as micropolyphony<sup>30</sup>.

<sup>30</sup> Micropolyphony refers to maximum polyphonic surface activity in a minimum musical field. Individual melodic lines interlace so closely that they form a sound mass/sound cloud. This kind of texture is pioneered by the 20<sup>th</sup> Century composer Györgi Ligeti and further employed by many composers.

From RN8 to RN9, all instruments play around the same pitch classes, creating a descending sound cloud (echoes of each other) with a symmetrical chromatic motion. RN9 is comprised of calls and responses between the solo flute and the flute quartet. There is no strict separation between the calls of the solo line and the responses of the quartet, sometimes only three instruments respond and the solo line is distributed among different parts. Dynamics and the registral relationships progress directly proportional until the end of this episode.

The new episode starts at RN10 which is freer than the other sections rhythmically. This rhythmic freedom consists of small gestures in which the pitch content is clearly notated, but the surface rhythm is decided by the performer leading to improvisational quality. The 1<sup>st</sup> flute's melodic line consisting of a PC set [3,6,8] is accompanied by the other flutes' chromatic complements. The motivic cell 2a is manifest in several forms as a primary contrasting material. The normal form of motive 2b [8,t,1] and the [3,6,8] PC set used here are related by T<sub>4</sub>I, thus sharing the same prime form (025). They all start with their own irregular ostinato pattern which are melodically interrelated and repeated throughout this episode.

#### **4.2.2 Movement II**

The second movement consists of three episodes. The first episode starts from the beginning of the second movement and lasts until RN15. The beginning is an exact repetition of the opening theme until RN11. Then, slight variations occur with different pitch content (transpositions). At RN13, the melodic flow goes to a completely different point: resembling RN5, melodic lines echo each other while descending chromatically. The 2<sup>nd</sup>, 3<sup>rd</sup> and the 4<sup>th</sup> flutes accompany the 1<sup>st</sup> flute with an intermittent, on and off melodic line, which is a variation of motivic cell 2. Up to RN14, all four instruments create a three-level descending chromatic line. This transition sounds like a single melodic line in which the 1<sup>st</sup> and the 3<sup>rd</sup> flute bond with each other at specific pitch points.

The next episode starts with a sudden deceleration at RN15 instigated by the change in metric divisions and exquisitely legato playing. The temporal modulation is created by the equalization of one quarter note to three eighth notes.

Up to RN17, the 2<sup>nd</sup> and 4<sup>th</sup> flutes create a simple canonic texture with the motivic material G4-G#4-A4, while the 1<sup>st</sup> and the 3<sup>rd</sup> flutes play a mutually complementary

melodic line consisting of the same interval, m2. A quasi-pitch centricity emanates from the P5 relationship between the two flute layers of the 1<sup>st</sup>-3<sup>rd</sup> and 2<sup>nd</sup>-4<sup>th</sup> flutes. As the intervallic relations become narrower, the melodic lines get closer to each other, finally converging at B4. Starting with the fortissimo (*ff*) emphasis on B4, RN17 consists of heterophonic calls and responses between the 1<sup>st</sup> and 3<sup>rd</sup> flutes, heading for a new episode with a chromatic descent towards RN18.

The next episode (RN18-20) starts with a multiphonic sustaining pad hold by 1<sup>st</sup>, 2<sup>nd</sup> and 4<sup>th</sup> flutes, while the 3<sup>rd</sup> flute contributes with an intermittent melodic line: melody and accompaniment. Motive 2b recurs with another variation on the 3<sup>rd</sup> flute line, consisting of intervals m2 and m6 (IC1, IC4).

In this episode, the timbral character of the multiphonics creates a contrasting sound world, reinforced by the employment of alto flutes.<sup>31</sup> To create multiple sonorities, Gubaidulina uses special fingerings. Even though the multiphonic fingerings naturally sound microtonal, it can be controlled to some extent. According to her footnotes about the multiphonics, Gubaidulina demands that they be produced as consonantly as possible. At RN18, the multiphonics played by the 2<sup>nd</sup> and the 4<sup>th</sup> flutes create a Em triad [4,7,e], and the 1<sup>st</sup> flute reveals a vertical dissonance by sustaining an adjacent pitch class, D# (Figure 4.23).

