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THE FANTASIAS OF JOHN DOWLAND:  
AN ANALYSIS

THESIS

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By

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In spite of an increasing interest in the analysis of Renaissance music by contemporary theorists, few analyses of lute music exist. It is hoped that this thesis will serve to open a new area of analysis to scholars of Renaissance music.

Chapter I deals with the background information necessary for the analysis, including Dowland's biography, lute history, technique, and notation, and the practice of modality on the lute. An overview of Dowland's music, especially the solo lute music, ends the chapter. Chapter II traces the form and development of the fantasia and surveys Dowland's seven fantasias. In Chapters III-V, the works are divided according to mode and analyzed in terms of counterpoint, dissonance, motivic development and modality. Chapter VI provides concluding remarks.

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## Chapter I

### INTRODUCTION AND HISTORICAL BACKGROUND

The lute has become increasingly popular in recent years. Guitarists, in particular, have branched out to the lute as a second instrument and found in its literature a rich source for expanding their repertoires. Some scholars and performers now specialize in authentic lute technique, often restricting themselves to the performance practice of a specific era, and many luthiers build faithful reproductions of museum specimens. However, despite this new appreciation of the historical aspect, little attention has been directed toward music written for the lute. Indeed, many articles and dissertations on early sources of lute music exist, but few of them deal with any detailed analysis of the literature.

Perhaps one reason for the lack of analytical studies in this area lies in the difficulty of arriving at authoritative transcriptions of the tablature notation. While many scholars have a basic understanding of tablature, they understandably do not wish to develop the lute playing skills required to discover which notes should be held or stopped; thus, they lack the performer's perspective in their evaluation of alternative solutions. Moreover, the majority of students of Renaissance music find the



polyphonic vocal literature more interesting, while they consider lute music too simplistic. Hence, this body of music is usually left to performers specializing in the lute, and their interests lie more in the areas of performance practice and the historical aspects of this field, rather than musical analysis.

The purpose of this study is to provide a detailed analysis of the fantasias of John Dowland, one of the most famous lutenist-composers of the turn of the sixteenth and seventeenth centuries. The seven fantasias will be examined in terms of modal usage, counterpoint, form, and motivic development. The rest of this chapter will provide some historical information about the composer, his instrument, and the modal theory of his era.<sup>1</sup> It is hoped that this thesis will serve to broaden the views of those who see lute music as simple and uninteresting, as well as to open new areas of research to lutenists.

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1. All musical examples in this thesis have been photocopied from John Dowland, The Collected Lute Music of John Dowland, ed. and transcribed by Diana Poulton and Basil Lamb (London: Faber Music Limited, 1978). Permission has been granted by G. Schirmer Inc, New York, sole distributors for the United States of America.

John Dowland the Lutenist (1563-1626)

Although we know the year of John Dowland's birth, no record of his birth or parentage exists. Moreover, nothing is known about his early life, or specifically, his earliest musical training. Like other lutenists of his time, he was possibly apprenticed to a musician who taught him, or more likely, indentured to a nobleman who had the means to pay for his training. John Ward, in his discussion of Dowland's biography, cites two famous examples of indentured young lutenists: John Johnson, who was indentured to George Carey, and Dowland's son Robert, a servant of Sir Thomas Mounson.<sup>2</sup> Various documents surrounding Dowland's life give possible clues to the identity of his early master. He dedicated his First Booke of Songs or Ayres (1597) to the aforesaid George Carey, writing, "for your honorable favors toward me, best deserving my duety and service."<sup>3</sup> Another possible Master, Sir Henry Noel, signed a letter to Dowland, "your olde master and friend."<sup>4</sup> In 1580, Dowland accompanied Sir Henry Cobham, Queen Elizabeth's ambassador, to France.

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2. John Ward, "A Dowland Miscellany," Journal of the Lute Society of America, X (1977), 7.

3. John Dowland, "To the Courteous Reader," The First Booke of Songs or Ayres (London: 1597).

4. Diana Poulton, John Dowland (Berkeley: University of California Press, 1982), 48.

He could have been indentured to Cobham before this time, although no documents exist to confirm this.

He remained in France until 1586; the most significant event known about this period was his conversion to Catholicism, an event that would have a profound influence later in his life. After his service in France, he returned to England where, in 1588, he received his Bachelors degree from Oxford. He then began to make himself known to the English court. Two of his songs, "His Golden Locks," and "My Heart and Tongue Were Twins," were sung before Queen Elizabeth in the years 1590 and 1592 respectively. He himself played before the Queen during the latter year.<sup>5</sup> One of Elizabeth's Lutenists, John Johnson, died in 1594 and Dowland applied for the vacated position; he was denied the post.<sup>6</sup> The reason, in his opinion, was due to Elizabeth's alleged prejudice against Catholics. However, there is little evidence to support this claim; William Byrd, one of her prized musicians, was also a Papist. Poulton believes that during this period the court was holding down expenditures, as the court hired no other lutenist for four more years.<sup>7</sup> Dowland continued to seek a post in the English court until his appointment there in 1612; in his mind, all

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5. Diana Poulton, op. cit., 28-29.

6. ibid.

7. ibid., 37, 45.

success, however great, was overshadowed by his failure to gain this position.

Having been refused by Elizabeth, he obtained permission to travel abroad. "My mind being troubled, I desired to get beyond the seas . . . ." <sup>8</sup> Most of his time was spent playing before the nobility of cities he visited, or learning from various musicians. In Germany he played for the Landgrave of Hessen and Duke of Brunswick, both of whom asked him to remain in their service. <sup>9</sup> Traveling then to Italy, he played in Venice, Padua, Genoa, Ferrara, Florence, "and divers other places which I willingly suppress." <sup>10</sup> According to his own account, he spent some time with Giovanni Croce. "I will only name that worthy master Giovanni Crochio vicemaster to the Chapel of St. Marks in Venice, with whom I had familiar conference." <sup>11</sup> It is noteworthy that he sought Croce instead of the more progressive Giovanni Gabrieli, the Chapel Master of the same church. It is obvious, from his choice of teachers, that his aesthetic was already set. He had no interest in the new musical styles he encountered, but only desired to

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8. Quoted in a Letter to Sir Robert Cecil, cited by Poulton, ibid., 38.

9. Ward, op. cit., 18.

10. Dowland, op. cit.

11. ibid.

improve his skill in writing four-part ayres.<sup>12</sup> This desire was confirmed not only through his failure to meet any monodists in Italy, but also by his intention to see Luca Marenzio, the Italian master of the madrigal.

Dowland's journey to meet Marenzio was curtailed when he was approached by English Catholic exiles who wished to involve him in their plot against Elizabeth. Fearing that he would be implicated, he returned to Germany before November 10, 1595.<sup>13</sup> In a letter to Sir Robert Cecil, he gave a detailed account of his trip, exonerated himself of all wrongdoing, and swore allegiance to the Queen.<sup>14</sup>

Upon his return to Germany, he began what was to be an extended period of service to the Landgrave. In 1596, however, less than a year after his return, he quickly began his homeward journey after receiving a letter from Henry Noel, his friend at the English court. "Her Majesty had wished divers tymes your return: Ferdinando hath told me her pleasure twice." Unfortunately, Noel's untimely death in February, 1597, severed Dowland's last avenue to the English court and apparently dashed his hopes of ever serving Elizabeth.<sup>15</sup>

12. Ward, op. cit., 9.

13. ibid., 18.

14. Diana Poulton, op. cit., 38-40.

15. Ward, op. cit., 18-19.

Another important event of 1597 was the printing of The First Booke of Songs or Ayres. This collection was well received at home; reprints appeared in 1600, 1603, 1606, 1608, and 1613.

In a letter dated February 9, 1598, the Landgrave invited Dowland back into his service, promising, "I will assure you that entertainment, that every way you shall hold yourself content . . . ." <sup>16</sup> Whether or not he took that offer is not known, but on July 16 of the same year he received an offer of employment from Christian IV, king of Denmark.

On November 18, he began his duties as lutenist to the Danish court. At a salary of five hundred daler a year, he was one of the highest paid servants in the kingdom. <sup>17</sup> Ironically, his eight years of service to the Danish monarch were marked with gross financial mismanagement. Danish records of money paid to the English lutenist tell of the many advances, gifts and loans paid to him during his tenure in Denmark, yet he left the post almost penniless. The reasons for his irresponsibility are not known. <sup>18</sup>

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16. Poulton, op. cit., 50.

17. Poulton, ibid., 52.

18. Ward, op. cit., Appendix J, 100-107.

Nevertheless, Dowland's time in Denmark was also the most musically fertile of his life. The second and third collections of songs were published during this period, and his music enjoyed great popularity at home. His book of consort pieces, Lachrimae or Seven Tears, was also published in 1604 during a leave of absence in England. His dismissal in 1606, carried out in the absence of the king, probably came as result of his mishandling of money.

After returning home from Denmark, Dowland was employed by Lord Walden, the Earl of Suffolk; the circumstances of this arrangement are not known. He was still a favorite musician in his country and his works continued to be widely disseminated. Nevertheless, in spite of his popularity, he continued to complain about his failure to secure a position in the English court.<sup>19</sup> It is also possible that, in spite of his continued favor among the musicians at this time, he began to feel a little out of vogue as he observed the increasing popularity of the thoroughbass style in the court of King James I.<sup>20</sup> It is well known that Dowland was prone to periods of extreme melancholy. His dismissal from the Danish court, his failure to secure a post in the

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19. Poulton, op. cit., 66.

20. ibid., 71.

English court, and his distaste and possible fear of the new musical style all could have been additional fuel for his depression.

Perhaps Dowland's displeasure with the new monodic style was vented through his translation of Ornithoparcus' Micrologus or Introduction: Containing the Art of Singing. The original version of this work, printed in 1517, was almost a century old when Dowland translated it in 1609. His music, though descended from the same modal tradition as the Micrologus, does not reflect the earlier theoretical views. How could Dowland who "loved discords as a cat loves cream," agree with Ornithoparcus' statement, "hence we loath and abhorre discords?"<sup>21</sup>

A comparison of the Micrologus to a more contemporary work will show to what extent theoretical ideas had changed between the times of Ornithoparcus and Dowland. Thomas Morley's A Plain and Easie Introduction to Practicall Musicke was published in 1597, eighty years after the Micrologus. Between the publications of these two works, Glarean and Zarlino had written on the existence of a twelve mode system, while Ornithoparcus recognized only the eight modes of the early sixteenth century. Morley cites both Glarean and Zarlino in his discussion of modality in the "Annotation Upon the Third Part," and refers the reader to the works of

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21. ibid., 381.



these two men.<sup>22</sup> Ornithoparcus writes at length about the speculative aspect of music, quoting Greek and Medieval authorities, while Morley, in a dialogue between teacher and student, immediately begins lessons in sightsinging and counterpoint. Moreover, as Poulton has pointed out, Morley and Ornithoparcus disagreed on the relationship between the church modes and the ancient Greek tonoi. Ornithoparcus believed that the modes were indentical to the tonoi; each mode had a certain effect on the emotions.<sup>23</sup> Morley, while seeing a relationship between the modes and their Greek counterparts, said, "and these be (although not the true substance) yet some shadow of the ancient modi whereof Boethius and Glarean have written."<sup>24</sup>

Surely Dowland, who was always looking for a way into Elizabeth's court, knew of Morley, a "Gentleman of the Chapel Royal," and his work. Dowland could have met Morley when Morley filed suit against Dowland's publisher, Thomas Est, over the rights to print The Second Booke of Songs or Ayres.<sup>25</sup> Whether or not Dowland had any association with

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22. Thomas Morley, A Plain and Easie Introduction to Practical Musicke, ed. Alec Harmon (New York: Norton, 1973), 300-304.

23. Andreas Ornithoparcus, Micrologus or Introduction: Containing the Art of Singing trans. John Dowland (London: 1609), 36.

24. Morley/Harmon, op. cit., 147; Poulton, op. cit., 384.

25. Morley had exclusive rights to music printing in England

Morley, it cannot be said that Dowland was ignorant of the prevailing musical thinking. His exposure to court life, both as performer and observer, would have insured his exposure to the newest trends.

Other than the rules of counterpoint, the only parts of Micrologus, that could have been of interest to early seventeenth century musicians are those that discuss qualities of good singing. The author outlines some rules for good singing and gives examples of offensive practices heard in different countries. Diana Poulton believes that Dowland, "could have found an identity of outlook on certain questions (singers for one, undoubtedly), which blinded him to its shortcomings as a textbook for 1609."<sup>26</sup> James Gordon Smith, in his dissertation on Dowland's Ayres, concurs:

Though influential in its own time, it Micrologus was decidedly out of date in 1609. Dowland's having thought it worthwhile to publish an English translation of a outmoded, century-old treatise may be interpreted as a sign of his growing dissatisfaction with some of the newer trends which were then beginning to materialize in English music.<sup>27</sup>

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during this time, beginning in 1598., see Thurston Dart, "Forward," in Morley/Harmon, op. cit., xii.

26. Poulton, op. cit., 385.

27. James Gordon Smith, John Dowland: A Reappraisal of His Ayres (Ph.D. Dissertation, U of Illinois, 1973), 99-100.

Three years later, Dowland explicitly made his views toward the younger generation of musicians known in his last book of ayres, A Pilgrim's Solace (1612). He attacks singers for their "blinde division making and their ignorance in the true order of the hexachord in the system." He then turns his attention toward the lutenists, "who vaunt themselves to the disparagement of such who have been before their time . . . that there never was the like of them . . ." and asks them to defend "their lute profession" against those who would put forth other instruments as superior to the lute.<sup>28</sup>

Finally, in that same year, he obtained his coveted position as a lutenist to the English court. However, his salary indicated that the post only required his services as a consort player, not as a soloist. He received only about thirty pounds per year; more important lutenists earned forty pounds.<sup>29</sup> Little of his work was written during this period, but much of his earlier work was disseminated in foreign and domestic printed collections, and other composers used his themes in their compositions. From 1622 on,

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28. He refers to Tobias Hume who states, "From hence forth the stateful instrument, gambo violl, shall with ease yield full, various, and devicefull music as the lute," from Tobias Hume, "To the Courteous Reader," First Part of Ayres, (London: John Windet, 1605); ibid., 106-109; quoted from "To the Courteous Reader," A Pilgrim's Solace (London: 1612).

29. Ward, op. cit., 21.

he was given the title, "John Dowland, Doctor of Music;" whether or not he actually earned a doctorate is not known. His death came in 1625; he was buried at St. Anne Blackfriars. His son Robert succeeded him at the English court.<sup>30</sup>

### The Lute: Its History, Technique, and Notation

Any study of Dowland's music must begin with some understanding of the lute, since Dowland was first and foremost a lutenist. All of his music, with the exception of the psalm settings, has scoring for lute. He earned a major part of his living by playing the lute; his skill both as a performer and composer brought him international fame.

The lute arrived in Europe during the eighth century when the Moors brought it into Spain. Soldiers returning from the Crusades also could have brought lutes home with them from North Africa and the Middle East. At the beginning of the sixteenth century the instrument began to rise in popularity, aided to some extent by the advent of printed music in Italy. During this period, the instrument consisted of five or six courses.<sup>31</sup> Because of inadequate

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30. Poulton, op. cit., 85-89.

31. A course is a paired set of strings. On the lute, the first, or highest, string is usually single, but is also referred to as a course, in the context of the other paired strings. Hence, a six-course lute has one single string and five paired sets of strings. A six course

string-making technique, braided gut strings did not tune well. The lowest three courses were tuned in octaves, rather than at the unison. The higher of the two strings provided the pitch, while the lower string gave the course an illusion of depth, but tuning the two strings to sound an octave was difficult. Later, because of improvements in braided gut strings, bass courses tuned in unison became commonplace. During Dowland's time a seventh course was added; it could be tuned a minor third or perfect fourth below the sixth course. Eight, nine, and ten courses were also gradually becoming popular.<sup>32</sup>

While most of Dowland's music required only seven courses, some called for as few as six or as many as ten. The early versions of "Lachrimae," for example, were scored for six courses, while some later versions of this pavan required seven. The famous "Forlorn Hope Fancy" exists in versions requiring seven or eight courses. Because the confusing array of Dowland's music found in manuscript form is copied and altered by persons other than the composer, no

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instrument, tuned in G, has the following tuning: , , G-, C-, f-, a-'d-'g. It must be remembered that Renaissance music had no absolute pitch; these pitches only show the intervals between the strings.

32. Klaus Wachman, James Mc Kinnon, Ian Harwood, Diana Poulton, "Lute," The New Grove Dictionary of Music and Musicians, 20 vols., ed. Stanley Sadie (London: Macmillan, 1980), XI, 342-65; see also Ian Harwood, A Brief History of the Lute (Lute Society Booklets, 1975).

certain evidence exists indicating which stringing he used for his solo works. However, printed copies of his lute solos and lute songs shed more light on the question. The vast majority of ayres call for a seven-course lute, but in his son's Variety of Lute Lessons, a relatively late source, the pieces require seven, eight, or ten courses.<sup>33</sup> It is possible that he changed his music as the lute changed, rearranging old pieces for newer instruments.

The right-hand technique also changed radically during the sixteenth century. Medieval players struck the courses with a plectrum held between the thumb, index, and middle fingers. Toward the end of the fifteenth century, performers gradually abandoned the plectrum and began to use the thumb, index, and middle fingers to pluck the strings. The hand was still held in the same position, fingers extended toward the nut, running parallel to the strings, with the little finger resting lightly on the belly of the lute. According to instructions in the Capirola Lute Book (1517), the thumb was held inside the hand while the arm pivoted from the elbow. The thumb played metrically strong beats or strong parts of a beat on the downstroke of the arm, while the weak beats or parts of a beat were struck with the index finger on the upstroke.<sup>34</sup> The music at this

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33. Robert Dowland, Variety of Lute Lessons (London: 1610).

34. Wachman "Lute," op. cit., 353.

time exhibited a treble orientation; the most active part was the highest string being played. Thus the hand, pivoting on the elbow and little finger, would usually "leave and return to the treble string."<sup>35</sup> In playing chords, the thumb would play the required bass notes in a downward motion, while the trebles would be struck with the upward motion of the index, middle, and sometimes, the ring finger.<sup>36</sup>

During Dowland's time the "thumb-under" technique began to decline in popularity as the music became texturally thicker and less treble oriented. Besides, as more courses were added to the lute, the hand was forced into a more perpendicular relationship to the strings in order to allow the thumb to strike the increasing number of basses. The middle and index fingers now played the rapid scale passages in the trebles, replacing the function of the thumb and index finger. The thumb was relegated to the bass courses; the middle finger played the metrically strong beats or fractions of a beat, leaving the weak beats or fractions thereof to the index finger. In fact, Jean Baptiste Besard, in his "Nessesarie Observations Belonging

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35. Pat O'Brian, Lute Seminar, given by the Houston Classical Guitar Society, Houston, Texas, April 12-14, 1984.

36. Wachman, op. cit., 353.

to the Lute and Lute Playing," complains about "that unmanly motion of the arm," referring to the way thumb-under players moved the right arm from the elbow.<sup>37</sup>

### Tablature

While the instrument and its playing technique continued to develop, its method of notation remained consistent throughout its history. Each system of tablature consisted of a symbolic representation of the fingerboard, indicating which frets were to be depressed with the left hand. Stems, with or without flags, indicated rhythms. Indeed, the most cumbersome tablature of all was the German. Each string-fret coordinate had its own symbol, and so, depending on the number of strings and frets on a lute, the player had to memorize twenty-five or more symbols. To add to the confusion, each symbol was accompanied by its own rhythm sign.

The Italian tablature consisted of a staff of six lines representing the first six courses of the lute, the highest line denoting the sixth or lowest course in pitch.<sup>38</sup>

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37. "De modo in testudine libellus," appendix to Thesaurus Harmonicus (Cologne: 1602); later published in Robert Dowland's Variety of Lute Lessons, op. cit.

38. The Spanish borrowed this system from the Italians. However, the vihuelist Luis Milan reversed the staff so that the lowest line equaled the lowest string. Thurston Dart, John Morehen, "Tablature," The New Groves Dictionary of Music and Musicians, 20 vols., ed. Stanley Sadie (London: Macmillan, 1980), XVIII, 52.