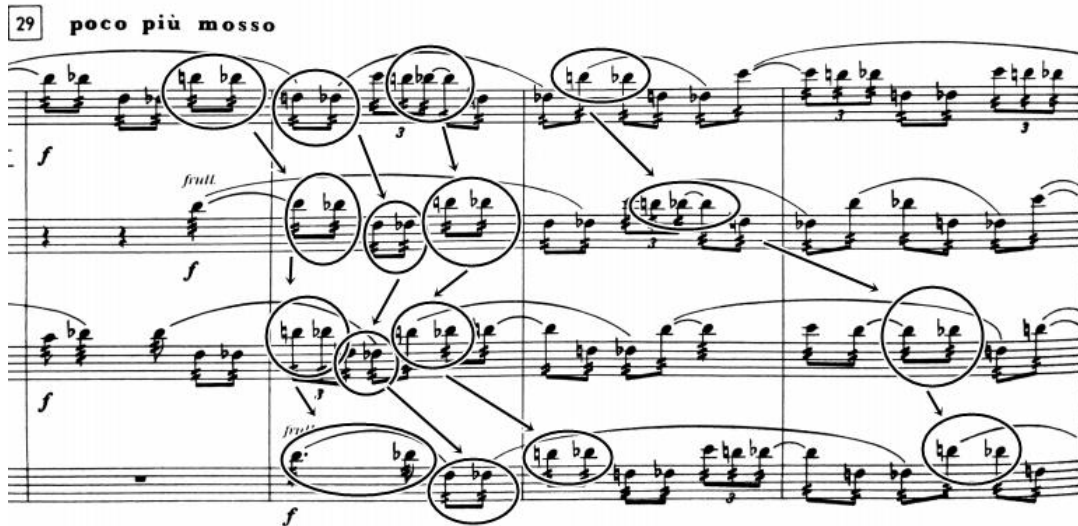
**Figure 4.23 :** The use of multiphonics on flute. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

<sup>31</sup> The alto flute is a transposing instrument in G, and therefore the pitch in the notation sounds a P4 lower (or P5 higher) than written.

### 4.2.3. Movement III

By switching from alto to soprano flute in 2<sup>nd</sup> and 4<sup>th</sup> flute parts, this episode starts with four soprano flutes successively. This episode (RN21-26) begins as an exact repetition of RN10, differing only in its last measure towards RN23: all the lines gradually narrow down to unison G5, just like the convergence at B4 in the end of RN17. Starting with G at RN24, the 1<sup>st</sup> flute plays a chromatically descending solo line consisting of motivic cell 2a which ends in F4, the first pitch of the next episode (RN26-end of the mvt).

RN26 starts with a two-part simple polyphony with chromatic cells around the same pitch level, F4. Both of the parts play legato phrases with pianissimo dynamics. The relationship between them is imitative, in which they play slight variations of each other, creating a quasi-canon section (Figure 4.24). The way they randomly overlap and with different rhythmic divisions, also forms a sound cloud quality. The 1<sup>st</sup> flute line ascends chromatically from F4, reaching Eb5 at RN30. From RN27 on, the dynamic level also gradually ascends until RN30. Here, especially starting with RN29, the texture expands rapidly towards four parts as the pace increases. The canon-like imitations appear more explicitly like extensions of each other's lines. Towards RN30, the dynamics reach their climax, while surface activity gets more and more unstable, with striking timbral modulations until the end of this episode. The 2<sup>nd</sup> and 4<sup>th</sup> flutes employ the transposed versions of the PC sets from the previous episode, whereas the 1<sup>st</sup> and the 3<sup>rd</sup> flutes insist on D5-Eb5, a more salient version of motivic cell 2a. For an organic climactic ending, the 1<sup>st</sup> and 3<sup>rd</sup> flutes make a non-synchronized *sf* punctuation, while the 2<sup>nd</sup> and 4<sup>th</sup> flutes fade away until the end of the measure.