The effect of this configuration was similar to one lutenist mirroring the other, demonstrating which notes should be played. The numbers 0 through X, placed on the appropriate lines, indicate which frets were to be depressed. 0 represents an open string, 1 the fret nearest to the nut, 2 the second fret, and so on up to X, the tenth fret. Ẋ and Ẍ indicated frets eleven and twelve, respectively. The rhythms were indicated above the staff; only the shortest articulations could be represented accurately. The player was left to deduce the lengths of the longer notes. Italian tablature is illustrated in example 1.

Example 1. Italian tablature.



The English borrowed their system from the French, who also used a six-line staff. The French, like the Italians, indicated the shortest rhythmic values above the staff. Contrary to the Italian tablature, the lowest line represented the lowest course in pitch. Thus the French notation came closest to pitch representation, actually indicating the relative placement of high and low pitch. Letters, placed on the appropriate lines, indicated which frets were to be depressed. Hence, the letter a indicated an open string, b, the fret nearest to the nut, c, the second fret, and so on to n, the twelfth fret. The letter j was skipped in favor of i. Often, b and d were written diagonally to keep them from intersecting other lines. Additional basses were indicated by letters on ledger lines extending below the original staff. French tablature began to be used throughout Northern Europe toward the beginning of the seventeenth century. As lute music became more complex, even the Germans saw the advantages of French tablature and discarded their own notation in favor of it. Example 2 illustrates French tablature.

Example 2. French tablature.



### The Lute and Modality

Dowland's music is based on the twelve modes current in the late sixteenth century, first recognized by Glarean and later by Zarlino.<sup>39</sup> Each mode was identified by its octave range, its finalis (tonic), and most importantly, its species of fourths and fifths. Each species of diatessaron diapente (fourth and fifth) identified a mode by the placement of the one half-step in each species, and its

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39. Harold Powers, "Mode," The New Groves Dictionary of Music and Musicians, 20 vols., ed. Stanley Sadie (London: Macmillan, 1980), XII, 407-12; Morley/Harmon, "Annotations Upon the Third Part," A Plaine and Easie Introduction to Practicall Musicke, op. cit., 300-304.

range.<sup>40</sup> Before Glarean's theory of the Twelve modes, only eight were recognized, but by recombinations of existing species of diapente and diatessaron, four more modes were constructed.<sup>41</sup> It must be remembered that modality was based on a system of intervallic relationships, not on any concept of absolute pitch. And, while the finals of modes had names, no fixed frequency was assigned to them; these names served only to remind musicians of the intervallic relationships within a given mode.

Like other Renaissance musicians, lutenists dealt with intervals, not pitches. John M. Ward, in his discussion of the relationship between lute playing and modal theory in the sixteenth century, cites several theoretical treatises that deal with the arranging, or intabulation of vocal polyphony for the lute. He explains that the strings of the lute were not tuned to absolute pitches, but were tuned "as high as they will comfortably go."<sup>42</sup> The absence of absolute pitch allowed the performer to "imagine" the instrument to be tuned in a way that would place the music

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40. See Leo Treitler, "Tone System in the Secular Works of Guillaume Dufay," Journal of the American Musicological Society, XVIII, 2, 131-69.

41. Powers, op. cit., 407.; Gioseffo Zarlino, On the Modes, trans. Vered Cohen (New Haven: Yale University Press, 1984), 37-41.

42. John M. Ward, "Changing the Instrument for the Music," Journal of the Lute Society of America, XV 1982, 28.

comfortably under the fingers. He did not have worry about the piece being in the right "key," as long as the intervallic content of the given piece was exactly transposed (or imagined) to the key most idiomatic for the lute. For example, if a piece had an E final, then the player would imagine the tuning of the lute to be ,E-, ,A-,D-,F#-,B-'E, or, similarly, if a piece had a D final, but the range was in the plagal form of the mode, he might imagine the tuning to be , ,A-,D-,G-,B-'E-'A.<sup>43</sup> Several treatises, including Don Bartholomeo Lieto Panhormitano's Dialogo Quarto di Musica (Naples, 1559), contain instructions and tables for intabulating vocal music according to this method. Only rarely did the original version have to be altered, namely, when its range exceeded that of the lute.<sup>44</sup>

The practice of imagining the lute in different tunings would suggest that the composer was free to fit any of the modes anywhere in the lute system that would make it easier for the performer to execute a given piece. Because the majority of lutes were equally tempered, with frets set in half steps, any mode could be played on any string simply by depressing those frets that would yield the desired species of octave, fifth, or fourth.<sup>45</sup> For example,

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43. ibid., 29.

44. ibid., 31, see footnote.

45. Mark Lindley, Lutes, Viols, and Temperaments (Cambridge:

to play a phrygian mode on the first course, 'G, one would depress the following frets:

mode:	'G,	'Ab,	'Bb,	'C,	'D,	'Eb,	'F,	'G
fret:	0	1	3	5	7	8	10	12

Or, to play a dorian mode on the third string, ,A, one would depress the following frets:

mode:	,A,	,B,	'C,	'D,	'E,	'F#,	'G	'A
fret:	0	2	3	5	7	9	10	12

To play a given mode on any other course, one uses the same frets to obtain the same intervallic pattern. An overview of Dowland's music will show that he restricted his use of the modes to only four of the available twelve: dorian, aeolian, mixolydian, and ionian. From the above discussion, it may be submitted that this restriction of modal usage was not due to any limitations inherent in the instrument.

### Dowland's Music

Though primarily a lutenist, Dowland also distinguished himself as a versatile composer, fluent in many contemporary styles and forms. The variety of genre included secular songs, psalm settings, consort music, and of course, virtuoso lute solos. However, he is best known

for his four books of songs.<sup>46</sup> Each song consists of a vocal part with lute accompaniment, and often one-to-three additional parts are included for other instruments or voices. Although he wrote gay, lighthearted, or even lascivious trifles, his masterpieces are essays of intense melancholy. Songs like "Come Heavy Sleep," and "In Darkness Let Me Dwell" wallow in despair. Dissonance and chromaticism heighten this hopeless mood and exhibit anguish. "I Saw My Lady Weep" and "Flow Not So Fast ye Fountains" celebrate the act of weeping and tears become a "delightful thing." Although most of his songs are strophic, he did experiment with through-composed forms later in his life. "In Darkness Let Me Dwell," one of his last songs, is through-composed.

In contrast to his prodigious song output, Lachrimae or Seven Tears stands as his only volume of consort music. The first seven pieces in this collection begin with the "Lachrimae" theme in the cantus and develop it in different ways.<sup>47</sup> The rest of the pieces in the collection consist of other lute pieces by Dowland, arranged for a consort of five

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46. The First Booke of Songs or Ayres (1597), The Second Booke of Songs or Ayres (1600), The Third and Last Book of Songs or Ayres (1602), A Pilgrim's Solace (1612).

47. The original "Lachrimae" comes from a lute pavan of the same name. Dowland also used this melody for his ayre, "Flow My Tears," and many other composers borrowed it for their compositions.

parts. The seven versions of "Lachrimae" are in aeolian or dorian modes, while the other dances are in mixolydian, dorian, or aeolian. Dowland's virtuosity, both as a lutenist and a composer, is revealed through his use of the lute in combination with other instruments. Often the lute doubles a part; sometimes it doubles and inverts two parts, or plays a line of its own. The lute constantly embellishes the texture with cadential figures, scalar divisions of a line, filling in the skips of another part with passing notes. Lachrimae stands as one of the most skillfully composed examples of consort music with lute.

Unlike his songs and consort music, which he published in books containing only his works, the psalms were contributed to other composers' collections, including Thomas Est's Whole Book of Psalms (1592) and Thomas Ravenscroft's book of the same title (1621). He also contributed works to a collection of psalms set in memory of Sir Henry Noel, Sir Henry Noel His Psalm Tunes (1597). Most of the texts deal with the sinner's place before God, confessing transgression and pleading for mercy. However, two versions of Psalm 100, one of Psalm 104, and one of Psalm 134 deal with praise and adoration, and one piece is actually a prayer for Queen Elizabeth.<sup>48</sup> The psalms with

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48. Entitled "A Prayer for the Queen's Most Sacred Majesty," this psalm asks God to bless the Queen as she rules England, strengthening her hand as she fights her



penitent themes invariably employ the minor-third dorian and aeolian modes, while the psalms of praise and adoration use the major-third-ionian. All of these pieces have strophic texts. These sacred pieces are the only pieces by Dowland without written lute parts. While no documented reason exists for the absence of tablatures, it can be said that Dowland did not have control over the format of these sacred collections, and the compilers may not have had room for this specialized notation.

### The Music for Solo Lute

Dowland's solo lute music comprises his second largest body of works, rivaling his secular songs. Included in this repertoire are seven fantasias, eleven pavans, twenty-nine galliards, eight almaines, and five jigs. He also wrote an arrangement of "Come Away," in addition to ten settings of popular ballads of his time. Often he also arranged his songs into dances, dividing the melody into strains, each strain followed by its embellished "division." The most famous example is "Can She Excuse," which became "The Earl of Essex Galliard." He also arranged dances not borrowed from songs into strains; however, these strains may or may not be followed by divisions. When the embellished

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battles, and closes with a prayer for God to "Direct her in thy righteousness."

repetition is omitted, the strain is simply repeated. As explained above, he used only four of the twelve available modes in his lute music; however, one encounters uncommon transpositions in this literature. "Giles Hobie's Galliard," clearly in aeolian mode, has three flats in the signature and its final is C, instead of A or D.<sup>49</sup> Having the final on A or D would create many fingering problems, including the necessity of having to barré the final chord on the second fret. With the C final, the galliard lies very well on the instrument.

While most of Dowland's music was published in printed collections and enjoyed wide circulation, most of the music for solo lute was haphazardly dispersed in handwritten collections throughout the British Isles and the Continent. Each of these collections of tablatures contains works by several composers, often reproduced without the supervision of the artist; thus, versions of a particular work frequently differ from one source to another. Because of this limited, haphazard dissemination, English lute music probably had a smaller audience than other types of music published in printed form. Only those courtiers, noblemen, and students who heard these lutenists play, studied with

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49. Number 29 in John Dowland, The Collected Lute Music of John Dowland, op. cit., 108-10.

them, or had access to collections containing their works, were familiar with their music.<sup>50</sup>

Fortunately, Diana Poulton has completed most of the difficult task of finding, collating, and editing Dowland's solo lute music. The present study uses her edition, The Collected Lute Music of John Dowland, the only complete edition of the lute music to date.<sup>51</sup> This edition provides both lute tablature and transcriptions into staff notation by Basil Lamb. A well known authority on lute music and technique, Poulton is one of the foremost scholars of Dowland's music and life. Her two editions of John Dowland reveal her thorough study of his life and music, as well as the historical climate of England and the Continent during the composer's life. One of this century's first lutenists, she has performed extensively in England. The Royal College of Music appointed her professor of lute in 1971.<sup>52</sup> The Collected Lute Music of John Dowland is carefully edited with a detailed appendix describing differences between versions of particular pieces. In cases where there are two radically different versions of a given work, a second

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50. However, three of Dowland's solos have versions in the song books and one of his fantasias can be found in his son Robert's Variety of Lute Lessons, op. cit., "Fantasia 7."

51. op. cit.

52. David Scott, "Diana Poulton," The New Groves Dictionary of Music and Musicians, op. cit., IV, 169.

version is provided. This edition is widely used by scholars who often refer to Poulton's numberings of specific works.

## Chapter II

## THE DEVELOPMENT AND FORM OF THE FANTASIA

Of all the musical forms used by Dowland, the fantasia had the fewest formal restrictions. Unlike masses, dances, or secular songs, the fancy, as the English sometimes named it, was free from such structural requirements as sectional divisions, cantus firmi, or the demands of a text.

The most principal and chiefest kind of music which is made without a ditty is the Fantasy; that is when a musician taketh a point at his pleasure and wresteth and turneth it as he list, making either much or little of it as shall seem best in his own conceit. In this may more art be shown than in any other music, because the composer is tied to nothing but that he may add, diminish or alter at his pleasure.<sup>1</sup>

This lack of constraint is rooted in the sixteenth-century art of improvisation. An early account of Renaissance improvisation describes a performance by the renowned lutenist, Francesco Canova da Milano. "The tables being cleared, he chose one, and as if tuning his strings, sat on

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1. Morley, A Plaine and Easie Introduction to Practical Musicke, ed. R. Alec Harmon (New York: Norton, 1973), 296. In this thesis, the term point has two applications: when used alone, it denotes the subject or theme of a given fantasia. When used as part of the phrase point of imitation, it denotes an area of a fantasia wherein an imitative section has begun, such as the beginning of a work where the point is featured in the initial point of imitation.

the end of a table seeking out a fantasia." The account goes on to say that as his "beautiful playing captured the attention of the guests, he transported them into so pleasurable a melancholy . . . "2

A second aspect of the fantasia, perhaps the only requirement inherent in the genre, is the necessity of a point of imitation. Zarlino, in his treatise on counterpoint, cites the fantasia as a work using point-of-imitation technique.

That is when he derives one voice from another and arrives at the subject as he composes the parts all together. Then that . . . from which he derives the other parts is called the subject. Musicians call this "composing by fancy."<sup>3</sup>

The English fantasia developed from the ricercar-fantasia of Italy, and to a much lesser extent, the French fantasia. Evidence of the Italian influence is demonstrated by the fact that many of Milano's fantasias found their way into English sources after his death. Later in the century, Alfonso Ferrabosco popularized the fantasia during his tenure as one of Queen Elizabeth's lutenists. His music is found in several English sources along with Dowland's.

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2. Pontius de Tyard, cited by Arthur J. Ness in his edition of The Lute Music of Francesco Canova da Milano (Cambridge: Harvard University Press, 1970), 2.

3. Gioseffo Zarlino, The Art of Counterpoint, Part III of Le Istitutione Harmoniche, trans. Guy Marco and Claude Palisca (New Haven: Yale University Press, 1968), 53.

One of Ferrabosco's fantasias appears in Robert Dowland's Collection of Lute Solos.<sup>4</sup>

French influence on the English Fancy is evidenced in the presence of Adrian le Roy's works in English sources. However, it must be remembered that Italian lutenists also greatly influenced the development of the French fantasia through Alberto de Ripa's presence in the French court. In fact, no native French fantasias are extant before the middle of the sixteenth century. Even Le Roy's works exhibit elements of the early Italian style, such as Milano's diminution and point-of-imitation techniques. Moreover, English fantasias from Dowland's time exhibit no evidence of the French style brise (chord strumming), the only native stylistic trait of sixteenth-century French composition. All other elements of the French style can be traced to Italian origins.

Indeed, it was the Italian style that had the most impact on Dowland's fantasias. In view of the evidence submitted above, Dowland's travels to Italy, his meetings with Croce, and his intention to see Marenzio, a manifestation of the Italian style in his works is not surprising. Moreover, his four-part ayres contain elements of the madrigal style of Croce and Marenzio. The Italian influence in Dowland's

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4. Number 5, entitled "Fantasia," Robert Dowland, Variety of Lute Lessons (London: 1610).

fantasias can be seen in the similarities between his works and those of Milano. Both begin with points of imitation and contrast contrapuntal sections with scalar passages. Often, the two composers begin their points on the fifth modal degree. Motivic development plays an important part in both of their works.

The English fantasia of Dowland's era had obtained a degree of freedom not found in Italian examples. Milano did not leave a polyphonic texture for long, but almost always returned to that texture quickly after his diminution sections. By comparison, Dowland often ended his fantasias with virtuoso flourishes that prefigure the later toccata. Milano carefully developed one, or at most two ideas throughout a given work, whereas Dowland often introduced motives that radically changed as the work progressed.<sup>5</sup> Milano wrote nearly one hundred fantasias and ricercars, in addition to his twenty-nine intabulations of vocal works, and his output was limited to these two genre. Dowland, on the other hand, wrote many types of music, but at most composed eleven fantasias.<sup>6</sup>

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5. Christopher Field, Eugene Helm, William Drabkin, "Fantasia," The New Grove Dictionary of Music and Musicians, 20 vols., ed Stanley Sadie (London: Macmillan, 1980), VI, 381.

6. Diana Poulton's edition of the lute music contains four more fantasias, possibly written by Dowland, but of uncertain ascription. See John Dowland, The Collected Lute Music of John Dowland, transcribed and edited by



Dowland's Fantasias.

Of the fantasias ascribed to Dowland, seven are known to be by him, having his name appended to at least one of each of their versions. Robert Dowland printed Fantasia 1 (P. 1) in his Variety of Lute Lessons; the rest exist mostly in manuscript versions.<sup>7</sup> Table 1 lists the fantasias along with their sources.

Table 1. Sources of Dowland's Fantasias

<u>P. no.</u>	<u>Title</u>	<u>Ascription</u>	<u>Source</u>
P 1.	"A Fantasia"	Maister Dowland	Cambridge University Library, Add. 3056, Glasgow University Library, <u>Euing Lute Book</u> , British Museum, Add. 31392, Eg. 2046, Add. 38539.
P 2.	"Forlorn Hope Fancye"	Mr. Dowland	Cambridge University Library, Dd. 9.33(C), <u>Hortus Musicalis</u>

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Diana Poulton and Basil Lamb (London: Faber, 1974), 222-37.

7. For the sake of brevity in identification, the fantasias will be numbered according to the sequence in Poulton's The Collected Lute Music of John Dowland and given the prefix "P." While other printed collections contain Dowland's works, only the song books and his son's volume had his direct supervision. Hence, printed versions by musicians other than the composer were as susceptible to variations and inaccuracies as the manuscript sources of his music. For more information on the inherent problems of English-tablature manuscripts, see Chapter I of this thesis, 27.

			Novis, Elias Mertel, Strasbourg, 1615.
P 3.	"Farewell"	Jo. Dowlande	Cambridge University Library, Dd. 5.78. (3) (E); Glasgow University Library, <u>Euing Lute Book</u> .
P 4.	"Farewell"	Jo. Dowlande	Cambridge University Library, Dd. 9.33(C)
P 5.	Without Title	J. Dowland	Cambridge University Add. 3056.
P 6.	"Fancy"	Mr. Dowland, B.M.	Cambridge University Library, Add. 3056, Dd. 9.33(C), Nn 6.36, <u>Hortus Musicalis</u> <u>Novus</u> , Mertel, 1615.
P 7.	"A Fancy"	Jo. Dow.	Cambridge University Library, Dd. 9.33(C), Glasgow University Library, <u>Euing Lute Book</u> .

### The Fantasias and Modality

One of the major questions to be considered in any study of Dowland's music centers around his consistent use of a limited number of modes. Remember that Dowland's writes most of his music in forms of the dorian, aeolian, mixolydian, or ionian modes. Indeed, the seven fantasias known to be by him are even more limited in variety of mode. In six of the seven fantasias, he uses dorian or hypodorian; ionian is used in his only major-third-mode fantasia. The

intervallic configurations of dorian and aeolian, on the one hand, and mixolydian and ionian on the other, are so similar that Dowland's modal usage becomes even more limited in practice. A comparison of the dorian and aeolian modes will reveal that the half steps in their respective diatessarons are displaced by only one step, and they have identical diapentes.

The symbol (\*) indicates a half-step.

dorian: G A\*Bb C D E\*F G

aeolian: G A\*Bb C D\*Eb F G

When one hears these two modes, in the context of late sixteenth-century polyphony, along with their inherent musica ficta, the ear can easily confuse them. The same can be said of mixolydian and ionian.

mixolydian: G A B\*C D E\*F G

ionian: G A B\*C D E F#\*G

Zarlino stated that dorian and aeolian have a very close relationship to one another.

The first mode (dorian) has a very close kinship with the ninth mode (aeolian), because in the proper location of the first mode musicians write compositions of the ninth mode outside its natural notes, transposing the ninth mode up by a diatessaron or down by a diapente.<sup>8</sup>

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8. Zarlino, On the Modes, trans. Vered Cohen (New Haven:

He also stated in an earlier work that the twelve modes can be divided into two groups: those with major-third degrees and those with minor third degrees. The major-third modes express ethos that are "lively and full of cheer;" the minor-third modes are "somewhat sad and languid."<sup>9</sup> At the end of the sixteenth century, Morley considered the modern twelve modes to be merely a shadow of the ancient Greek *tonoi* mentioned in the writings of Glareanus and Boethius.<sup>10</sup>

Why Dowland chose only four out of the twelve modes is unknown. In view of Morley's statement, it might be said that late sixteenth-century composers were losing the sensitivity to the individual ethos that the Greek, Medieval and early Renaissance musicians felt and wrote about. Perhaps Dowland only saw the need for a sampling of the modal palette in order to achieve his musical ends. Moreover, the counterpoint of the time, with its *musica ficta* and chromaticism, obfuscated the subtle differences between individual modes. The similarities between the limited number of modes that Dowland used blurred their individual characteristics even further. Table 2 includes the

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Yale University Press, 1984), 58.

9. Zarlino The Art of Counterpoint, op. cit., 21-22.

10. Diana Poulton, John Dowland (Berkeley: University of California Press, 1982), 384; Morley/Harmon, op. cit., 147.

fantasias with their respective ranges, finals, modes, and cadence points.<sup>11</sup>

Table 2. Modes, Finals, and Cadences

P. no.	Range				Final	Mode	Cadence Tone
	c.	a.	t.	b.			
P 1.	'D-'D	'G-,G	'D-,D	,G-, ,D	g	ionian	g, a, g
P 2.	'D-,A	'G-,F	'D-,C	'D-, ,D	g	dorian	g, d, a
P 3.	'D-,G	'G-,G	'D-,D	'D-, ,D	g	dorian	g, d, g
P 4.	'D-'D	'A-,G	'D-,D	'D-, ,D	d	hypo-dorian	d, f, d
P 5.	'D-,A	'G-,G	'D-,D	'B-, ,D	g	hypo-dorian	g, d, Bb, d
P 6.	'Eb-,G, Bb-,G			'F-, ,D	g	dorian	d, g, Bb
P 7.	'D-,A	'G-,G	'D-,C	'D-, ,D	g	hypo-dorian	g, Bb, g

Only one of the seven fantasias known to be by Dowland exists in a major-third mode. As with the other aspects of Dowland's modal practice, the reasons for this have not been brought to light. One might guess that his inclination toward a melancholy humor attracted him to the sad minor-third modes. However, this theory might be invalid in view of the fact that much of his other music is written in major-third modes. Poulton, Ward, Fellows, and

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11. The system of written pitch notation used in the text of this thesis uses commas and apostrophes placed before capitalized pitch names to indicate octave register. Where 'C equals middle C, the notes 'D-'E-'F-'G-'A-'B equal the scale above, followed by the registers ''C, '''C, etc. Registers below 'C are indicated by commas placed before the pitch name: ,C is one octave below 'C, ,,C two octaves below, and so forth. Barry S. Brook, Notating Music with Ordinary Typewriter Characters; A Plaine and Easie Code System for Musicke (Flushing, NY.: Queens College, 1964), 5.

other scholars concerned with Dowland's music have not dealt with it from a modal perspective, and so no reasons for Dowland's modal behavior have been given. Perhaps he looked at his fantasias as a personal genre for self expression. A glance at the other lute music reveals that most of it was written for other people, such as patrons, or the nobility by whom he was employed. He might also have had to write pieces for their friends, and for special occasions. In these settings, he would have composed the pieces for the people or the occasions.<sup>12</sup> Typical names include, "Mrs. Vaux's Galliard," "Mrs. Brigade Fleetwood's Pavan," and "The Earl of Essex' Galliard." When Dowland writes a piece for himself, titles like, "Semper Dowland, Semper Dolens," "Melancholy Galliard," and "Lachrimae" appear. Invariably, these sad titles come with minor-third modes. He wrote no fantasias for other people; those with titles, other than the indications of the type of piece, also connote unhappy thoughts. The fantasias with titles include the "Forlorn Hope Fantasia" and the two works entitled, "Farewell." Hence, the melancholy titles, in conjunction with the use of the sad, minor-third modes, would seem to indicate that the fantasias, along with other introspective lute solos, were

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12. For information on the people whose names appear in the titles of the lute solos, see Poulton, "Biographical Information," in her edition of Dowland, The Collected Lute Music of John Dowland, op. cit., xiii-xv.

written as means of self expression. This behavior would account for the majority of the works under consideration being written in minor-third modes.

### The Form of the Fantasia

Although the sixteenth-century fantasia was inherently free from formal restrictions, Dowland created his own form for this genre. In fact, six of the seven pieces attributed to him exhibit a single structural archetype. Three elements govern this formal construction: texture, motivic development, and modal usage. Dowland begins his fantasias with a sparse texture consisting of one or two voices, using long durations. As other voices enter, imitating the point, the previous voices engage in faster articulations. After all the voices have entered, a new section develops, with variations in the number of voices, and in the rhythmic pace. The content of this new section can vary greatly; any combination of new imitative areas, rapid scalar passages, or free counterpoint can occur. As the work approaches its finale, a marked decrease in the number of voices signals the beginning of rapid scale passages, changes in meter and other virtuoso displays. The piece is consummated with rapid parallel sixths, thirds, or arpeggios which establish the final tonality and outline the appropriate species to reestablish the mode.

The textural influences on the form are complimented by two main kinds of motivic development. In the first type, here called "motivic transformation," each recurrence of a given motive undergoes slight modifications until the final appearance of the idea bears little resemblance to the original. Irving Godt has revealed this kind of transformation in the works of Josquin, and in Palestrina's Missa Papae Marcelli. Among the fantasias, P. 5 best exemplifies this kind of development and will be discussed in Chapter IV.<sup>13</sup> The second type of motivic development, here called "motivic repetition," is reminiscent of Milano's technique. Dowland and Milano both extract a simple idea, often as small as a single interval, from the point and repeat it in different contexts throughout a work. The former uses this technique in his P. 1 and P. 6; this technique will be discussed in Chapters III, and IV, respectively.

While the textures of the fantasias change frequently, and the motives evolve into new ideas, the modality of a given work remains constant. True to Morley's definition, Dowland never strays out of the established mode.

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13. Irving Godt, "Motivic Integration in the Motets of Josquin," Journal of Music Theory, XXI/1 (Spring, 1981), 264-93; "A New Look at Palestrina's Missa Papae Marcelli," College Music Symposium, XXIII/2 (Fall, 1983), 22-49.



"And this kind will bear any allowances whatsoever tolerable in other music except changing the air and leaving the key, which in Fantasie may never be suffered."<sup>14</sup>

However, to add variety, Dowland writes cadences on other notes within the mode in the middle area of a work, although the beginning and end of a piece firmly establish the mode.

Having discussed the formal characteristics of the fantasias, the focus will shift to a more detailed look at each type of fantasia. The works under consideration will be analyzed in groups analogous to Zarlino's division of the twelve modes in Le Istitutione Harmoniche, III. The one fantasia in a major-third mode will be discussed in the next chapter, the fantasias with minor-third modes in Chapter IV, and the chromatic works will be covered in Chapter V as a separate group because of their unique features.

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14. Morley/Harmon, op. cit.,

## Chapter III

## DOWLAND'S ONLY MAJOR THIRD MODE FANTASIA

While a general description of the form of the fantasia was presented in Chapter II, it has yet to be illustrated in the analysis of the music. P. 1 is the only fantasia in a major-third mode known to be by Dowland, and so merits a chapter of its own. Dowland proves to be a composer worthy of study, able to balance the elements of texture, counterpoint, and motivic development to create an interesting, unified form. The point of P. 1 is unique, exhibiting a separate contour and imitative format. Moreover, the mood of the work, unlike those of the other fantasias, is much more lighthearted, with none of Dowland's usual melancholy.

The form of this work is articulated by cadences separating changes in counterpoint: either new points of imitation or other new textures, such as rapid scalar passages against slower voices. Figure 1 outlines the form of P. 1.

Figure 1. Formal Chart for P. 1

## Section I

- mm. 1-10. Initial point of imitation, original point imitated at the octave in cantus, tenor, and bassus. Authentic cadence on G.
- mm. 11-18. Rhythmically displaced point introduced in

tenor, imitated in bassus. Both disappear into counterpoint. Introduction of ascending-fourth idea (mm. 15-16). Authentic cadence on G.

- mm. 18-28. Imitation of ascending-fourth motive in cantus, tenor, and bassus. Transitional figure derived from point (m. 29-30). Authentic cadence on G.

## Section II

- mm. 28-40. New imitative figure begins in bassus, ends with ascending fourth figure in cantus. Transitional material followed by Authentic cadence on G.
- mm. 40-52. Development of three-note anacrusis motive. Two authentic cadences on A, weakened by delayed resolution of leading tone in cantus (mm. 45, 52).
- mm. 53-64. Development of sequential thirds motive derived from point. Imitation between altus/tenor and cantus.
- mm. 65-74. Transition: rapid scalar movement over a slower bassus. Thirty-second-note embellishment ushers in authentic cadence on G.

## Section III

- mm. 75-79. Development of sequential thirds motive using syncopated figure.
- mm. 80-85. Finale: change to 12/8 time, rapid movement in both bassus and cantus.
- mm. 84-91. Finale continued: Cantus outlines descending ionian diapente over rapid bass line.
- mm. 91-95. Cantus and bassus in parallel thirds with entrance of a alto/tenor voice; new voice in parallel thirds with bassus. Plagal cadence ends work.

Dowland systematically develops three motives in this work; in the opening measures, only the motives using the scalar fourth are manipulated. The next developmental section incorporates the anacrusis motive, and the last

developmental section uses the sequential thirds from the point. Unlike his songs or other lute music, P. 1 exhibits a great deal of imitation; almost all of the non transitional sections contain some sort of imitation.

### Counterpoint

The counterpoint in this work does not deviate to any great degree from the standard contrapuntal practice of this time, but counterpoint on the lute exhibits some unique features because of the nature of the medium. While the upper two voices remain strictly within the ranges predetermined by the mode, the bassus covers two octaves. In this particular work, the point is initially imitated at the octave rather than at the fifth, and yet the voices, with the exception of the bassus, each stay in their assigned ranges. Although the parts of a lute fantasia are not limited by range like those of a choir. Other constraints, such as the idiomatic character of the instrument and the limitations of the performer, come into play. The descending point takes the cantus voice into the upper range of the altus, the proper location of the next entrance. Moreover, the penultimate note of the point requires the point to cross over to the second string, which would conflict with a 'G entrance in the altus (m. 4). Dowland avoids these problems by

bringing in the first imitation of the point with the tenor on 'D'. The ranges of the tenor and bassus do not require these two voices to share a string like the altus and cantus, so the bassus entrance can also be brought in at the octave.

In Dowland's fantasias, as in other polyphonic works, the counterpoint plays an important part in highlighting the sectional divisions of a work. In P. 1, the point begins without the accompaniment of other voices, thus highlighting this important melodic strand, from which the composer subsequently derives new material. The point is then imitated; repetition indicates relative importance. Imitations of the point occur at the octave and the fifteenth in tenor and bassus with little deviation from the original, ending with an authentic cadence, delineating the end of the first subsection (mm. 5-10). A new, rhythmically displaced treatment of the first point begins in the tenor, imitated at the fifth. The point then disappears, and the section continues with free counterpoint (mm. 11-17). The number of voices increases with each entry of the point until all four voices are in effect, but, after the second cadence, a new imitative section begins and the number of voices is reduced to two (m. 18). This process occurs again and again with the introduction of each new section. The number of parts is

reduced to herald the entrance of a new section. As the new section progresses, more voices reenter the texture to heighten the tension of the piece. Hence, each section acts as an individual piece in itself, with its own beginning, textural changes, climax, and ending.

Another aspect of the counterpoint in P. 1 is the consistent use of certain melodic formulas throughout the whole fantasia. These consist of different types of dissonances, their preparations, and resolutions. The most common type of dissonance is the passing tone, which is seen exclusively in passages of eighth and sixteenth notes. These dissonances can most easily be found in the scalar passages of this fantasia (mm. 65-74; mm. 85-90), but they can also appear anywhere in the counterpoint where scalar movement against other slower voices can be observed. Of course, the passing tones occurring on weak beats or parts thereof greatly outnumber those occurring on strong beats or strong fractions thereof, but Dowland does use the latter on occasion. In mm. 24-25, two are used in sequence, as illustrated in Example 3. Although these notes fall on the second of a pair of eighth notes, they are accented by virtue of their position as the first note of a sixteenth-note couplet. Lutenists of this era would play both the eighth note and the first sixteenth note with the thumb or

middle finger, because of their metric stress.<sup>1</sup> Hence, the strength of these notes comes by way of articulation.

Example 3. Accented-passing tones in P. 1 (mm. 24-25).



Another common dissonance, the neighboring tone, is also mostly confined to eighth- and sixteenth-note durations. As with other music of this period, the lower neighboring tone is more commonly used than is the upper neighboring tone. However, P. 1 does contain one example of an upper-neighboring tone, appearing in the 12/8 section of the work. However, this is a questionable occurrence: the 'G at the beginning of the measure does move up to an 'A and back, but the bassus moves from an ,E to an ,F before the cantus resolves, dampening the effect of the dissonance (m. 83, see Example 4).

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1. Remember that the thumb and middle finger played metrically strong beats, or fractions of a beat, see Chapter I, p. 15.

Example 4. P. 1, m. 83, Upper-neighboring tone.



Of all the dissonances found in this literature, the suspension is unique in that it is by nature an accented dissonance. Moreover, the embellishments that often follow it prolong its effect. Suspensions in P. 1 are usually found embellishing the approach to a cadence. Ironically, the type of suspension least used by Dowland is the one utilizing the regular resolution. Of the six types of suspension illustrated in Example 5, the repeated suspension gets the most use in P. 1. This type of suspension is decorated by a rearticulation of the dissonance, before the resolution. A possible reason for the abundance of these suspensions lies in the rapid decay of sound on the lute, necessitating a rearticulation of the suspension so that the discord can be heard. The example quoted above exhibits a string of repeated suspensions linked in sequence. The next most common suspension consists of a repeated dissonance



with two beats of decoration following. Acting as embellishment before a cadence, the first four sixteenth notes outline the suspended tone, the repetition, portamento, a lower neighbor, and the resolution. On the next beat, the resolution is seen as a leading tone, decorated by an upper neighbor, and a lower neighbor. The resolution of the suspension (leading tone) moves to the "root" of the cadential triad. The portamento suspension, in contrast to the repeated dissonance, is decorated by means of an anticipation of the resolution. This suspension is used only twice in P. 1. In the point of P. 1, another type of decorated resolution appears: the upward resolution. after an upward movement to the fifth above the bass, the melody then skips down to the third. This type of suspension only occurs twice in P. 1.

The last type of suspension to be discussed contains a type of dissonant preparation, called a "consonant fourth."<sup>2</sup> This type of preparation is relatively frequent, in the context of unusual suspensions. In a consonant fourth preparation, the bassus remains on the same pitch (or leaps to an octave) as a voice above it moves by step to a fourth. The bassus is then sustained or rearticulated as the fourth becomes a suspension, as revealed by the

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2. H. K. Andrews, An Introduction to the Technique of Palestrina (London: Novello, 1958), 122-28.

subsequent resolution. The first example involves a dissonant portamento, which precedes the suspension (mm. 27-28). Above a ,D bassus, the eighth-note 'G portamento is rearticulated with a quarter note, which is tied across the bar to the sixteenth-note suspension. The quarter-note 'G acts as the consonant-fourth preparation. Later on in the piece, two identical examples appear on the penultimate chords of cadences on A (mm. 44, 51). Above the ,E bassus, the 'G-sharp in the cantus moves to 'A, creating the consonant fourth. The ,E is rearticulated; the 'A is tied over to create the suspension, which resolves to the 'G-sharp leading tone.

Example 5. Types of Suspensions in P. 1.

- a. Suspension with regular resolution (mm. 13-14).



b. Suspension with repeated dissonance (m. 44).



c. Suspension with simple portamento resolution, followed by repeated suspension with decorated portamento (mm. 16-17).



d. Suspension with indirect resolution (m. 30).



e. mm. 27-28, consonant fourth preparation.



f. m. 44, consonant fourth preparation (identical to m. 51).



The portamento, a melodic pattern which can occur as a dissonance or consonance, was briefly mentioned in the above discussion of suspensions. However, the portamento can also occur independent of suspensions, as shown in Example 6. A consonant example occurs at the beginning of P. 1 (m. 8). Above a ,C bassus, an eighth-note ,A moves down to a ,G, in the tenor; both notes are imperfect concords to the bassus. The only other independent portamento involves a cantus 'A moving to a 'G, in eighth notes, above a bassus ,,D. In this case a perfect concord moves to a

dissonant fourth, which anticipates the consonant-fourth preparation of the following suspension (m. 27, see example 5-f).

Example 6. Portamenti Without Suspensions.

a. m. 8, consonant portamento.



### Motivic Development

In addition to changes in texture and the number of voices, some sections are united by their use of common motives. Perhaps the most important feature of P. 1 is this motivic development that occurs throughout the piece. The type of development used in this work is called motivic repetition, and is reminiscent of Milano's technique. A motivic idea is stated in the point, or early in the piece, and is repeated and embellished. As the work progresses, three motives become prominent. The most obvious is a series of descending thirds, derived from the point (motive

"A"). Another important though less apparent motive appears in m. 15, in the spinning out of the second point of imitation, preceding the second major cadence (m. 18). This new idea consists of a scalar fourth, either ascending or descending, that appears on the weak part of a measure or beat (motive "B"). A third motive, a three-note anacrusis figure and a descending triad, is derived from melodic material in the tenor; this will be illustrated in the discussion of m. 8, motive "C". In all three developments, the initial idea is easily traceable throughout the work.

At the beginning of the work, the point partially hides motive "A." Each measure of the point outlines a third in a different way. In the first bar, the third is formed by descending and ascending skips; bar two contains a descending, stepwise third, while bar three exhibits an ascending leap, which is filled in by an descending stepwise line. The last bar of the point contains a suspension whose resolution is delayed by an escape tone, thus giving separation and emphasis to that third. Metric and agogic accents highlight and separate each interval of a third. Motive "A" provides material for a large area of the work beginning in m. 54. In these passages, Dowland continually displaces the resolution of the leading tone, thus

highlighting the final skip of the descending third idea. At first, the motive is essayed in an unembellished form with simple eighth notes. As this section progresses, faster articulations add passing tones to the motive, and then the first half of the section ends with scalar sixteenth notes (mm. 55-74). The following measures exhibit the motive with more syncopated rhythms, leading up to a meter change to 12/8 time (mm. 75-79). Thus, while the sequential descending part of the motive remains constant, other aspects of this idea, such as the rhythm, change as the idea reappears throughout the work (see Example 7).

Example 7. Development of Motive "A," Thirds Motive.

a. m. 1, point.



b. mm. 53-56, initial development of motive.



c. mm. 58-63, motive "A," embellished.





d. mm. 75-77, motive "A", with syncopation.



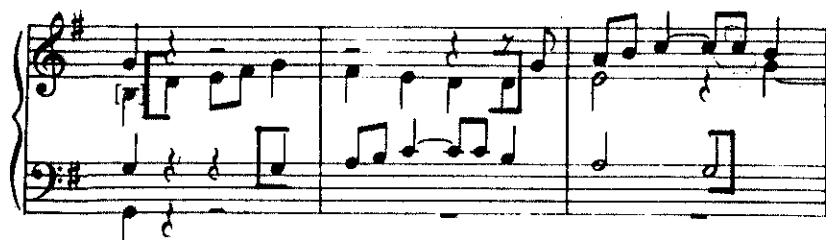
Another important motive, motive "B," also acts to indicate modal transposition. Like the descending third idea motive "B" remains hidden until later in the fantasia. The idea usually begins on a metrically weak beat and can appear either ascending or descending. Immediately after its initial presentation, a short development of the idea begins, as ascending versions of this motive imitate each other in the upper three voices for five bars (mm. 18-22). The last individual appearance of motive "B" comes in descending form as a series of suspensions whose resolutions finally end in a cadence on the final tone (34-35, see Example 8).

Example 8. Development of Motive "B".

a. mm. 15-16, Initial statement of motive "B".



b. mm. 18-20, Development of motive "B" in imitation.



c. mm. 34-35, extension of motive "B".