**Figure 4.24 :** Quasi-canonic section at RN29. © With kind permission MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

#### 4.2.4 Movement IV

The beginning of the 4<sup>th</sup> movement is the exact repetition of the last part of the 2<sup>nd</sup> movement (RN18-20), differing in its last measure towards RN31. The 2<sup>nd</sup> and 4<sup>th</sup> flutes switch to alto flute, and the 1<sup>st</sup> flute joins them in its solo at RN31. In contrast with the previous episode, it starts with *pp* dynamic level. Free in terms of surface rhythm, the player is expected to comply with the metric and dynamic instructions of the given pitches. The employment of the microtones indicates a further intention of chromatic color. The pitch content of this episode and RN18-20 is illustrated in Figure 4.25.



**Figure 4.25 :** Vertical organization of RN30 and RN18-20.

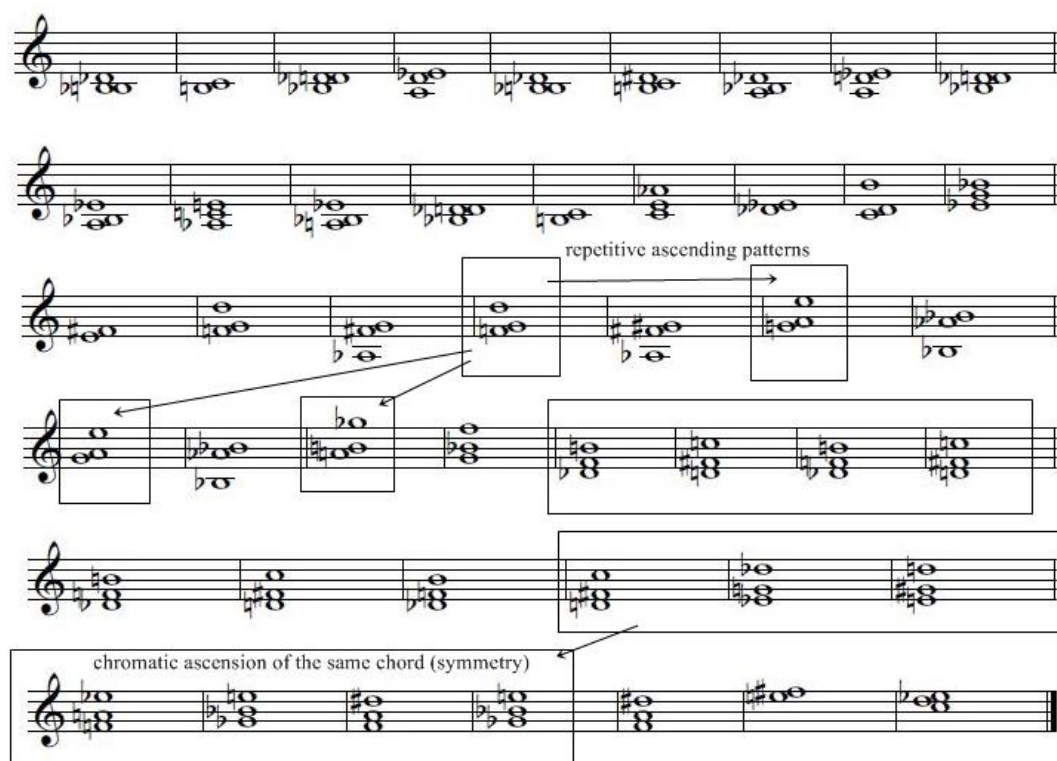
The chromatically descending line of the 1<sup>st</sup> flute connects it to RN32, a three-part texture subsequently complemented with the 4<sup>th</sup> flute part. At RN32, an intermittent melodic line of the 1<sup>st</sup> flute is accompanied by the call and responses of the other parts, including the transpositions and inversions of the motivic cell 2b. The melodic line of the 1<sup>st</sup> flute consists of a legato motion between A# and A quarter-sharp which occurs relatively free in rhythm with a slightly verbal quality. The shape of

RN32 resembles RN15-16 though its texture is interwoven with relatively complicated heterophonic lines. The PC sets [1,3,t], [0,2,9] and [3,6,8] used here are transpositions of each other, thus sharing the same prime form (025).