A third motive, a small three-note anacrusis figure followed by two other notes, also provides opportunity for development. The third note of the anacrusis, and the last two notes of the idea often form a triad, that proves to be an important component in the manipulation of this idea. Appearing early in the work, this small, inner part of the countersubject, almost passes unnoticed until it reappears in the development. A short area of free counterpoint separates the two short developments of this motive. In the second area, different triads echo each other in the cantus and bassus. The motive in the cantus presents its characteristic triad and the bassus responds with a G major triad, which is imitated in the cantus and the bassus finishes with a responding C major arpeggiation before both voices end the section with busy counterpoint. It is important to note that in the developments of all of the above motives, Dowland always keeps one aspect of a given idea constant, while changing the others. In the sequential thirds idea, for example, the intervallic and pitch relationships remain the same, but the motive is reduced to its basic form, then embellished, then stripped of its decoration at its final appearance (see Example 9).

Example 9. Development of Motive "C".

a. m. 8, Initial appearance of motive "C".



b. mm 41-42, Second appearance of motive "C".



c. mm. 45-47, Motive "C" with triads in imitation.



Moreover, the rhythm changes each time the motive is reintroduced. Finally, Dowland arranges the motives in an order that further unifies the work. Motives "B" and "C" are unlikely candidates for development, considering their introduction after the initial statement of the point. However, they are developed first, and their origins are shrouded in the counterpoint. The more obvious candidate for development, motive "A," is saved for last, immediately preceding the finale. Hence, the idea presented in the point rounds out the form of the piece.

#### Modality in P. 1

The mode of P. 1 is the most consistent factor of large form. While the rhythms, number of voices and motivic material change, the modality remains the same throughout the piece. P. 1, the only fantasia in a major-third mode, is clearly in the ionian. Very few F naturals can be found; those that do appear can be explained as upper neighbors or descending passing tones. Like other examples of polyphony from this time, the modality in these works is maintained by the repetition of the species of diapente and diatessaron throughout the work. Moreover, the voices remain, for the most part, in the ranges established for them by the mode.

However, while the mode, or the intervallic relationships remain constant, other aspects of the tonality of the piece provide variety. First, Dowland uses a variety of cadence levels. In the beginning of P. 1, the closures are consistently on g, the final of the mode, but close to the half-way mark of the piece, two weaker cadences on A can be found (mm. 45, 52). Although m. 45 does not assume the importance of a major cadence, there is a definite movement from E to A in the bassus, from a weak beat to a strong beat. Moreover, the g-sharp leading tone in the cantus, followed by the repeated A's, and the half-note bassus indicate that this movement constitutes a cadence, albeit weakened by the delayed leading-tone resolution in the cantus. The cadence on A in m. 52 is stronger, in spite of the same delayed leading-tone resolution. Another way that tonal variety is accomplished is through the transposition of the mode within the piece. A glance at the cantus of this piece will reveal several leaps or stepwise movements of a fourth from g to c; one measure of the bassus also exhibits this interval (mm. 15-17; 20; 34-35; bassus, m. 19). At first, the relationship of g and c may not seem to be significant; after all, many fourths can be found in examples from this period. What makes this particular interval important is its repetition, and

reiteration of a fourth or fifth often indicates the emphasis of important modal degrees. One may argue that the harmony of the other voices does not support this new emphasis, but it must be remembered that modality is a theory of melodic intervals, not harmonic ones.<sup>3</sup> It is obvious that the piece at this point has not completely changed to a new mode on C; this would not be in accordance with Morley's rule that fantasias never leave their mode. However, Dowland is using these repercussions of g and c to give this section of cantus and one measure of the bassus (mm. 19-20), an emphasis on C ionian. Hence, he does not leave the mode at this point, but temporarily shifts the emphasis to C.

#### Contrapuntal Tension on the Lute

In other polyphony, especially that written for voices or consort, tension is achieved not only by an increase in the number of voices, but also by the introduction of increasingly rapid rhythmic values. On the lute, this combination is impossible, due to the limitations of even the most proficient player. Either the number of voices can be increased, with the use of slower durations, or faster articulations can be used, but with fewer voices.

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3. Leo Treitler, "Tone System in the Secular Works of Guillaume Dufay," Journal of the American Musicological Society, XVIII, 2, 131-69.

At most, only two rapidly moving voices, with a slower third voice can be negotiated simultaneously on the lute. Two possible solutions can be applied to this problem. One can divide the faster articulations between two or three voices; each part takes its share of slow and fast segments.

Example 10 exhibits this solution.

Example 10. P. 1, mm. 31-33, movement of fast passages from one voice to another.



An interesting solution to the problem of increasing the contrapuntal tension with a limited number of voices occurs when the meter changes to 12/8 time. In this passage, the rhythmic values consist of eighth and quarter notes, and the compound rhythm is exclusively made up of eighth notes. In order to keep the passage within the limitations of player and instrument, the faster notes are switched from one voice to the other. This situation is similar to the first solution, where the parts share in the variety of rhythms; but it must be noticed that the rhythmic exchanges between



the voices occur more frequently in this example than in the previous one, thereby heightening the contrapuntal tension (example 11).

Example 11. P. 1, mm. 81-82, 12/8 texture.



The second solution entails a reduction in the number of voices, accompanied by a marked increase in the number of articulations in one part, while the other part maintains a slower pace. The following two passages, cited in Example 12, illustrate this practice.

Example 12. Scalar Passages.

a. mm. 66-67.



b. mm. 85-86.



Although counterpoint on the lute poses many unique problems, composers still use it to great effect, taxing the skill of the performer to a great extent. Dowland bends the limitations of the instrument to his advantage, creating virtuoso passages that more than make up for the thin textures he is often forced to use.

While P. 1 contains some unique features, including its major modality, it shares many traits with the other six fantasias by Dowland. One major area of commonality concerns the overall structure of this work. Counterpoint, modality, and motivic development all contribute to the formal construction of these works. In order to highlight the unique features of each category of fantasia, and avoid duplicate commentary, any recurrences of the aforementioned features found in the other pieces to be studied will be mentioned only briefly, and references will be made to this chapter.

## Chapter IV

## FANTASIAS IN MINOR-THIRD MODES

Of the seven fantasias written by Dowland, four are written in minor-third modes. In Poulton's edition, these works are numbered P. 4 through P. 7. The term "minor-third mode," in this discussion, denotes those modes containing a minor-third above the final, i.e. Dorian, Aeolian, and Phrygian, and the plagal forms thereof. Dowland's two chromatic works, also in minor-third modes, differ too much from these works and will be covered in the next chapter. While three of these works share the formal archetype established in the last chapter by the study of P. 1, P. 4 is unique in some aspects, particularly because of its cantus firmus. Formal Charts for the works to be studied follow.

Figure 2. Formal Charts for P. 4 through P. 7.

P. 4, "Farewell" (An "In Nomine")  
cantus firmus: "Gloria Tibi Trinitas"

- mm. 1-9. Initial point of imitation, below cantus firmus. Entries in altus (,G), tenor (,D), bassus (,,G). Clausula vera cadence on D, in bassus and tenor.
- mm. 9-14. Second Point of imitation. Altus continues a descending scalar figure started by bassus before previous cadence. Bassus imitates; altus begins new figure derived from original point. Authentic cadence on D.
- mm. 15-22. Third point of imitation. Tenor imitates alto; voices composed of ascending and descending seconds in sequence. Independent bassus line enters.

- mm. 22-33. Fourth point of imitation. Altus imitates bassus at the fifth with ascending scalar line. Free counterpoint ensues.
- mm. 33-36. Fifth point of imitation. Bassus imitates altus: ascending scalar fragments. Imitation gives way to free counterpoint.
- mm. 37-38. Bassus and altus in parallel thirds, below cantus firmus, prolonging F triad, then G triad.
- m. 39. Short return to texture of mm. 33-36.
- mm. 40-45. Finale: change to 12/8 meter. Complex rhythms in all three voices. Cantus firmus is moved between altus and cantus. Texture changes: points of imitation are replaced by free counterpoint involving two-against-three rhythmic relationships, and more syncopation.
- mm. 46-56. Finale continued. Sixteenth notes appear as texture becomes thinner. Cantus ends in altus voice. Authentic cadence on D.

#### P. 5 "A Fancy"

##### Section I

- mm. 1-6. First point of imitation. Point starts in cantus ('D), imitated in tenor/altus ('D), over a ,,D pedal in bassus. Bassus enters with point (,D). Authentic cadence on D.

##### Section II

- mm. 7-12. Second point of imitation. Presentation of new ascending fifth figure in cantus. Imitated by tenor at octave (,D) bassus at fifteenth (,,D). Upper two parts continue in eighth, dotted eighth, and sixteenth notes over half and quarter notes in bassus. Authentic cadence on D.
- mm. 12-15. Sixteenth note quadruplets, beginning on weak fraction of beat, outline ascending and descending fourths in imitation in altus and cantus. Both voices end on leading tones resolving to 'B-flat (cantus), and ,G (tenor).
- mm. 16-18. Transition. Dotted eighth-sixteenth note figures (bassus) against eighth notes (cantus).

- mm. 18-20. Eighth-note bassus against sixteenth-note cantus. Common contrapuntal progression in the transitions of Dowland's fantasias.
- mm. 21-25. Syncopated cantus against dotted eighth-sixteenth note bassus culminates in B-flat authentic cadence immediately followed by authentic cadence on G.

### Section III

- mm. 26-27. Finale. Change to 12/8 time: series of scalar descending fourths in cantus in eighth and sixteenth notes, with eighth and quarter notes in bassus. Cadence on D.
- mm. 28-31. Return to 4/4 time. Series of sequential sixteenth-note figures in cantus; over a quarter-note "Romanesca" bassus. Authentic B-flat cadence interrupts sequence (m. 30).
- mm. 32-35. Elided cadence on G (mm. 32-33). Return of agogically weak sixteenth-note quadruplets. This motive then augmented to eighth notes over ,,G and ,,D pedals in parallel sixths and thirds. D cadence ends piece.

## P. 6 "A Fancy"

### Section I

- mm. 1-8. First point of imitation. Cantus begins on 'D, imitated by altus (,G), and bassus ('D). After altus entrance, cantus begins scalar sixteenth-note passage. Authentic cadence on D.
- mm. 9-15. Sequential ascending thirds in cantus give way to dotted eighth-two thirty second note figures and an authentic cadence on G.

### Section II

- mm. 15-21. Descending parallel thirds in cantus and altus outline 'D to 'D octave; scalar passages follow. Authentic cadence on D. Cadence extended to m. 20.
- mm. 21-27. Scalar sixteenth notes, intermixed with quarter notes, and eighth-note leaps of a sixth climb to

'D. Melody descends to ,G, before a cadence on G.

### Section III

- mm. 28-35. Abrupt change in texture to an altus in half notes over a bassus of eighth, dotted eighth, and sixteenth notes.
- mm. 36-41 Both voices now in eighth notes for one measure as the melodic thirds are set in imitation. Both voices continue in imitation with staggered dotted eighth-sixteenth note figures. Section ends with cadence in B-flat.

### Section IV

- mm. 41-47. Ascending scalar sixteenth notes lead to a cadence on G, with the final chord prolonged throughout the last two measures.

## P. 7 "A Fancy"

### Section I

- mm. 1-5. Initial point of imitation. Point begins on second half of first beat on ,D, under a 'D pedal. Cantus and altus imitate on 'D and ,G respectively. Cadence on G.
- mm. 5-12. Free counterpoint in two, then three voices. Tonality shifts from G to D, and back. Cadence on G.
- mm. 12-16. Transition: scalar sixteenth notes over quarter and eighth notes. Cadence on G.

### Section II

- mm. 16-19. Bassus imitates ascending fourth begun by cantus; imitation gives way to free counterpoint.
- mm. 20-23. A sixteenth-note scalar bassus under a half and quarter-note altus gives feeling of B-flat tonality, with a pause on B-flat, followed by a return to the final, G.
- mm. 23-28. Continuation of counterpoint of mm. 16-19, but

with more voices in use. Many ascending and descending scalar fourths. Cadence on B-flat.


- mm. 28-31. Appearance of B-flat transition passage similar to that of P. 5, mm.18-20.
- mm. 31-36. More free counterpoint. A texture of eighths and sixteenths in all three voices gives way to half notes in the bassus, and eighth or quarter notes tied to sixteenth quadruplets in the upper two voices. Altus imitates cantus. Cadence on G. Three quarter-note 'B-flats in cantus act as transition.

### Section III

- mm. 36-41. Free counterpoint. Descending sequence in cantus and bassus. Ascending skip of a third in eighth notes tied to descending scalar fourths in sixteenth notes. Lower neighbor pattern with descending fourth skip in bassus sequence.
- mm. 41-48. Three measures of sixteenths against quarter notes (41-43). Rhythms inverted. Two measures of counterpoint; voices in sequential parallel thirds.
- mm. 48-58. Transition: extended scalar section. Sixteenth note cantus against quarter and half-note bassus.
- mm. 58-60. Free counterpoint. Harmony similar to mm. 28-30.
- mm. 61-66. Change to 12/8 meter. Eighth note bassus and altus in parallel sixths. Cantus in dotted quarter notes outlines G dorian diapente. Parallel sixths interrupted by repeated figure and plagal cadence on G. Return to 4/4 meter.

### Section IV

- mm. 67-75. Finale: More parallel sixths in sixteenth notes in cantus and altus give way to scalar sixteenth notes in cantus which outline tuba, then final, with scales and arpeggios. Authentic cadence on G prolonged through last three measures.

Unlike P. 1, where the form is delineated exclusively by cadences, other factors contribute to the articulation of structure in the minor-third-mode fantasias. In P. 4, for example, all of the sections up to the finale begin with points of imitation, and then continue with free counterpoint, but no cadences separate these areas. Indeed, certain bassus notes may skip down a fifth, but no pauses divide the piece into individual subsections. In the other minor-third-mode works, major sections can be lengthy; section II of P. 5, for example, lasts twenty-one measures (mm. 6-26). Often, subsections are only separated by changes in texture, and at best, short, elided cadences separate them, while in P. 1 these smaller areas are clearly divided by cadences. Again, in section II of P. 5, we see a definite change in rhythm: eighth notes, and  patterns give way to sixteenth notes (mm. 10-15). The only separator of the two textures can, at best, be described as an elided cadence (m. 12). Although the bassus movement is correct (.,G-,A-,.,D), and a leading tone moves to the final, the rhythm in the cantus and altus does not slow down enough to create a definitive cadence. The same is true of P. 6 and P. 7; the voices outline cadential patterns, but little change in the pace occurs (see P. 6, mm. 8, 14, 20; P. 7, mm. 5, 7, 28, 60). Hence, subsections are divided by



changes in texture, or at best, short elided cadences; strong cadences are reserved for major sections. Often, textural change is the only indicator of a new subsection; P. 4 is the only fantasia of this group that begins each new subsection with a point of imitation, while the others employ this technique less frequently. Only half of the subsections in P. 5 begin with imitation; in P. 6 and P. 7, only the beginning and short passages within each work contain any imitation. Otherwise, changes in texture are accomplished by variations in free counterpoint or scalar lines, with slower accompaniments in other voices.

#### Initial Points of Imitation

Like P. 1, each of these four works begins with a point that establishes modality and provides material for motivic development. While each of the points has an individual melodic contour, they all share common characteristics. Three of the four points begin on the tuba of the mode. P. 5 and P. 6 begin on the same position on the lute, the seventh fret of the first, or highest string; in the G dorian mode, this fret represents the tuba or fifth degree above the final. P. 1 also exhibits this descent from the seventh fret; thus three out of Dowland's seven fantasias have this feature. This position on the lute, in

the middle range of the fingerboard allows a descent or ascent to the other important modal degree. In contrast, the points of P. 4 and P. 7 each exhibit an ascent to the next important modal degree. The point of P. 4 begins on ,G underneath the cantus firmus and ascends by skip to the tuba, while the point of P. 7 begins on the tuba, (D) and ascends by scalar fourth to the final. All four of the points are illustrated below.

Example 13. Points for P. 4 through P. 7.

a. P. 4



b. P. 5



## c. P. 6



## d. P. 7



The points of P. 4 and P. 7 are written below another voice composed of slower moving half notes. In P. 4 the half-note 'D in the first bar represents the beginning of the cantus firmus, while the same note above the point in P. 7 acts as a pedal until the imitation occurs in that same voice. In both cases, 'D is on an open string, allowing the player to give most of his attention to fretting the point.

While some degree of consistency exists in the composition of the points, these four fantasias show two different styles of imitation. P. 4 and P. 6 imitate at the fifth and fourth. In P. 4 the cantus firmus begins in the

highest voice, on 'D in the hypodorian mode. The first presentation of the point then begins in the altus, on ,G in the authentic dorian mode, followed by imitations in the tenor and bassus, on ,D hypodorian and ,,G dorian, respectively. P. 6 begins in much the same way, but without a cantus firmus. Entrances of the point begin on ''D hypodorian, 'G dorian, and 'D hypodorian, in the cantus, altus, and tenor. Presentation of the point and subsequent imitations occur only in the higher three of the four voices; the bassus imitation is omitted.

On the other hand, P. 5 and P. 7 depart from the standard Renaissance modal of imitation with their imitations at the octave and fourth. P. 5, like P. 1 begins its imitation of the point by an entrance at the octave. The first entrance of the point begins on ''D, in the cantus, with the tenor entering on 'D; but the bassus then enters on ,G, immediately repeating the point in sequence. If the altus would have imitated the cantus on 'G, this would have been a more normal point of imitation.

Figure 3. Order of Imitative

Entries in the Minor-Mode Fantasias				
	<u>P. 4</u>	<u>P. 6</u>	<u>P. 5</u>	<u>P. 7</u>
Cantus	'D(c.f.)	'D	'D	,D
Altus	,G	'G	x	,G
Tenor	,D	x	'D	x
Bassus	,,G	'D	,G	,D

P. 7 begins in much the same way; three entrances begin the work, with the first imitation occurring at the octave, and the second at the fifth. Again, as in P. 1, the nature of the lute and the contour of the point affect the imitative configuration. In P. 5, the second part must imitate at the octave to avoid having two parts on the same string, thereby blurring the independence of the voices. Like P. 1, the second part is placed in the tenor range, instead of the altus for the same reason. The shape of the point (its descent into the alto range) and the corresponding need to cross over to the next string necessitate imitation at the octave. In P. 7 the same factors work to create the same situation, but Dowland arranges the counterpoint differently. Instead of ordering the entrances of the parts by range, as in P. 5 (cantus, tenor, bassus), he starts with the bassus, imitates at the octave with the cantus, and

finally brings the altus in at the fifth, its proper position. By arranging the voices in this manner, he works around the inherent problems of his instrument and allows a more orthodox sequence of imitation. The characteristics of the lute require creative solutions when balancing the requirements of Renaissance counterpoint with its idiosyncrasies. P. 1, P. 5, and P. 6, each begin with points that outline the descending diapente; yet Dowland is able to vary the imitative scheme in each of these three works, in spite of the limits of his instrument.

### Counterpoint

Apart from the ways the point is imitated, the counterpoint of the minor-third-mode fantasias does not deviate from the norms of this period. However, Dowland consistently uses devices to increase contrapuntal tension. The principle stated in Chapter III concerning the idiomatic characteristics of the lute apply here: either many voices may be used, with only one rapidly moving part, or fewer voices, with at most two parts in faster rhythms, may be in play.<sup>1</sup> In order to get around this limitation, and provide variety, he moves the rapid passages from one voice to another, often within the space of a single beat, as the 12/8 passage in P. 1 demonstrates. The 12/8 passage that

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1. See Chapter III, 61-63.

ends P. 4 is another example of this phenomenon. All three voices trade an abundance of different rhythms; this exchange allows the passage to work on the lute. Fast passages are limited to one voice at a time (see Example 14).

Example 14. Exchanges of Rapidly Moving Lines from One Voice to Another.

a. P. 4, mm. 40-41, Exchange in 12/8 time.



b. P. 5, mm. 21-22, in 4/4 time.



When one voice takes up a faster series of articulations, the previous rapidly moving voice slows down. As the piece draws to a close, the already rapid articulations increase their tempo, culminating in the series of sixteenth notes in m. 55. A similar type of exchange occurs in the 4/4 sections of the other works of this type.

P. 5 contains an example of this technique beginning in m. 21. The bassus in this excerpt is composed of dotted eighth and sixteenth notes. An analysis of the syncopated cantus reveals the same rhythm set on the weak part of the beat (mm. 21-24). The combination of these two voices yields a compound rhythm of successive sixteenth notes, but the actual sixteenth notes are traded on successive beats from one voice to another. The passage preceding mm. 21-24 consists of sixteenth notes against eighth notes; by contrasting these two sections, Dowland achieves a textural variety without changing the number of voices in use. P. 6 exhibits a similar example, beginning in m. 38.

Another way that tension is increased is by the use of simpler textures, such as two-against- or one-against-four passages. Dowland uses these passages to delay the arrival of expected cadences, through the use of virtuoso display, thus heightening tension. At the end of P. 7, for example, he adds ten measures of figuration to the piece,



after a strong plagal cadence. After three measures of parallel sixths, the work continues with two more measures of scalar passages, followed by one measure of contrapuntal material, two measures of rapid scales and arpeggiations, and finally the end. Thus, Dowland has created tension by increasing our expectation of the end of the piece, but delaying the end via the scalar passages. P. 5, P. 6, and P. 7 exhibit many of these passages. These areas consist of scalar or arpeggiated sixteenth-note passages accompanied by a counterpoint of eighth notes and quarter notes. Their function is to act as momentum to the next cadence, as well as transitions between two more important sections of counterpoint. In P. 5, the descending fourth acts as the most important unifying motive. The section in 12/8 ends on a half cadence which is then followed by one of these transitional passages made up of arpeggiated and scalar thirds in sequence against a Romanesca bassus of quarter notes (mm. 26-7; 28-32). A coda follows, outlining diminished and perfect fourths (see example 15).

Example 15. Scalar Passages.

- a. P. 5, mm. 28-29, transitional passage, with Romanesca bassus.



- b. P. 7, mm. 73-74, ending passage.




Often these rapid articulations precede the final cadence of a fantasia, confirming the original mode and tonality. Both P. 6 and P. 7 end with these passages, each beginning with scalar passages and ending with arpeggios outlining the final chord. Many more examples of these transitional passages can be cited in Dowland's fantasias, including P. 1. Twenty-one of the seventy-five measures in P. 7 contain these passages. Of particular interest are two similar

passages found in P. 5, and P. 7. In both works, these areas appear after elided B-flat cadences in the middle sections of each work (P. 5, mm. 18-20; P. 7, mm. 28-30). Dowland, like other composers of this time, is not immune to borrowing material from one piece for use in another. Each of these arpeggiated passages begins with a B-flat cadence and ends with a cadence on G, acting as transitional material between two important sections of counterpoint. The passage in P. 5 ends the first major section of the piece, while the similar passage in P. 7 merely links two contrasting subsections of counterpoint.

In the cases of P. 5, P. 6, and P. 7, these scalar sections are interspersed with areas of motivic development. Non motivic areas provide contrast and build contrapuntal tension through virtuoso display. These intermediary areas rarely contain any motivic development. P. 7, the one exception found in this group of fantasias will be discussed in the section on motives. Because few cadences provide resting points within these pieces, tension is created through an unbroken forward momentum. This is especially true in P. 4, where no break in the counterpoint occurs. Textural change between sections within the piece only contributes to the increase of tension to the end. Hence, the only repose comes at the final cadence.

### Dissonance

While the minor-third-mode fantasias use most of the same dissonances found in P. 1, many of those found to be uncommon in P. 1 are used more frequently in the minor-third-mode fantasias. A case in point is the use of the accented passing tone in P. 4, which is used five times in each statement of the point (mm. 1-6) and three more in a passage of free counterpoint (mm. 25-27). These accented passing tones operate in the same way as those found in P. 1. There they fell on the strong part of a weak half of a beat; in P. 4 they appear on the strong parts of weak beats. Another use of the accented passing tone occurs in P. 6, where a perfect fourth is formed between a ,G in the top voice and a ,D dotted-eighth note in the bassus on the fourth beat of the bar (m. 28). Again, the dissonance occurs on the strong part of a weak beat; but the length of the passing tone is extraordinary, sounding three times as long as the resolution. Earlier in P. 6, another type of passing dissonance not found in P. 1 occurs (m. 11). In the bassus, a half-note ,,B-flat on the third beat of the measure is set against a  'E-'D-'E. Obviously the most important tone is the 'E; the 'D only acts as a lower neighbor. P. 5 also contains an interesting use of an accented passing tone: an eighth-note 'C appears over a

half-note ,,D, at the beginning of the third beat (m. 6). It is significant because it falls on a strong beat of the measure. The ,,D acts as a pedal under a decorated final chord, ending a plagal cadence. Later, in the 12/8 section of P. 5, more passing tones can be found in the cantus voice appearing on the second beat of each triplet figure as the first of two sixteenth notes. Although this dissonance must still be considered uncommon, Dowland uses them quite often in the minor-third-mode fantasias; sometimes several of them will appear in sequence, like those in the beginning of P. 4, or the 12/8 section of P. 5. The quarter-note passing tone in P. 6 and the the passing tone occurring on a strong beat in P. 5 attest to the increased use of accented passing tones in the minor-third-mode fantasias. It must be noted that all of these instances of passing tones are accented metrically, not contrapuntally; hence, they are oblique.

Example 16. Accented Passing Tones in the Minor-Third-Mode Fantasias.

- a. P. 4, mm. 1-2, point, accented passing tones, initial point of imitation.



b. P. 6, m. 28, accented passing tone.




c. P. 6, m. 11, embellished quarter-note passing tone.



d. P. 5, m. 6, accented passing tone on strong beat.



Another uncommon dissonance found in P. 1 is the upper neighbor. Only two of these can be seen in the minor-third-mode fantasias. However, two similar examples appear towards the end of P. 4. Both of these examples occur above a , , G; a ' ' C moves from a ' B-flat and back. Moreover, this example illustrates an accented upper neighbor, occurring on the strong part of the second beat of an  figure in 12/8 time (mm. 53, 55). In P. 5 another more standard upper neighbor occurs at the final cadence of the work (m. 35). It occurs on the weaker of two sixteenth notes, decorating the final chord.

Example 17. Upper Neighboring Tones in the Minor-Third-Mode Fantasias.

a. P. 4, m. 53, accented upper neighbor.



b. P. 5, m. 35.





In the minor-third-mode fantasias, Dowland again favors the repeated suspension. As with P. 1, these outnumber every other type of suspension, including the simple suspension with its consequent resolution. The other types of suspension found in this group of works include the repeated suspension with sixteenth-note decoration, upward suspension, the suspension with delayed resolution, suspensions decorated with lower neighbors, and an unusual type of extended suspension. Most of these suspensions were found in Chapter III and illustrated there; however, four types of suspensions unique to the minor-third-mode works will be discussed here.

The suspension with a resolution decorated by a lower neighbor is, ironically, a common suspension in other works of this period; but none are found in P. 1, and only one in the minor-third-mode fantasias. This lone example is found in the opening measures of P. 5, decorating the first



statement of the point (m. 2). This example is important for two more reasons: it is an illustration of a suspension with a consonant fourth preparation, when seen in relation to the bassus ,D; and it contains the only example of an undecorated portamento in the minor-third-mode fantasias. Another uncommon suspension is found in P. 4, and must be considered a questionable case (mm. 33-34). It is unique not only because of its upward resolution, but also because of its unusually short preparation; a sixteenth note is tied to an eighth-note dissonance. The resolution makes the sonority more stable by creating a root-position triad, resolving the dissonant fourth to a third. The next case, found in P. 5, is an excellent illustration of an extended suspension, but of unusually small proportions (m. 24). In the cantus, the ,B-flat sixteenth-note preparation is tied to a sixteenth-note dissonance above an eighth-note ,F in the bassus. The bassus then skips down an octave to ,F, while the cantus ,B-flat is repeated with an eighth note before resolving to a sixteenth-note ,A, extending the suspension.

Two more examples of suspensions prepared by dissonances occur in P. 7 (mm. 7, 35). A  rhythm occurs above a sustained bassus; in each instance, the bassus and the eighth-note 'G in the cantus comprise a discord. The

bassus is then sustained or rearticulated through the resolution, the resulting configuration consisting of a suspension with a dissonant preparation and regular resolution. In the first instance, the eighth-note 'G is surrounded by two sixteenth-note 'F-sharps, while an ,A is articulated below by means of a  pattern (m. 7), resulting in a 7-6 suspension prepared by an interval of a seventh. The second instance illustrates a consonant-fourth preparation of a suspension. Below the 'F-sharp-'G-'F-sharp a half-note bassus , ,D sets up the unusual situation. While the consonant fourth is not unusual in the context of dissonant preparations, the seventh preparation is rarely found, especially in the late Renaissance.<sup>2</sup>

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2. H. K. Andrews, An Introduction to the Technique of Palestrina, (London: Novello, 1958), 122-28. While the consonant fourth preparation of suspensions seems to have been fairly common during Palestrina's time, other dissonant preparations, including that of the seventh, were rare in his mature work. "In considering these examples of dissonances and trying to discover some rational explanation of them, it must be born in mind that most of the more irregular forms are found in Palestrina's earlier works though they were generally the common practice of the preceding period." (p 126).

Example 18. Uncommon Suspensions in the Minor-Third-Mode Fantasias.

- a. P. 5, m. 2, suspension prepared with a consonant fourth, and decorated with a lower neighbor.



- b. P. 4, mm. 33-34, suspension with upward resolution.



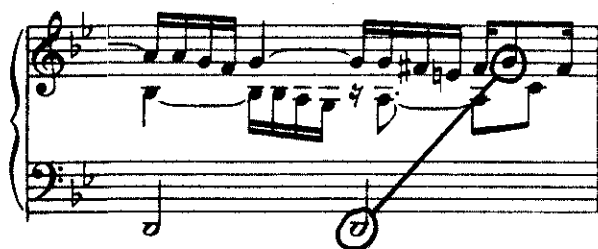
- c. P. 5, m. 24, suspension with delayed resolution.



d. P. 7, m. 7, seventh preparation of a suspension.



e. P. 7, m. 35, suspension with a consonant fourth preparation.



One of the more interesting examples of dissonance found in these works is the cross relation, the close association of a note in one voice and its chromatic alteration in another. Both of the possible types of cross relation can be found in these works: the two notes can occur simultaneously or in succession.<sup>3</sup> In the most common type of cross relation, the two notes occur successively. In P. 5,

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3. Although Chromatic fantasias contain cross relations, the occurrence of a given note and its chromatic alteration in two separate voices, this must not be confused with a chromatic step in one voice, as seen in the chromatic fantasias. The behavior of linear chromatic steps will be discussed in Chapter V.

a busy section of counterpoint ends on a G-major triad, with the major third (,B-natural) in the tenor (m. 23). The bassus ,,G leaps up to ,,B-flat a half beat after the major third is sounded in the previous sonority, highlighting the movement of the G-major triad to the B-flat major sonority. An identical movement is seen in two examples from P. 7. In both examples a B-natural in the first sonority is immediately followed by a B-flat in another voice in the next chord. Similarly, the G-major chord precedes the B-flat major triad (mm. 16-17; 36). The simultaneous cross relation only occurs once in the minor third mode works, in P. 4. In the cantus, an 'F natural, sustained throughout three measures with half notes, is set against an ,F-sharp in the tenor voice. The note attracts further attention to itself by virtue of its syncopation and its quarter-note length. Unlike the staggered cross relation, where the triads change, the simultaneous cross relation in P. 4 creates a clash between the minor and major qualities of the D triad.

## Example 19. Cross Relations.

## Successive Cross Relations

a. P. 5, m. 23



b. P. 7, mm. 16-17



c. P. 7, m. 36



d. P. 4 m. 46, simultaneous cross relation.



While the discussion of dissonances has centered on unusual occurrences, it must be remembered that, with the exception of the cross relation, Dowland's rare dissonances are only slight departures from normal practice. Most of the accented passing tones and upper neighbors fall on weak beats, or parts of a beat; the normal manifestations of dissonances greatly outnumber the aberrations. However, the number of abnormal occurrences in this group of fantasias is higher than those found in P. 1, suggesting a more daring use of dissonances in the minor-third-mode fantasias.

### Motivic Development

As mentioned in Chapter II, two kinds of motivic development are found in Dowland's fantasias. The first, as Irving Godt has mentioned, is common in the Motets of Josquin and the Masses of Palestrina. The type of development used in this work is described by Godt in his discussion of the Josquin motets. He uses the following formula to describe the changes that occur between a given motive and its mutation:<sup>4</sup>

If  $(A^{\circ}B^{\circ}C\dots N)$ , then  $(A^{\circ}N)$ .

( $^{\circ}$  = "is similar to")

This type of development, for the purposes of this paper called motivic transformation, is found to a large extent in P. 5, where an idea presented in the point is changed as it reappears throughout the piece. A second kind of motivic usage, found in the ricercar/fantasias of Milano, mentioned in Chapter II, will be termed "motivic repetition." P. 1 is indicative of this type of development.

Of the minor-third-mode fantasias, P. 5 provides the clearest example of "motivic transformation." The descending fifth, outlined in the point, provides the basic

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4. Irving Godt, "Motivic Integration in the Motets of Josquin," Journal of Music Theory, XXI/1 (Spring, 1981), 269; "A New Look at Palestrina's Missa Papae Marcelli," College Music Symposium, XXIII/2 (Fall, 1983), 22-49.



developmental idea for the whole piece. Immediately after the first cadence, the idea is inverted and turned into an ascending fifth (mm. 1-10). A series of ascending and descending fourths in sixteenth notes beginning on weak subdivisions constitutes the next transformation of the motive (mm. 12-15). Although these fragments differ from the original fifth motive, a strong case can be made for their inclusion as motivic descendants. The second note of the point, 'C, lies a perfect fourth from the final, 'G; like the first note of each of the sixteenth-note groups, it occurs on a weak subdivision. Thus, Dowland is using a portion of the original idea to create a new transformation. The next developmental passage appears with the change to 12/8 meter, and is comprised of descending scalar fourths paired in sequence and repeated three times at different levels (mm. 26-27). An interval of a third replaces the fourth in the next motivic cell, but the sixteenth-note figure from m. 12 reappears in conjunction with this new interval to maintain continuity (m. 32). Finally, both the thirds and fourths are brought back in the coda over ,,G and ,,D pedals; the thirds reappear in the form of diminished fourths (mm. 33-34). Although Dowland does not use the same intervals throughout the fantasia, as he does with P. 1, a type of motivic development is taking place. First, a

systematic handling of the initial point takes place throughout the fantasia: a descending fifth becomes an ascending fifth. Later in the piece, the fifth becomes a fourth, and towards the end, a third. At the end of the work, the scalar fourth idea returns with an augmented rhythm and a diminished interval. Dowland also systematically changes the rhythm: first, the basic duration of each note in the point is reduced from quarter notes to eighth notes, then to sixteenth notes. Second, he metrically displaces the motive, both in the sixteenth-note ascending and descending fourths, and in the last three measures of the piece, when the fourths return. Indeed, Dowland has shown great craft in, "wresting and turning the point as he list."<sup>5</sup>

Example 20. P. 5, Motivic Transformation.

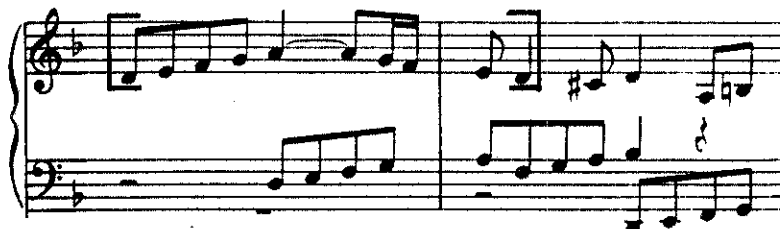
a. Original point, mm. 1-2.




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5. Thomas Morley, A Plaine and Easie Introduction to Practicall Musicke, ed. R. Alec Harmon (New York: Norton, 1973), 296.

- b. Second point of imitation, ascending fifth figure, mm. 7-8.




- c. Ascending and descending fourths in sixteenth notes, beginning on weak part of beat, mm. 12-13.



- d. Final appearance of descending fourth motive, diminished interval with augmented rhythm, mm. 33-34.



P. 6 is the best example of motivic repetition found in Dowland's minor-third-mode works. The point contains many possibilities for motivic material, but again, as in P. 1, he chooses the third as his primary motivic interval. The first exposition of thirds in the point comes in the second measure in two places: first as part of an ascending scalar figure in the first half of the bar, and then as a descending skip. In the second half of the bar, the skip is repeated a third higher. After a half cadence (m. 8), the first sequence appears in sixteenth notes, and is interrupted by two eighth-note scalar thirds, each filled in by a descending group of sixteenth notes (mm. 9-11). The ascending thirds motive is manifested again within a sequence of  figures. Although the basic movement of the line is stepwise, the thirty-second note embellishments resemble the preceding melodic ascending thirds. Here, the skips are filled in (mm. 11-12). The last instance of the scalar thirds appears as a link between a B-flat cadence and a major cadence on G, and acts as an extended retrograde of mm. 9-11. The passage begins on the last half of m. 22, after the B-flat cadence, with an eighth rest in the cantus line followed by an eighth-note B-flat and four descending scalar sixteenth notes. The two eighth-note leaps of a sixth and their four descending sixteenth-note figures.

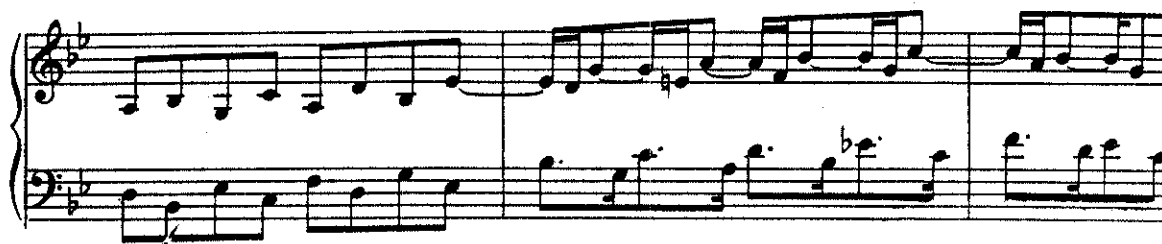
complete the figure only hinted at in the previous measure. The reverse of mm. 9-10 follows descending a full two octaves; a cadence, separating two major sections follows (mm. 23-25). This idea is also used in parallel motion over a ,G pedal, in the form of an elided cadence, that precedes a transitional scalar passage (mm. 15-17). The climax of P. 6 comes after the descending scalar thirds, and the G cadence. A rhythmic bass line moves under a series of half notes, that outline the G dorian diapente. Although many thirds can be seen in this bass line, they do not take on the motivic significance of other thirds in this piece; they do not appear in any kind of sequence or parallel motion (mm. 28-30). An abrupt change from half notes to eighth notes occurs in the top voice: and for one measure the two lines move simultaneously before the cantus becomes syncopated (m. 36). An ascending sequence of descending thirds becomes readily apparent in the bassus, imitated at an eighth-note distance by the cantus. The syncopation in the top voice disguises its true movement (mm. 37-39). A last appearance of the thirds occurs in m. 44 with two sixteenth-note lines moving in parallel thirds.



d. Thirds in parallel motion, mm. 15-16.



e. Ascending thirds in imitation, mm. 36-38.



At the heart of the motivic development in P. 6 is the consistent development of one never-changing fragment, which is simply repeated throughout in different contexts. P. 5, in contrast, exhibits constant change: A descending line becomes an ascending line and both are used throughout the work. The scalar fifth in the point is paired down to a fourth, and then to a third.

The motivic development of P. 7 is more subtle than that found in P. 5 or P. 6. The most distinctive feature of the point is the ascending scalar fourth which begins on the weak part of a beat. This motive can be found throughout

the piece in many guises. Like the motives in P. 5, this fragment undergoes many changes as the work continues. In the first occurrence, for example, the motive is changed from an ascending motive to a descending one and the rest is replaced by a ,B-flat a fourth below the ,E-flat that begins the fragment (m. 14). The same kind of appearance occurs two measures later, when two of the fourths are set in imitation, but in ascending motion. Like the preceding example, the first note of the fragment replaces the rest found in the original statement. The imitation in the tenor begins and ends on a weak subdivision (m. 17).

In m. 25, a new group of fourths appears in the bassus and cantus. The first of these descending fragments begins with the eighth rest found in the original statement; this fragment is repeated twice before its reiteration in sequence a second lower. The last appearance of the original version of this motive appears in sixteenth-note diminution in sequence (mm. 38-40).