#### 4.2.5 Movement V

The new episode starts from the beginning of the 5<sup>th</sup> movement. A repetition of RN30 lasts for nine measures extending until RN35 in which the 2<sup>nd</sup> and 4<sup>th</sup> flutes gradually ascend towards D5. At RN35, mainly descending chromatic lines intertwine, whereas they overlap each other at their starting points: cross symbolism. A descension in dynamic level (from *fff* to *p*) also contributes to this short transition to RN36 which is characterized with *piano* dynamics.

The 2<sup>nd</sup> and the 3<sup>rd</sup> flutes switch to alto flute at RN36. The 1<sup>st</sup> flute plays intermittent multiphonics, while the 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> flutes accompany in homophonic texture by playing sustained chords (Figure 4.26). The sustaining pad of those three flutes enriches the timbral quality of this section, especially with techniques such as voice-crossing.



**Figure 4.26 :** Sustained chords by the 2<sup>nd</sup>, 3<sup>rd</sup> and the 4<sup>th</sup> flutes.

Starting from RN39, the 8-level ascending line of the 1<sup>st</sup> flute plays motivic cell 2b consisting of the PC sets [8,11,1] [10,0,3] [4,7,9] [8,11,1] [10,0,3] [2,4,7] [4,7,9] [5,8,10] successively. All PC sets used here are transpositions of each other, thus sharing the same prime form (025). The tension gradually rises towards RN40 to RN43, with a distinct timbral modulation at RN41, similar to those in RN30 (Figure 4.26). Starting with the drone tone of multiphonics at RN41, the accompanying flutes gradually start playing the motivic material of the 1<sup>st</sup> flute.



**Figure 4.27 :** Timbral modulation at RN41. © With kind permission  
MUSIKVERLAG HANS SIKORSKI GMBH & CO. KG, Hamburg.

From RN42 to RN44, the texture thickens from two to four-parts with rhythmic stratification: various metric divisions. Starting from G#4, this melodic line reaches its climax, A6 at RN44. A chromatically-descending line in three parts follows this peak, while the 1<sup>st</sup> flute prepares for the final alto flute solo at RN46. From this moment on, the piece continues to descend until it reaches a *ppp* dynamic level at the end. The solo part of the 1<sup>st</sup> flute is reminiscent of RN24, but a more serene variation, restrained in terms of range and register.

## 5. CONCLUSION

This study aims at ensuring the correct perception and interpretation of the aesthetic and technical ideas behind Sofia Gubaidulina's flute works, as this is of great importance to performers. Since Gubaidulina spent most of her professional career in the Soviet Union, it is thought that an understanding of Soviet music policies would help better understand her music. For this reason, the study begins with the provision of a general overview of the music policies in the Soviet Union.

Starting with the 1917 Revolution, the Soviet Union went through many turbulent periods. Compared to the Lenin/Lunacharsky Period of 1922-1924, the Stalin/Zhdanov Period of 1924-1953 had much stricter policies and introduced severe sanctions in the field of music, particularly, after World War II. When Stalin's cultural and ideological commissar Andrei Zhdanov was appointed to engineer a return to socialist realist policies in 1946, Gubaidulina was a fifteen year old student at a music gymnasium in Kazan. When repression came to an end with Stalin's death, Gubaidulina was twenty two, and had been affected by the cruelty and repressive mindset of Zhdanovshchina, as was every other citizen.

When Gubaidulina began studying composition at the Moscow Conservatory in 1954, she was aware that her generation was relatively fortunate due to the ongoing liberalization in Soviet musical life. Composers of her generation such as Andrei Volkonsky, Edison Denisov and Alfred Schnittke were able to access the previously censored music of their European counterparts, and were allowed to follow the musical innovations of the West, thus finding better opportunities and more freedom. These younger generation composers created music involving unconventional techniques, and pioneered a Soviet avant-garde music scene. Nowadays, together with Alfred Schnittke and Edison Denisov, Gubaidulina is known as one of the Big Troika of Moscow nonconforming composers, and is regarded as a major figure in the world of contemporary music.