A new version of this motive appears in the bassus and cantus of m. 18: A skip appears in the descending four-eighth-note group, reducing the size of the fragment and breaking up its scalar character (m. 18). This variation returns in mm. 28-29, in both bassus and cantus, in both ascending and descending form. In fact, the three-note



motive occurs three times in each of these two measures:  
 The first occurrence ascends; the last two descend. In the  
 cantus, a descending form of the fragment appears in  
 repeated sixteenth notes beginning on the second beat of  
 each measure. The culmination of this passage outlines the  
 original motive again in repeated sixteenth notes (m. 30).  
 The last occurrence of this new motive occurs in the last  
 half of m. 59, before the finale.

Example 22. P. 7 Initial Motivic Development.

a. Original version of motive, in point, m. 1.



b. m. 14



c. m. 17



d. mm. 25-26.



e. mm. 38-40



New version of motive.

f. m. 18



g. mm. 27-29.



h. m. 59



After looking at these fragments one might question their significance as motives; after all, fourths make up an important part of Renaissance polyphony, helping to establish range and identify mode. The mode of P. 7 is hypodorian, with a G final, and of the fourths in question, only the cantus in m. 18 contains the notes of the G dorian diatessaron. Moreover, the point presents the initial ascending fourth on an off-beat, and this metric characteristic is reflected in subsequent recurrences of the motive. P. 7 combines developmental procedures of both P. 5 and P. 6. It is similar to P. 5 in terms of motivic transformation. Certain elements of the motive change; the ascending fourth of P. 7 becomes a descending fourth and the eighth rest of the original motive is replaced by a note a fourth below the beginning of the motive. However, the fourth in P. 7 is constant throughout, like the third in P. 6, whereas the fifth in P. 5 becomes a fourth and then a third.

P. 4 does not exhibit the motivic unity of P. 5, P. 6, or P. 7. Instead, its cantus firmus, derived from the famous chant, "Gloria Tibi Trinitas," provides a continuity of line. Beneath the cantus, the rest of the work unfolds in a series of points of imitation until the finale. After the first note of the cantus, the first point of imitation

begins on ,G, imitations enter at the fourth and the octave, and a descending octave line from ,D to ,,D leads to a clausula vera cadence on a D triad (mm. 1-6, alto-tenor-bass). The next point of imitation enters, imitating the preceding descending scale. It begins on 'D, and ends on ,E; its imitation at the octave only descends to ,,F. This imitative section continues with the introduction of an ascending skip of a fourth followed by a descending second, a movement that roughly mimics the contour of the point (mm. 9-14; altus/tenor-bassus). Two more imitative passages follow before the appearance of the finale. A sequence of ascending and descending seconds, again appearing in the altus, is imitated in augmentation in the tenor (mm. 17-20).

Unlike P. 5 and P. 6, where motives are developed throughout entire works, P. 4 allows only short developments of motives in small sections of three to five measures. These passages are linked together by the cantus firmus which acts to unify the whole piece. The cohesiveness of the work, and its dependence on the cantus firmus is further reinforced by the scarcity and characteristic weakness of cadences within. Aside from this lack of resting points, P. 4 emulates standard Renaissance practice more than any other fantasia studied thus far. While the imitation at fifth and fourth, the establishment of points of imitation,

and the use of a cantus firmus are all standard procedures for this time, they are also unusual practices in the context of Dowland's minor-third-mode works.

### Finales

The term finale refers to the virtuoso writing at the end of Dowland's Fantasias. Although one might be tempted to call these sections codas, the former term seems better for several reasons. The term coda in later music, especially that of the Classical era, connotes a section that closes a work in a state of relative repose. Most of the major developmental and virtuoso sections have already transpired and one senses that the piece is nearing its end. Dowland's endings do not signal a section of relative repose. Instead, he seems to save his virtuoso flourishes and much of his tension for the final measures of the work. In addition to mere virtuoso display, these sections also serve to reconfirm the mode and tonality of the piece by outlining the proper species of diapente or diatessaron, and by repeating important notes of the mode.

It is in this section that many of the scalar sections discussed above appear, such as that seen in P. 5 (mm. 30-32). Often the scalar sections are doubled at the third or sixth; P. 7 contains an extended example of

doubling at the sixth. Beginning at the 12/8 section the bassus and altus move in parallel sixths for four measures. A two-measure plagal cadence ends the main body of the piece, the meter returns to common time, and then the cantus and tenor move in parallel sixths for three more measures (mm. 61-69). With the exception of one measure of three part counterpoint and the final chord, the remaining texture of the piece consists of sixteenths against half notes, thereby stressing the final and tuba of the mode. The most unusual finale in this group is found in P. 4; instead of virtuoso scales or arpeggios, a complex texture unfolds, with complex rhythmic relationships between the three voices. Although some areas within this finale stray away from the important degrees of the mode, the cantus firmus maintains the modality of this section; as the piece approaches its close, important modal degrees reassert themselves in the other voices as well (see m. 45, altus; and m. 54, sixteenth notes). Moreover, in the beginning of this section, all three voices center around the pitch D, the final of this piece.

### Conclusion

While the minor-third-mode fantasias contain many unique features, such as various types of motivic

development, borrowed material in P. 4 and P. 5, and several varieties of dissonances not found in P. 1, they still contain the same formal plan illustrated in the discussion of P. 1, often without the reinforcement of cadences. Even P. 4, with its motivically self-contained sections, and its cantus firmus, is still articulated by changes in texture and has its finale set off from the rest of the work by a change of meter and the virtuoso writing contained therein. Like P. 1, contrasts between subsections can be accomplished not only by changes in texture, but through their functions as motivic or non-motivic areas; these subsections form larger sections. However, the textures found in the sections with the complex rhythmic interplay between voices are more complex than most of the textures in P. 1. While P. 1 develops several motives, P. 5 and P. 6 each take a single idea and unify a whole work with it. Although the minor-third-mode works share similar traits with P. 1, they surpass it with a more unified, complex, and subtle working of the internal aspects of fantasia form.



## Chapter V

## FANTASIAS IN CHROMATIC MINOR-THIRD MODES

The chromatic fantasias represent Dowland's most skillful writing for the lute; no other group of his lute solos tests the performer's abilities more than these works. The thick textures, the consequent difficulties of maintaining independence of voices, and the awkward fingering positions all challenge the player's technique. Moreover, aspects of these works set them apart from the previously discussed fantasias. The most obvious feature, other than chromaticism, is reiteration of the point throughout the whole piece. Thus, these pieces exhibit a more unified motivic usage than the other fantasias, and the chromaticism, derived from the points, pervades the counterpoint of both works.<sup>1</sup> A second characteristic these works is their relatively thick textures throughout; consequently, the articulation of form within the individual sections is less dependent on changes in the number of voices, introduction

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1. "Chromaticism" refers to the use of chromatic half steps in the linear movement of these works. For example, the movement 'C-natural to 'C-sharp would constitute a chromatic step, whereas the movement 'C-sharp to 'D-natural would not. The first case is found in the points and of the chromatic fantasias, and represents a half-step movement foreign to the regular diatonic movements found in the dorian mode. The second case represents a half-step movement normally found within the same mode: musica ficta raises the regularly occurring 'C-natural to 'C-sharp to provide a leading tone to the final, 'D.

of transitional scalar passages, or rhythmic exchanges as found in the other five fantasias. Instead, the chromatic fantasias call on other aspects of counterpoint and motivic development to create formal unity. Like most of Dowland's masterworks, they exhibit a mood of intense melancholy. The thick textures, the chromatic counterpoint with its modal uncertainty, and the slow somber tempos of these works all contribute to the sadness denoted in the titles "Forlorn Hope" and "Farewell." Although these two works share similar traits in terms of texture, mood, and chromatic usage, they exhibit two different forms. P. 2 exhibits a form similar to P. 1 with distinct contrapuntal sections and a finale set apart by cadences. In contrast, P. 3 maintains a consistently thick texture with overlapped cadences that blur the articulation of sections. Its counterpoint moves slowly, marked by harsh dissonances; the piece does not end with the virtuoso finale typical of the other fantasias. A formal summary of each of the fantasias follows.

#### Figure 4. Formal Charts for P. 2 and P. 3

##### P. 2 "Forlorn Hope Fancy"

- mm. 1-8. Initial point of imitation. Point descends a diatessaron by chromatic half steps, starting with a half note, and continuing by quarter notes from ,G to ,D. Other imitations exact, entering in Bassus (,G), tenor ('D), altus (,G), bassus (,D), and cantus (''D).
- mm. 8-12. Point in stretto beginning with cantus ('D),

followed by embellished altus ('G), and rhythmically displaced tenor ('D). Diatonic bassus with cambiata figures in eighth and sixteenth notes. All voices then contain fewer chromatic half steps. Authentic cadence on G.

- mm. 13-17. Second point of imitation, in stretto. Bassus (,,G), imitated with slight rhythmic change in cantus ('D). Chromatic suspensions in tenor and altus. Bassus, altus and tenor continue in diatonic sixteenth notes. Authentic cadence on D.

## Section II

- mm. 17-23. Third point of imitation in stretto: Some imitations of point incomplete. Rhythm slowed down to eighth, quarter, and half notes. Point begins in tenor ('D), on second beat of measure. Altus states fragment of point in next measure, same beat ('D), descending to ,B-natural, before leaping up to 'E. Cantus enters next measure and states entire point. Authentic cadence on E.
- mm. 23-27. Tonal movement from E back to G. Reduced chromatic movement within each voice. The tonal center continues to be E until bassus outlines sequence of descending scalar fifths, ending on ,,G, and authentic cadence on G (mm. 26-27). One-measure transition to finale (m. 27); reappearance of sixteenth notes leading to thirty-second notes in next measure. Cantus begins statement of G-hypodorian mode.

## Section III

- mm. 28-31. Finale. Scalar sixteenth- and thirty-second notes in bassus. Diatonic climb from 'D to ''D in cantus, stating G-hypodorian mode, continues in mm. 27-29. Half note ''D followed by diminution of point in eighth notes, first from ''D to 'A, then from 'G to 'D.
- mm. 32-33. Thirty-second-note scalar material moves from bassus to cantus via tenor. Diminished point repeated in bassus, first from ,G to ,D, then from ,D to ,,A. The combination of the two statements create two conjunct tetrachords with an added lower ,,G. Authentic cadence on G.

- mm. 34-36. Arpeggiated thirty-second notes in the cantus outline chords built on the tuba (m. 34). A scalar string of thirty-second notes, in the tenor, is imitated for a short period in the bassus. These two strings lead to a prolonged C-minor triad ('C in the bassus; 'E-flat in the cantus with ,B and 'D lower neighbors), and a Plagal cadence on G.

### P. 3 "Farewell"

#### Section I

- mm. 1-11. Initial point of imitation. Ascending chromatic point, starting with a half note 'A, rising to 'D; imitated exactly at the fifth and octave. Sequence of imitation: cantus ('A), altus ('D), tenor (,A), bassus (,D). Plagal cadence, approached by parallel fifths between tenor and bassus.
- mm. 11-21. Second point of imitation. Point in bassus, imitated at octave by cantus, at fifth by bassus. Suspensions in upper three parts decorated by sixteenth notes. Authentic cadence on G.

#### Section II

- mm. 21-27. Transition: Continuation of decorated suspensions, and sixteenth notes. No statement of original point, no chromatic steps.
- mm. 27-30. Third point of imitation: ascending scalar fourth figure in tenor imitated at octave by tenor. Last statement of point until section III, in cantus (mm. 27-28). Authentic cadence on D, with cross relation ('C-sharp-'C-natural) on penultimate A chord.
- mm. 30-36. Continuation of same texture. Bassus outlines the ,,G to ,D diapente, and stays within ,,G to ,G octave. Cantus outlines 'G to 'D diapente. Suspensions continue to be numerous, along with sixteenth-, eighth-, and quarter-note rhythms. Authentic cadence on D.

## Section III

- mm. 36-39. Transition: Cantus drops out low Altus with tenor and bassus. Consecutive discords in tenor and bassus (tritone to major second, m. 38). Elided authentic cadence on G.
- mm. 40-45. Original point reappears in cantus beginning on 'D (m. 39), and is repeated from 'A (m. 41). Both versions linked together comprise a 'D to ''D chromatic scalar octave. Bassus outlines ,G to ,,D diatonic scale.
- mm. 46-48. Point in diminution, beginning in cantus (anacrusis to m. 46 'D), imitated by tenor (,A), altus ('D), cantus ('A), tenor (,A).
- mm. 49-53. Bassus in sequence of descending fourths below descending sequence of suspensions in cantus. Authentic cadence on A. Bassus then outlines ,C to ,,G movement for prolongation of G; cantus outlines descending 'G to 'D diatessaron. Final G chord prolonged over six beats.

Counterpoint

The points of both of these works outline a perfect fourth filled by chromatic half steps. In P. 2, the point begins on the final, and descends to the tuba while in P. 3 it begins on the supertonic of the mode and ascends to the tuba. Example 23 illustrates the points of P. 2 and P. 3.

Example 23. P. 2 and P. 3, Points, with First Imitation.

a. P. 2, mm. 1-3.



b. P. 3, mm. 1-4.



Unlike the fantasias P. 4, P. 5, P. 6, and P. 7, discussed in Chapter IV, P. 2 and P. 3 exhibit similar imitative procedures; the second voice enters a fifth above or below the first voice, and the third voice enters an octave above or below the first. In contrast, it must be remembered that the minor-third-mode fantasias exhibit various imitative configurations at the fifth and octave; some voices enter without participating in the imitation. The opening measures of P. 1 exhibit imitation only at the octave;

entries at the fifth do not occur until the second point of imitation. However, in P. 2 this configuration is slightly altered. The bassus enters first, followed successively by the tenor a fifth above, and the altus an octave above. Before the cantus makes its entry, the bassus returns, a fourth below its original appearance. The cantus then enters at the proper place, a fifth above the altus. In both these fantasias the point is repeated several times after the four initial entries.

One of the problems in analyzing the chromatic fantasias has to do with the use of chromatic half steps. Joseph Kerman, in his study of the Elizabethan madrigal, defines a chromatic step as "a note followed by its alteration." He defines the four different types of chromatic movement used in the Italian and later the English madrigals:

1. Chromatic step in one voice, with the others stationary. This is a chromatic passing note and is rare until its systematic exploitation by Gesualdo. The simplest and most common variety has the chromatic step as the third of a triad, which is changed from major to minor.
2. Chromatic step in one voice, with the others moving diatonically or remaining stationary. Such progressions connect triads whose roots are a third apart and which are of the same modality: both chords are major triads, or both are minor triads. The former is much more usual. Rore rarely went further than this.

3. Chromatic steps in two voices simultaneously, with the others moving diatonically. Such progressions involve triads whose roots are third apart but whose modalities differ. The effect is correspondingly more intense.
4. It is theoretically possible to carry this to the limit and write a progression with three chromatic half steps occurring simultaneously. Almost all the examples that may be found are from Gesualdo.<sup>2</sup>

Chromatic movement in these works occurs only in conjunction with full or partial statements of the point. Dowland's chromatic movement follows the first three of the four types quoted above. The direction of chromatic movement is established by the point; very few chromatic steps move contrary to the direction of the point. Hence, most of the chromatic steps occurring in P. 2 descend, while those in P. 3 ascend. Types 1 and 2 are the most common; type 4 cannot be found in the chromatic fantasias. The examples of type 1 movement occur without any deviation from the norm defined in Kerman's work. The third of a triad moves a chromatic step up or down, changing the mode of the chord. P. 2 contains three examples of this movement (mm. 7, 14, 18). Because of the descending point, major triads are changed to minor as the third in each case is lowered. As expected, the ascending point of P. 3 causes a movement

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2. Joseph Kerman, The Elizabethan Madrigal a Comparative Study (New York: American Musicological Society, 1962), 213.



from minor to major. Example 24 illustrates type 1 chromatic movement.

Example 24. Type 1 Chromatic Movement.

- a. P. 2, m. 7, major to minor; chromatic variant of the portamento.



- b. P. 2, m. 16. major to minor.



- c. P. 3, m. 48, minor to major.



The most common chromatic movement in these works, type 2, is also the most used in Italian and English madrigals from this same period. This type of movement provides the most flexibility; the other voices may move by skip or diatonic step in either parallel or contrary motion around the voice with the chromatic step. Some cases of Dowland's type two movement do not exhibit the harmonic relationship of two triads a third apart in the same mode, described in Kerman's work (See Example 25 a, e). Again, the only limitation lies in the direction of chromatic movement established by the point. One of the most interesting instances of type 2 movement, the finale of P. 2, exhibits extended use of this type (mm. 28-36). The intervallic relationship of the simultaneities between the two voices consists mostly of parallel thirds interspersed with sixths, octaves, and fifths. The diminished point, and the outline of the range unify and close the piece; the virtuoso writing provides a climactic end.

## Example 25. Type 2 Chromatic Movement.

P. 2

a. m. 5.



b. m. 8



c. mm. 30.



## P. 3

d. m. 4.



e. m. 40.

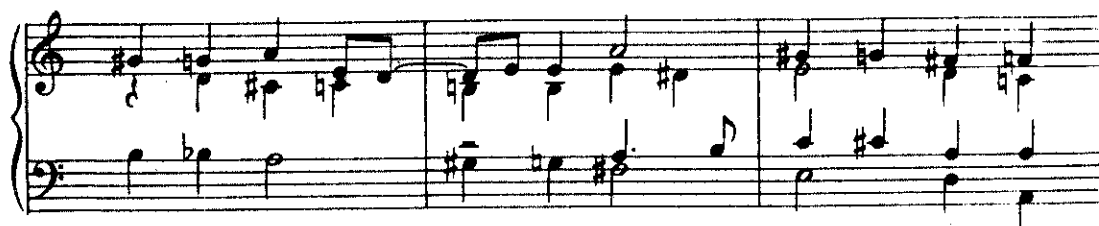


Because chromatic steps in these works mostly move in the direction established by the point of a given piece, two simultaneously occurring chromatic steps usually move in parallel motion. The rules of sixteenth-century counterpoint forbid the use of parallel perfect concords, or any parallel discords. These restrictions leave only the use of parallel imperfect concords or thirds and sixths in type 3 movement. Two of the three examples of type 3 movement in P. 2 utilize parallel sixths, while the only instance in P. 3 utilizes thirds.

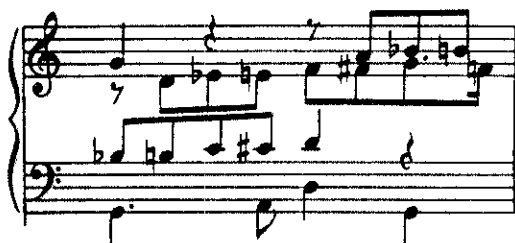
P. 2 contains one case where a chromatic step moves against the direction of the point (m. 20). While the 'G-sharp in the cantus moves to 'G-natural, the 'C-natural in the tenor moves to a 'C-sharp. In P. 3, both chromatic steps ascend; the two lines comprise the point in diminution, along with its imitation. Example 26 illustrates type 3 chromatic movement.

Example 26. Type 3 Chromatic Movement.

a. P. 2, m. 18-20



b. P. 3, m. 47.



One of the unusual characteristics of these fantasias is the occurrence of consecutive perfect concords of the same kind. Why Dowland chose to use a contrapuntal movement which Morley and every other theorist of the fifteenth and sixteenth centuries advised against is not known.<sup>3</sup> In P. 2, the consecutive perfect concords occur in two measures of Section II of the work. In m. 20, the octaves are found between altus and bassus ('E over ,E to 'D over ,D), followed by another set in m. 22, between bassus and tenor (,E over ,,E to ,A over ,,A).

In comparison, P. 3 contains no consecutive octaves; four occurrences of consecutive fifths, again between bassus and tenor, appear in the piece. In the first case, three fifths occur in succession. Although the bassus between the second and third fifths contains a passing tone, the effect remains (m. 11). In the second case, a melodic leap of a fifth separates the consecutive concords; the delay of the second of the tenor notes by a sixteenth rest does not significantly diminish the effect (m. 27). While the first two instances of consecutive fifths might be considered questionable, because of the bassus passing tone, in the first case, and the sixteenth rest in the second, the next two

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3. Thomas Morley, A Plain and Easie Introduction to Practicall Musicke, ed. R. Alec Harmon (New York: Norton, 1952), 143.

instances are indisputable. The first of these two examples contains another leap, this time an ascending fourth, from ,A-,E to ,D-,A (m. 33) In contrast, a whole step separates the two fifths in the second example, and a syncopated figure delays the entrance of the first tenor note, but the end result is that of consecutive fifths. Instances of consecutive perfect concords are shown in Example 27.

Example 27. Consecutive Perfect Concords in the Chromatic Fantasias.

a. P. 2, m. 20.



b. P. 2, m. 22.



c. P. 3, m. 11.



d. P. 3, m. 27.



e. P. 3, m. 33.





f. P. 3, m. 37.



A glance at all of the parallel perfect concords in both works reveals that the bottom note of each interval invariably lies in the bassus, with the top note occurring in the tenor or altus. Any appearance of consecutive octaves or fifths negates the contrapuntal aspect of the texture in those two voices, thus focusing attention, at that instance, on the harmonic aspect of the piece. Five out of the six examples contain movement between two root-position chords. In the only exception (example 27 a), a first-inversion C-augmented triad moves to a root-position D chord. Moreover, all but one of these instances occur on or near cadences, and in four of the six examples cited, the first perfect concord skips up or down to the second by fourth or fifth.

In P. 2, both of the examples of consecutive octaves precede the E cadence, outlining the new A-E emphasis in the bassus. The E-D parallel octaves in m. 20 occur one measure

before a plagal cadence on A. Shortly thereafter, the E-G octaves prepare an authentic cadence on E; the chromatic portamento in the altus deceptively prepares us for an authentic cadence on A, but the ,G-natural in the altus skips to a 'C, and the tonality shifts again. This A-minor triad moves to the penultimate B-major triad and the E cadence (Example 27 a, b).

The first occurrence of consecutive fifths in P. 3 also sets up an interesting cadential situation (m. 11, Example 27 c). A series of three parallel fifths weakens a plagal cadence on A. A root-position D-major triad moves to a passing-C-seventh chord, and then to an A-minor triad; the passing 'B-flat cantus resolves up to the third ('C) of A minor. It would be hard to tell that a cadence had occurred if the following measure did not continue to emphasize the ,A bassus; in any case, this cadence is very weak. The next two examples of consecutive fifths occur at elided cadences (mm. 27, 33; Example 27 d, e). In both cases the parallel movement outlines weak vertical movement. In the last example, no cadence occurs; the effect of the parallel movement is diminished by the syncopation in the tenor (m. 37; Example 27 f). Nevertheless, emphasis on the contrapuntal aspect is shifted to the vertical aspect for a short time. Whether or not these movements represent the

beginnings of a shift by Dowland from the linear aspect to a more vertical emphasis or sense of instrumental sonority can only be a conjecture, an issue that is beyond the scope of this thesis.

One of the unusual features of these works, other than the chromaticism, is the consistently thick counterpoint found throughout each fantasia. The frequent use of stretto and recurrence of the points throughout each of these works cause voices not to drop out of the texture for any length of time. The compression of entries caused by stretto builds tension in the thick texture. P. 2, like P. 1, is articulated by cadences that define the smaller sections contained therein. On the other hand, P. 3 functions like the minor-third-mode fantasias where strong cadences occur only at major sections. Each of the chromatic fantasias can also be divided into three major sections, governed by motivic and textural considerations. Like P. 4 and P. 6, the points of the chromatic fantasias enter at the fifth and octave; once all voices have entered, the texture usually contains no less than three voices. The number of voices in use in the other fantasias fluctuates according to the demands of formal tension and motivic development, often decreasing to as few as two in the scalar passages. The only major passage, other than the initial

points of imitation, that contains less than three voices is found in the finale of P. 2. Since the variation in the number of voices is so slight, little tension can be generated by the number of several voices, because the listener becomes used to the thick texture. Hence, other ways must be found to create the contrast necessary to develop areas of relative tension and repose.

The use of stretto to increase tension in these thick textures has already been mentioned. Another way to vary the balance of tension and repose is through the contrast of fast and slow articulations; this technique has been used in conjunction with variations in the number of voices in the other fantasias. Dowland also uses this technique at the beginning of each of the chromatic fantasias; the slow half and quarter notes in the point are followed in the same voice by eighth and sixteenth notes as the next voice begins an imitation. In fact, the overall form in P. 2 is organized in this way. After the point is introduced in Section I, sixteenth and eighth notes dominate the texture, being present in at least one voice at any one moment (mm. 1-16). Any time one voice in a contrapuntal setting contains rhythms that are faster than the others, the composite rhythm takes on the character of the fastest moving voice. Section II exhibits a slower composite rhythm; quarter notes

and eighth notes are the prevailing rhythmic values (mm. 17-26). Sixteenth notes only appear twice as decorations for suspensions in the middle of this section, and then return in force in a transitional measure, in preparation for the thirty-second notes that dominate the finale section (m. 27). Sections I and III, with their faster articulations and consequent tension surround the relative repose of Section II, creating a three-part rhythmic arch form.

On the other hand, the rhythmic texture of P. 3 is almost completely homogeneous; after the introduction of the point, sixteenth and eighth notes dominate the compound rhythm. Hence, in this work texture does not play a part in delineating major sections or creating tension. A balance of tension and repose is achieved in other ways that will be discussed under subsequent headings in this chapter.

### Dissonance

Another way of accomplishing contrast between tension and release is through the use of dissonance. In no other group of Dowland's fantasias do discords play such an important part in the texture and generation of tension. Dissonances act mostly as decorations in the other fantasias; this is particularly true of suspensions, which mostly decorate cadences. Diatonic dissonances in the

chromatic works function in the same way as they do in the other fantasias; this discussion will focus on those dissonances affected by chromaticism.<sup>4</sup>

Passing tones operate in the same way they have in the other fantasias; they occur, for the most part, on weak beats. However, as with the minor-third-mode fantasias, accented passing tones, falling on the strong part of the second half of the beat, are not uncommon. Two accented passing tones can be found on the strong part of the fourth beat of the measure, in P. 3 (mm. 13, 19). Most chromatic notes are quarter-note or half-note duration, making them too long to be used as passing tones; only one quarter-note passing tone was found in the minor-third-mode fantasias. Lines of diatonic sixteenth and eighth notes accompany the slower chromatic lines, and these lines are diminished to match the diminished chromatic line, as in the finale of P. 2. In instances where no fast moving line accompanies the chromatic voice, a slow homophonic texture ensues. Because the dyad preceding the passing tone is usually a sixth or a third, the subsequent chromatic alteration only serves to alter the quality of the implied triad; this

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4. A brief discussion of accented passing tones and neighboring tones in P. 3 is included in the section entitled Modality, later in this chapter, because of the effect these dissonances have on the perception of modality in that work. They are omitted here in order to avoid the repetition of material from other chapters.

movement is characteristic of the type 1 chromatic movement discussed above (see Example 24). Hence, no chromatic passing tones occur in these works.

In the context of simple dissonances, the cross relation is uncommon in the chromatic fantasias; however, more are found in these two works than in the four minor-third-mode fantasias. The successive variety occurs twice in P. 2, and once in P. 3, and two examples of the simultaneous type also occur in P. 3. Because the juxtaposition of chromatic lines in these works would provide an environment ripe for cross relations, it is surprising that more are not found. The two successive cross relations in P. 2 appear in close proximity, between the diatonic bassus and the synco-pated, chromatic altus separated by only one chord (m. 9). Here, the point is stated in imitation in the cantus and altus. In the first example, a 'C-sharp in the altus follows a ,C-natural in the bassus; in the second instance, a ,B-natural succeeds a ,,B-flat. The successive cross relation in P. 3 is especially interesting, occurring in conjunction with a four-three suspension, above a ,,D bassus (m. 21). Above the ,,D, the suspension ('G), and the third of the chord ('F- natural) are struck together, in cantus and altus, on the first beat of the measure, accentuating the discord. The altus then descends in eighth notes, the

cantus in quarter notes. The suspension in the cantus is resolved by 'F-sharp on the second beat, creating the cross relation with the 'F-natural of the first beat. In the simultaneous cross relations the lower note is sustained as the chromatic alteration enters in an upper voice. Above a dotted-half-note ,F-sharp, a dotted-eighth-note 'F-natural enters, preceded by a sixteenth rest and a sixteenth-note 'D (m.14). These two notes are allowed to sound together for a relatively long time. The sixteenth-note 'E, following the 'F-sharp in the altus, prolongs the discord. The second example is similar: above a 'C-sharp quarter note, on the fourth beat of the measure, a ''C-natural enters on the second half of the beat, and becomes a suspension in the first beat of the next bar (mm. 30-31). Again the dissonance is prolonged. In these works and in the minor-third-mode works, cross relations use only limited number of pitches and their chromatic alterations, specifically, B-flat/B-natural, C-natural/C-sharp, and F-natural/F-sharp. Example 28 exhibits cross relations found in the chromatic fantasias.



## Example 28. Cross Relations in the Chromatic Fantasias.

## Successive

a. P. 2, m. 9.

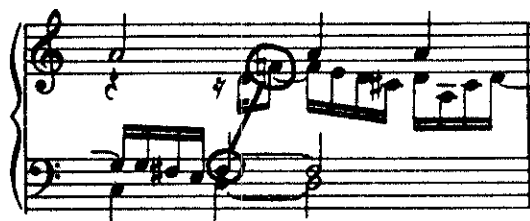


b. P. 3, m. 21.



## Simultaneous

c. P. 3, m. 14



d. P. 3, m. 30



Of all the dissonances found in the chromatic fantasias, with the exception of the unaccented passing tone, the suspension is used most frequently. Unlike the suspensions found in the diatonic fantasias, mostly before cadences, those in the chromatic fantasias can occur anywhere within a phrase, thereby creating contrapuntal tension. In P. 2, for example, two decorated suspensions appear in the middle of phrases as the point is stated in other voices (mm. 5, 7). After a cadence on G where the tuba chord is suspended, four more suspensions appear in close imitation (mm. 12-14). In the thirteen measures between measure 14 and the finale, five more occur. P. 3 operates in the same way; suspensions are scattered throughout the piece. Beginning with the fifth measure from the end, a chain of six suspensions, can be found, one occurring on each beat (mm. 49-51).

In these fantasias, many varieties of suspensions can be found, including the repeated suspension, the portamento suspension, and different kinds of resolutions ornamented with sixteenth notes. Because of the many suspensions found in these works, discussion will be limited to those unique to these works, or those not commonly found in any of Dowland's fantasias. A type of suspension characteristic of P. 2 uses chromaticism in the resolution. It is prepared in the normal fashion and stated. A portamento follows, with or without ornamentation, before the line descends a chromatic half step to the true resolution. Three undecorated examples occur in close succession in P. 2. In each case, the portamento occurs followed by its chromatic resolution on the next beat, often accompanied by a change in sonority (mm. 13-14). In the first case, a seven-six suspension occurs above an ,,E bassus. The suspension, 'D, moves to a 'C-sharp portamento, and the bassus moves to ,,E-flat. The 'C-natural resolution follows and the implied C-sharp minor sonority moves to a full C-minor chord (m. 13, beats 3-4). The second suspension does not accompany a change of sonority: the four-three suspension in the altus, above the ,,D bassus, moves to an 'F-sharp portamento, then resolves to 'F-natural, before a ''D signals an entrance of the point in the cantus. This ''D also prepares another four-three

suspension above an ,A bassus; the resolution, ''C-sharp moves to a ''C-natural, as the bassus moves by step from ,A to ,C (m. 14, beats 3-4). Chromatic movement also occurs in conjunction with decorated resolutions; one instance occurs at the beginning of the piece (m. 7). After the extended suspension in the tenor moves to a ,G-sharp portamento, by sixteenth notes. The line continues down to an ,F-sharp lower neighbor, and the ,G-natural resolution. The G-sharp minor chord changes to G-natural minor as the bassus moves simultaneously with the tenor to ,B-flat. Another example in the middle of the piece exhibits less ornamentation and does not result in a change of sonority (m. 22). A four-three suspension above an ,E bassus moves from ,A to a ,G-sharp portamento, down to an F-sharp lower neighbor, and up to the G-natural resolution. The bassus does not move until after the resolution is completed. In all of the above suspensions the portamento is altered by chromatic step, before the final resolution. Hence, the final goal of the resolution comes indirectly, prolonging the tension of the particular event by destabilizing the counterpoint.

The diatonic portamento resolution, a type infrequently found in P. 1 or the minor-third-mode fantasias, is more plentiful in P. 3; only one can be found in P. 2. The example in P. 2 occurs with a nine-eight suspension above a

,,B-flat bassus (m. 10). Although the sonority does not change, the ,B-flat resolution acts as a consonant-fourth preparation for the next suspension, above the ,,F bassus. Like the chromatic portamento resolutions in P. 2, the diatonic portamento resolutions in P. 3 can occur with or without a subsequent change in the vertical aspect. The first example contains a portamento followed by a change in sonority (m. 25). Above an ,F bassus, a ,B-flat four-three suspension resolves to an ,A portamento, which anticipates a movement to an A-diminished chord. Here, the suspension is prepared and executed in the normal way. The portamento occurs as a resolution to the suspension; but the repeated resolution functions as a factor of a new chord. In the next example, the seven-six suspension above the ,G bassus is resolved by portamento in the altus; the repeated 'E remains part of the initial sonority, before preparing the new suspension (m. 33). When the sonority following the portamento remains the same, tension is reduced, because the resolution restabilizes the chord. A subsequent change of the vertical aspect, however, increases tension because of the movement to a new sonority. Sometimes a change in the vertical aspect is accompanied with a new suspension, prepared with a consonant fourth, further increasing the contrapuntal tension. The suspensions discussed above are found in Example 29.

## Example 29. Suspensions in the Chromatic Fantasias.

## Chromatic Portamenti

a. P. 2, mm. 13-14.



b. P. 2, m. 7.



c. P. 2, mm. 21-22.



## Diatonic Portamenti

d. P. 2, mm. 10-12.



e. P. 3, m. 25.




f. P. 3, m. 33.







four-three suspension occurs accompanied by sixteenth-note decoration. The last two instances, in P. 3, are even more typical of this type of preparation, showing similarity to two examples in P. 7. A  ''C-sharp-''D-''C-sharp occurs above an A bassus; the consonant-fourth preparation and four-three suspension occur successively as the meaning of the ''D changes (m. 35). A similar example, in m. 40 between bassus and tenor imitates m. 35. Example 30 illustrates the consonant-fourth preparations discussed above.

Example 30. Consonant Fourth Preparations of Suspensions.

a. P. 2, mm. 11-12.



b. P. 3, m. 26.



c. P. 3, m. 35, similar to m. 39.



In P. 3, Dowland utilizes skips from dissonance (m. 8). In the first case, parallel sixths between tenor and cantus are decorated by changing tones, creating an intervallic movement 6-7-6-7. Above a ,D bassus, the cantus skips down from 'B-flat to 'G, which moves by step back up to 'A. Although the bassus is consonant with the 'A's and the 'B-flat, the latter note skips down to the dissonant 'G. The C generates dissonances with the two B-flats. In the second instance, an ,A is in the bassus; above it an 'A is followed by a 'B-flat, a 'G, and another 'A (m. 12). In both cases, the four-note groups begin and end with consonant notes, with the dissonances between leaving the consonances by an upward step and reapproaching them from below, thereby acting as changing tones.

In the discussion of consecutive-perfect concords, a shift in emphasis from the linear aspect to the vertical aspect was observed. A similar procedure occurs in cases

where two discords occur consecutively. In P. 2, a perfect fourth moves to a diminished fifth (mm. 18-19). On the last half beat of the measure, above a half-note ,A bassus, an eighth-note 'D lower neighbor is tied across the bar. Below this pair of tied eighth notes, the bassus moves from ,A to G-sharp, changing the interval from a perfect fourth to a diminished fifth.<sup>5</sup> The 'E in turn is repeated above the consequent ,G-natural in the bassus, which continues the point. Perhaps the most striking example of dissonance in these works is the nine-seven voice exchange (m. 10). Although the B-flats are consonant to the ,E-flat bassus, they are dissonant with the A's around them. As the tenor moves from ,G to ,A, the cantus moves from 'G to B-flat. The second tenor-altus dyad here consists of a ninth; the voice exchange on the next dyad (,B-flat tenor, 'A cantus) results

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5. Glarean makes a distinction between the "semidiapente" and the tritone: "And although it is a fifth, it still is removed from the tritone by a comma, and it exceeds the fourth only by a small semitone." Heinrich Glarean, Dodecachordan, 2 vols, translation, transcription, and commentary by Clement A. Miller (American Institute of Musicology, 1965), I, 60. Zarlino also distinguishes the semidiapente from the tritone (semidiatessaron) and allows its occasional use provided, "that the semidiapente or tritone be preceded immediately by a perfect or imperfect consonance. The semidiapente is then tempered by the preceding and following consonance in such a way that the effect is no longer poor, but good, as experience has proved." Dowland disregards this rule by preceding the semidiapente with a dissonant diatessaron (perfect fourth). Gioseffo Zarlino, The Art of Counterpoint, Part III of Le istitutione harmoniche, trans. Guy A. Marco and Claude Palisca (New London: Yale University Press, 1968), 68.

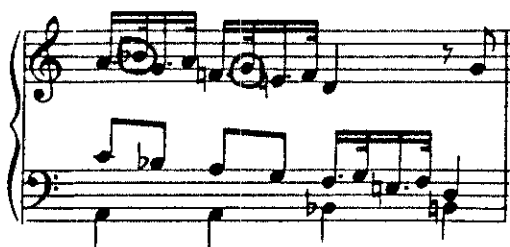
in a seventh. A fifth on the last half-beat of the measure resolves the extended passing dissonance. A second pair of consecutive discords occurs in m. 40, between the tenor and bassus. As the bassus ascends the ,D-, ,G diapente, the tenor skips from ,D to ,A, and steps down to ,G, and then repeats the ,G. The resulting counterpoint creates a tritone-major-ninth succession. Example 31 illustrates skips away from dissonance and consecutive discords.

Example 31. Skips Away From Dissonance, Consecutive Discords.

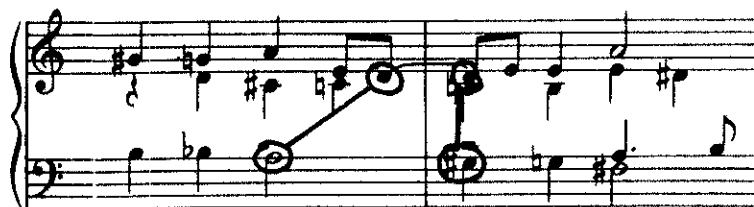
a. P. 3, m. 8, skip away from dissonance.



b. P. 3, m. 12, skip away from dissonance.



- c. P. 2, mm. 18-19, consecutive discords, perfect fourth to tritone.



- d. P. 3, m. 10, nine-seven voice exchange.



- e. P. 3, m. 38, consecutive discords, tritone to major ninth.



While both of these fantasias contain some unusual dissonances, in most respects, they still conform to standard late sixteenth-century practice. However, the frequency of unusual occurrences in the chromatic works far exceeds that of the other five fantasias. Dissonance, in the diatonic works, is used to decorate cadences, and fill in skips; in the chromatic works, it becomes part of the texture, acting as a controller of tension. This can be seen in the locations, frequency of, and number of uncommon suspensions in both types of fantasia. Clearly, the chromatic fantasias contain more suspensions in locations other than cadences, and the unusual suspensions in these works far outnumber those found in the diatonic works. Hence, dissonances, especially those not associated with cadences, contribute to contrapuntal tension: delayed resolutions and chromatic portamenti obscure the expected goal of a line. The effect of dissonance on modality will be discussed in the section of this chapter entitled, "Modality."