Gubaidulina's integrity in terms of her spirituality and composition style, along with her use of timbral experiments, religious symbolism, and dichotomy, form the basis of her aesthetics. She uses a variety of compositional techniques to symbolize spiritual images.

In this study, *Quartet for Four Flutes* (1977) and *Garden of Joy and Sorrow* (1980) are analyzed by focusing on the use of symbolism, dichotomy, the literal meanings of the titles, along with pitch-class set analysis and Kholopova's EPs. As both of the flute works are among the early works of Gubaidulina, it should also be noted that she was mostly interested in sound and timbre in that period. Therefore, the analysis section also focuses on timbral features along with the aforementioned characteristics.

In the analysis, it has been revealed that in *Garden of Joy and Sorrow* (1980), Gubaidulina explores new timbral qualities by making use of advanced techniques such as microtones, flutter-tongue, and multiphonics on the flute; glissando and timbral disturbances by touching the strings on the harp; and harmonics on the viola. The year in which she composed this piece coincides with the period when she made experimental improvisations with her group, Astraea. Therefore, it can be concluded that the timbral wealth found in this work stems from the experiences gained in working as part of Astraea.

In the light of the findings obtained in the analysis section, it is observed that Gubaidulina uses religious symbolism in *Garden of Joy and Sorrow* (1980) in every possible way. As mentioned earlier, Gubaidulina's spiritualism - which is thought to have arisen from the negative impact of Zhdanovshchina - turned into an instinct that was powerful enough to guide all her personal and artistic life. In a documentary (BBC, 1990), Gubaidulina states that the religious experience has always lived within her and "music merged naturally with religion."

In the analysis of *Garden of Joy and Sorrow* (1980), it is observed that Gubaidulina uses symbolism to depict the image of the Cross. A registral symbolism (produced by using the registers or pitches) is particularly represented on the harp part with a sonic crossover by the use of pitch A and a large Bb-G# glissando produced by the use of the tuning key (Figure 4.1). As the harp maintains a fluctuating droning layer (Theme C), the flute contributes to the development of this idea by playing the same

pitch material as a chromatic melody. Research has shown that the symbol of the cross is an important feature of Gubaidulina's works, and the occurrence of pitches or registers in a crisscrossing manner, which is found in abundance in this work, symbolizes it. In addition, it is also worth noting that the pitch material [9,10,8,5,0] of theme A (the sorrow theme) creates the image of the cross when written on the staves. While F and C form the upper and lower ends, the glissando between G# and Bb, supported by the theme of the flute, creates the right and left ends of the cross as it fluctuates (Figure 4.2). The crisscrossing glissando of the viola and the harp is another example of the symbolization of the Cross (Figure 4.12).

In this work, Gubaidulina also uses descriptive symbolism to portray the garden she has imagined. As mentioned earlier, she visualized this garden through the influence of two literary works, Iv Oganov's biography of Sayat Nova, and Franz Tanzer's poem. Although Gubaidulina states that these literary works provided her with an auditory concretion, it is noteworthy that in the BBC documentary (1990), she described a garden in which she spent a lot of time as a child. While talking about the difficulty and poverty of her childhood, she stated that she would often sit in their bare garden and look up at the sky to find the joy of life. In some way, *Garden of Joy and Sorrow* (1980) seems to symbolize that bare garden and her contradictory emotions: sorrow on the ground and joy in the sky. Given that the work is full of religious symbolism, it would also be appropriate to suggest that the garden depicted here represents the earthly, while the sky represents the divine.

Gubaidulina also likes the idea that the instrument itself implies a certain meaning, such as the instrument preferences of *Seven Words* (1982) representing the Trinity (p.76). Because the flute and harp are closely related to spirituality, it is thought that Gubaidulina uses instrumental symbolism in this work as well. For instance, the flute was either played by the Gods or symbolized the voice of a God in ancient times (e.g. Isis). In the same way, the harp also has strong religious and mythological connotations such as being the instrument of Orpheus, and symbolizing the bond between King David and the angels.

In this work, the use of dichotomy is much more evident than instrumental symbolism. At first, the dichotomy in the title *Garden of Joy and Sorrow* stands out. In the analyses, it is observed that the musical expression of dichotomy is depicted by the themes A and B. The research showed that the use of harmonics often

symbolizes the joy to be found in Gubaidulina's music. On the other hand, the dark feeling in the chromatic melodic structures is already evident. On this basis, it is concluded that the insistent chromatic melodic line of the flute (Theme A) symbolizes sorrow (Figure 4.1), while the fluctuant harmonics of the viola (Theme B) symbolizes joy (Figure 4.3).

*Quartet for Four Flutes* (1977) shows many similarities with *Garden of Joy and Sorrow* (1980) such as the use of the +4+1 pattern in ICs, chromaticism in the melodic lines, intertwined tremolos, multiphonics, and the use of microtonality. Multiphonic drone-tone layers affect the chromatic melodic lines as is the case in *Garden of Joy and Sorrow*. In this work, a similar interaction between the flute and the harp occurs between the four flutes.

Since the quartet has not been performed very often and the composer does not have a program note about it, the use of symbolism does not appear clearly as is the case in *Garden of Joy and Sorrow*. However, the spiritual influences in this work can still be perceived. The silence effect which is frequently used within the sections or transitions is reminiscent of the effects of a Qur'an recitation which Gubaidulina once listened to in a mosque. Gubaidulina was greatly influenced by her experience of the concentration of silence between the readings from the Qur'an and this is reflected in her works. It is clear that *Quartet for Four Flutes* is one of those works. In addition, it is observed that the use of long drone-tone passages, together with oft-repeated chromatic melodic lines, creates a meditative effect. It is also clear to a researcher who analyzes her works that the crisscrossing of the pitches, which is commonly used in this work, symbolizes the Cross in all circumstances.

To conclude, this study examines the musical aesthetics of Gubaidulina and their reflection on her flute works. Although the music of Gubaidulina is often thought to be discontinuous and fragmented, it has been revealed that structural continuity is achieved in both of the flute works that have been analyzed. Analyses show a deep similarity between the two selected flute works, both aesthetically and technically. The melodic lines of both works are based on intense chromatism, and their texture contains similar harmonic materials. Moreover, the use of tremolos, together with microtonal and multiphonic timbres and inversive symmetry, is also evident in both works.

It is hoped that this study will provide a better understanding of Gubaidulina's aesthetics, draw attention to the flute works of the composer, and create a resource for all interested students, performers, musicologists and composers.



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## **APPENDICES**

### **APPENDIX A: A Copy of the Permission e-Mail**



## APPENDIX A

From: Mirjam Eck <eck@sikorski.de>  
11.03.2019 Pzt 14:31  
To: 'Ezgi K.' <zehraezgikara@hotmail.com>

Dear Ezgi Kara,

Thank you for your polite inquiry. We herewith grant permission to reproduce in your Ph.D. thesis excerpts of our titles by Sofia Gubaidulina:

- Garden of Joy and Sorrow for flute harp and viola (speaker ad lib.)
- Quartet for Four Flutes

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Kind regards,  
Mirjam Eck-Yousef  
Copyright Department  
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### Publications and Presentations on the Thesis

- Kara, Z. E. & Gündüz, J.** (2018). Musical censorship and repression in the union of soviet composers: Khrennikov period. *Porte akademik: Müzik ve dans araştırmaları dergisi: Journal of music and dance studies*, 17, pp. 102-117.
- Kara, Z. E. & Gündüz, J.** (2018, March). *Music and censorship in khrennikov period.* Paper presented at the 1<sup>st</sup> International Symposium of Ethnomusicology: Music and Politics, Bursa, Turkey.