#### Motivic Development

In the diatonic works described in Chapters III and IV, Dowland emphasized certain ideas from the point or other parts of the work in order to provide unity throughout a

fantasia. Three motives are developed in P. 1: one originates in the point, but two others come from ideas found later in the piece. The minor-third-mode fantasias each develop one idea derived from the point. In both of these types of fantasia, the point is imitated at the beginning and then disappears, only returning in the fragmented form of motivic development. The use of chromatic points in P. 2 and P. 3 sets up a unique situation for motivic development; any chromatic half step provides an obvious reference to the point. Moreover, the permutation of the entire point throughout the piece further reinforces the unity of the piece.<sup>6</sup>

Motivic development occurs in P. 2 via two methods: first, through rhythmic changes in reiterations of the point and second, through fragmentation of the point itself. The point enters in the bassus on beat 1 of the measure, followed by imitations in other voices on the third beats of successive measures (mm. 1-8). This procedure changes after the embellished altus entrance in measure 8, when the tenor

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6. The main difference between Italian Fantasias and English fantasias centers around the recurring points of Italian works of this genre and the diversity of material introduced in English works. Dowland's use of both of these procedures shows both the influence gained from his travels to Italy and his love for the Anglicized forms of his time. Christopher Field, Eugene Helm, William Drabkin, "Fantasia," The New Groves Dictionary of Music and Musicians, 20 vols., ed. Stanley Sadie (London: Macmillan, 1980), VI, 381.

enters in stretto on the second half of beat one (m. 9). Three measures later, the bassus enters again on beat 3 (m. 12). The tenor follows in the next measure, beat 2 ('D), with a fragment of the point in suspension, and altus ('G) and cantus (''D) enter above it in stretto (mm. 12-15). At the beginning of section II another area of stretto occurs, starting with the bassus ('D) and continuing with fragments of the point in the cantus ('A) and altus ('D) (mm. 17-20, see Example 32).

Example 32. P. 2, mm. 17-19, Fragmentation of the Point.



After measure 20, the point disappears, save for one chromatic portamento (m. 22). The point returns in the cantus part of the finale beginning on the half-note 'D of the D-hypodorian scale (m. 29). With the exception of the ''D half note, the point is diminished throughout the finale. The cantus states the point first on ''D and then after a two-note interruption, states it again on 'G (mm. 31). The



bassus then states both transpositions of the point, beginning each entry on quarter notes and continuing it in eighth notes. This statement comprises the conjunct tetrachords with the , , G extension, mentioned above.<sup>7</sup>

P. 3, in comparison, exhibits less stretto than P. 2, and its point undergoes less rhythmic displacement. With the exception of the decorated entry in section II (m. 27), no rhythmic change occurs until the point returns in section III (m. 39). However, at the beginning of section III, a fragment of the point appears in the Altus ( , A, mm. 39-40). Beginning in m. 40 a complete chromatic scale, outlining both transpositions of the point appears in quarter notes (mm. 40-43). Three measures later, another entrance of the point occurs in the altus; however, it is incomplete because the 'C-sharp is missing (mm. 43-44). On the last half beat of the following measure, the point appears in eighth-note diminution and in stretto (mm. 45-48). The last statement of the point, similar to the incomplete example in mm. 43-44, occurs three measures from the end of the work. The formation of entries of the point create a three-part form, A B A'. The point makes several entries in section I. Remaining in its original rhythmic character, it always enters on strong beats of the measure. In section II, it appears only once, and its initial note is embellished; the

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7. See Figure 4, mm. 32-33, p. 116

remainder of the section is devoid of chromatic steps. The point returns in section III and undergoes several changes. It always enters on the last half-beat of a measure; it is sometimes presented in an incomplete form; it is diminished and imitated in stretto. Towards the end of section I, the entries of the point progressively appear further apart; in section III, they appear closer together, reaching their peak at the stretto. Figure 5 illustrates the entries of the point.

Figure 5. P. 3, frequency of statements of the point.

Measure numbers indicate entries of the point.

Section I (A)	II (B)	III (A')	Coda
1-3-5-8-11-14-18-27	_____	39-40-43-45-47-47-47-48-51	_____

Each of the chromatic fantasias presents a different treatment of the point. P. 2 concentrates on presenting the point in different rhythmic guises, wherein it is displaced, placed in stretto, fragmented and diminished. In addition to handling the point in all of these ways, P. 3 also uses it to build an arch form by more strictly controlling the number of entries in different sections. Rhythmic displacement, stretto, fragmentation, and diminution are all of secondary importance in P. 3.

### Modality

One aspect of these works, made ambiguous by their chromaticism, is the identification of mode. While the range may be apparent, the intervallic patterns of the species are blurred when a chromatic line appears in a given voice. Moreover, the identity of the final is often obfuscated as well, due to the exact imitation of the point at two different pitch levels. Exact imitation disallows alterations which identify the authentic and plagal forms of the mode. The result is a mode stated at two transpositional levels with two possible diapente, two diatessarons and two finals. However, apart from their chromaticism, both works provide clues that reveal their modes and finals.

#### P. 2, "Forlorn Hope Fancy," dorian mode

In P. 2, none of the upper three voices provide enough information to identify the mode. Ranges and species are blurred by the chromatic point; the movement of the top three voices contains little scalar diatonic activity. The cantus imitates the point on 'G, twice on ''D; 'A, and again on ''D (mm. 4, 7, 14, 17, 29). When it is not outlining the point, it exhibits little movement. After its first statement of the point, it hovers within the range of 'D-'F (mm. 6-7). It remains on 'A, after its third imitation of

the point. In section II, the diatonic range of the cantus increases enough to outline the range ,B-'B (mm. 21-26). The cantus finally reveals the mode in the finale, with an ascending 'D-'D hypodorian scale. It then states the point at two levels: ''D-'A and 'G-'D. A two-note interruption separates the statements of the point; the cantus ends with arpeggiations of the final and tuba harmonies.

The tenor and altus are so intertwined that it is often difficult to tell them apart, and Dowland introduces a fifth voice which confuses the identities of the inner voices even more (see mm. 10-15, 24, 27). Scalar passages often cross between the inner voices, and blur their identities. The altus states the point on 'D (m. 2), 'G (mm. 8, 13), and again on 'D (m. 18.). An interesting embellishment of the point occurs in the altus after its first imitation (mm. 5-6). Beginning on 'D, it descends chromatically to ,A, decorating the point with portamenti and lower neighbors. Another decorated statement of the point in the altus occurs two measures later; the line skips from 'G, the first line of the point, to a sixteenth-note quadruplet beginning with ,B-flat (mm. 8-10). This line then ascends by step to 'F-sharp, and the point continues descending to 'D. When not stating or decorating the point, the altus is active in suspensions and embellishments, and only appears

in the finale when the thirty-second notes cross from bassus to cantus. The tenor only states the point once, on 'D in syncopation with the altus; this imitation is incomplete (mm. 8-10). In section II, it is assigned one chromatic step, 'C-'C-sharp (m. 20). Otherwise it drops out and reappears, providing a voice for suspensions and embellishments. Neither voice exhibits many large leaps or any scalar movement that makes it cover large ranges within a short amount of time.

In contrast, the bassus contains many leaps and scalar movements which give clues about the identity of the final and of the modal species. As the first imitation of the point enters in the tenor, the bassus emphasizes D's and G's (mm. 2-6). In m. 5, the bassus ascends from ,D to ,A, but immediately returns to a G-D emphasis in the next measure. The point is imitated again, in mm. 7-8, beginning on ,D and descending to ,,A; a subsequent ascending ,,A to ,G diatonic scale is followed by an octave leap to ,,G and another upward leap to ,D. Measures 9-11 clearly outline the ,,G-,D diapente. In spite of diversions to a D-A emphasis, the diatonic bassus passages consistently return to the G-D or G-G intervals. After m. 15, however, the bassus begins to stress the pitches A and D as the work moves toward cadences on these two roots (mm. 17, 22).

Beginning in m. 16 an octave ,A-, ,A is stated in the bassus followed by a D cadence (m. 17). Three measures later a descending skip in the bassus from ,D to ,A precedes the avoided authentic cadence on A (mm. 20, 22); an authentic cadence on E follows. The bassus then begins to stress A's and E's (mm. 20-25). A sequence of descending scalar lines brings the bassus back to the G tonality; an ,E-, ,A line precedes the ,D-, ,G diapente (mm. 25-27). In the finale, the bassus emphasizes final and tuba triads, in scalar passages below the diminished point in the cantus. The two parts switch and the bassus states the point in the form of a double tetrachord, with a lower extension (mm. 32-33). Here, the point is stated both on ,G-, ,D, and ,D-, ,A; the ,A skips up to ,D and then to the extension, ,G (see Example 33).

Example 33. P. 2, m. 28, tonal emphasis in the bassus.



In the last two measures of the piece, Poulton has overlooked an important point in the tablature, and this is reflected in her transcription. The 'G in m. 35 should last a whole-note's length: first because the 'D and 'E-flat thirty-second notes that follow it clearly belong in the range of the diapente stated in the altus. Second, Poulton has neglected an important rule of tablature transcription; a note should be represented as sounding until another note on the same string interrupts it. The 'G is written on the first course, while the 'D's and 'E-flats are located on the second. With the rearticulated 'G in the following measure, the final should receive eight beats of emphasis. (m. 35, see Example 34).

Example 34. P. 2, mm. 35-36, tablature and transcription.

The image displays two musical staves for measures 35 and 36. The top staff is a transcription in standard musical notation, featuring a treble clef and a key signature of one flat (B-flat). It shows a complex melodic line with many sixteenth and thirty-second notes, and a bass line with similar rhythmic density. The bottom staff is a lute tablature, consisting of six horizontal lines representing the strings. It uses letters 'a', 'b', 'c', 'd', 'e', and 'f' to denote fret positions. The tablature is aligned with the transcription above it, showing the specific fretting for each note in the piece.

In summary, the cantus, altus and tenor line do little to reinforce the identity of the mode as stated in the bassus. The bassus presents the only clear statement of the mode until the cantus expresses the mode in the finale. The chromatic portamenti discussed in the section on dissonance, further undermine the ability of the voices to identify the mode by altering expected resolutions.

P. 3, "Farewell," dorian mode

In P. 3, all four voices, when not stating the point, participate in delineating the mode. The cantus immediately begins stating the 'G-'D diapente after its ambiguous statement of the point, beginning on 'A (mm. 1-5). Beginning in m. 6, it descends to 'D, including the lower diatessaron, thus completing the G-hypodorian scale (mm. 6-14). It continues within this range stating the point on 'A, and 'D, alternating these statements of the point with scalar movements and leaps which express the G-hypodorian mode.

The altus imitates the cantus, on 'D, and continues within the range 'G-'D (mm. 3-6). After disappearing in mm. 7-14, it returns, extending its range downward to include ,A in measure 14, and G in measure 22, thus stating the G-dorian mode. This voice continues, interspersing



statements of the point with scalar movement that expresses G-dorian. Like the cantus, the tenor begins its statement of the point on the supertonic (,A, m. 5); it then imitates the other voices by stating its version of the mode, ascending to 'D (m. 8). However, it does not make its expected descent to ,D until half way through the piece (m. 27). It then continues in the same fashion as the cantus and altus, expressing the mode; it does not state the point again until section III, measure 47. Both the tenor and altus voices take more time to outline their modes, limiting their movement for longer amounts of time. This is seen in the amount of time it takes each voice to reach the lowest part of its range.

In contrast the bassus enters, stating the point on ,G, immediately descending diatonically to ,,A two measures later. The extent of its range is revealed when it states the point beginning on ,,D (mm. 18-20). Like the bassus in P. 2, this bassus expresses the mode with large leaps and scalar movements; it states the mode, and its complete range in a descending scalar line in measures 41 and 42.

While the voices may clearly delineate the species and range of the mode, one still senses a degree of modal uncertainty throughout the piece. This ambiguity is felt at the outset of the work, with the entrance of the point in

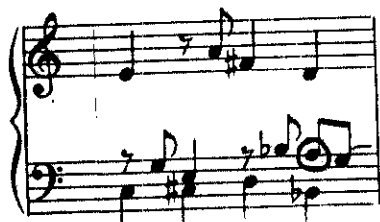
the cantus on 'A, the supertonic of the mode, followed by an imitation on 'D. The uncertainty is continued by the entrances of the chromatic point; chromatic lines blur the identifying intervallic patterns of the species. The extraordinary use of dissonances, such as the consecutive discords (mm. 10, 38), cross relations (mm. 14, 30), and accented passing or neighboring tones (mm. 13, 19, 32, 44) weaken the modal expression of the individual voices. The shift in emphasis, from the horizontal voices to the vertical sonorities created by the dissonances, takes our attention away from the linear aspect. In each of the cases of consecutive discords, at least one voice is outlining a species of diapente or diatessaron: in the first case, the tenor is ascending from ,G to 'D (mm. 10-11). In the second instance the bassus outlines the scalar ,,D-, ,G diatessaron, while the tenor skips from ,D to ,A, and steps down to ,D outlining the same species an octave higher (m. 38, see Example 31). In the first case of simultaneous cross relation, the tenor voice is clearly preparing for a cadence as it circles around ,G and ,F-sharp (m. 14), but the introduction of the 'F-natural in the altus weakens the momentum of the tenor leading tone. The second case also occurs close to a cadence, this time on D. The effect of the altus' 'C-sharp leading tone is canceled with the

introduction of the 'C-natural in the cantus. Moreover, the subsequent suspension, prepared by the cross relation, delays the resolution of the cantus by a whole beat: the 'C must move to 'B-flat before finally arriving at A. Accented passing tones and neighboring tones also affect the listener's ability to hear the mode in varying degrees. Attention is focused on the vertical discord, rather than the linear aspect of modal identification. (mm. 13, 19). The same shift of focus occurs in conjunction with the two accented-upper-neighboring tones, in the canti of both examples. In each case, attention is drawn to the B-flat upper-neighbor and the resulting sonority, and taken away from the linear aspect. The cantus of the first instance outlines the G-dorian diapente, while the cantus of the second outlines the diatessaron (mm. 34, 44). Example 35 illustrates the above instances of accented passing and neighboring tones.

## Example 35. Accented Passing and Neighboring Tones in P. 3.

## Passing Tones

a. m. 13

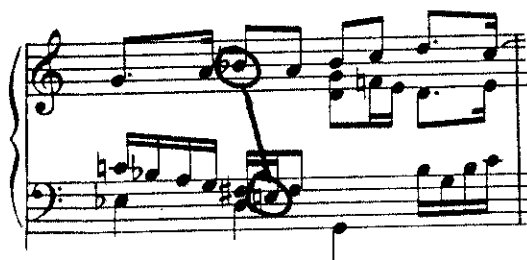


b. m. 19



## Neighboring Tones

c. m. 34



d. m. 44



In both P. 2 and P. 3, Dowland works to undermine the elements of the work that express the mode. Each piece begins with a chromatic point, imitated in the other voices, which is then followed by diatonic passages which serve to identify the mode. In P. 2, the mode is obscured by the indirection of the cantus, altus and tenor, that remain within limited ranges, inbetween their statements of the point. Moreover, the chromatic portamenti create deceptive resolutions that increase the obscurity of the linear direction. On the other hand, the individual voices of P. 3 clearly delineate the modal species, in spite of the misleading entrances of the point at the supertonic. The introduction of striking dissonances, and the modally dubious chromatic lines, however, take attention away from the linear aspect and focus it on the sonorities created in the horizontal environment. In both works, entrances of the point in stretto increase tension and further obfuscate the identity of the mode.

### Conclusion

The chromatic fantasias stand as Dowland's most daring efforts on the lute, both as fantasias and as solos. The mere use of chromatic points would be enough to set these two works apart from the other five fantasias, but Dowland takes the chromatic half steps and permeates the textures with their influence. Although these works share some traits with the other five fantasias, such as some types of dissonances, modal procedures, and form, in the case of P. 2, it is the chromatic half step which sets these works apart from the other five. The chromatic half step affects the mood, the modality, dissonance and texture of the pieces. Among Dowland's fantasias these works are the most despairing, as their titles "Forlorn Hope," and "Farewell" indicate. The modality of the chromatic fantasias is affected either by the behavior of the individual voices, as with P. 2, or by the unique behavior of the dissonances as in P. 3. Dowland demonstrates his most radical use of dissonances in these pieces; using the chromatic half step to lengthen, or intensify their effect. The consecutive discords in P. 3, though not directly affected by chromaticism, also contribute to the intensity and set that work apart from the other fantasias. Unlike the diatonic works the chromatic fantasias, with the exception of the

finale of P. 2, consistently maintain thick textures. This results in a slower tempo and creates difficulty for the performer as he strives to maintain the identity of the individual voices. The form of P. 3 with its absence of a finale, consistent four-voice texture, and its radical use of dissonance, gives it a unique place among Dowland's works. Both of these works deserve to be counted among the great masterworks of the Renaissance.

## Chapter VI

## CONCLUSION

Dowland's fantasia style exhibits the traits of an English composer who has traveled to Italy. In five of his fantasias (P. 1, P. 4-P. 7), he follows the English practice of introducing new material, in the form of ideas subtly derived from the point. The English fantasias include all of the diatonic works. Unlike Italian composers composing in the Renaissance style of this time, Dowland does not always employ a strictly contrapuntal texture throughout his fantasias. Often, after beginning a fantasia with the obligatory point and imitations, he will contrast contrapuntal sections with scalar passages, reducing the number of voices to only two. Indeed, of the "English" group of works, only P. 4 ends with a thick, contrapuntal texture in the finale; the others end with scalar and arpeggiated passages. On the other hand, Dowland's Italian influence can be seen in the chromatic fantasias (P. 2, P. 3). Unlike the diatonic, English works, Dowland repeats the point throughout the fantasia, and a thick, contrapuntal texture dominates the piece. However, in P. 2 influences from both sides can be seen: the piece contains the Italian reiterations of the point throughout, but then ends with an English finale, where the point is set in



diminution against scalar passages. Moreover, the rhythmic displacement and fragmentation show a slight resemblance to motivic development in the diatonic works.

Dowland's fantasias can be divided further into three groups: works in major-third modes (P. 1), works in minor-third modes (P. 4-P. 7), and chromatic works in minor-third modes (P. 3-P. 4). In all three types of fantasias, the composer is challenged by the task of arranging counterpoint to fit the limitations of the lute. A maximum of two fast-moving voices, in conjunction with two simultaneous slower voices, is possible at one time. Dowland works around these limitations in several different ways: In the diatonic works, he builds tension in his works with dissonances, and contrasts thick textures with sparse, scalar passages. When he wants fast passages in many voices at one time, he trades fast and slow articulations between the voices, to give an illusion of many rapidly moving voices. The chromatic works, in contrast, maintain thick textures throughout, with the exception of the finale of P. 2. In these works, the same techniques of trading fast articulations from one voice to another are used, but a texture of less than three voices is uncommon.

Although Dowland uses uncommon dissonances in all of his fantasias, his most daring examples are reserved for

works in the minor-third modes, especially the two chromatic works. The chromatic fantasias are unique to the set in this regard, in that dissonances become a part of the structure itself rather than mere decorations. Suspensions, in the diatonic works for example, mostly occur at cadences, whereas in the chromatic works they frequently occur in the middle of phrases. While the diatonic minor-third-mode fantasias contain some uncommon suspensions, those in the chromatic works appear far more striking to the ear. The effect that the chromatic resolutions of suspensions in P. 2 have upon the listener is unmatched anywhere in the diatonic fantasias. Moreover, the only cases of consecutive discords, and the most striking use of accented passing and neighboring tones occur in P. 3.

Central to Dowland's "English" (diatonic) fantasias is the idea of motivic development. Although new material is presented in these works, it is always derived from the point or other previous material in one of two ways: either through motivic repetition or motivic transformation. In motivic repetition, an idea is introduced and repeated throughout a work, often in embellished form. Central to this type of development is the easy, aural identification of the idea throughout the piece. In contrast, motivic transformation presupposes that the motive will be changed

into a form not readily linked to the original. P. 1 uses the first type of development, as does P. 6; P. 5 is exemplary of motivic transformation, as is P. 7. P. 4 does not exhibit any kind of overall motivic development, but is unified by its cantus firmus; the different points of imitation function as separate motivic entities. Motivic development in the chromatic fantasias takes on a whole new character: wherever a chromatic-half step occurs, reference is made to the point. In P. 2, the point is stated in full in sections I and III, and fragmented in section II; in P. 3, it disappears completely in the middle section. In both these works the motivic developments create arch forms (A B A').

The overall form of the fantasias is influenced by one or both of two factors: cadences and textural change. In P. 1, clear, strong cadences delineate the subsections, reinforced by changes in texture. P. 4, in contrast, relies only on textural change; any cadences that occur are too weak to separate either major sections or subsections. The rest of the minor-third-mode works use both cadences and textural change to delineate sections and subsections, either in conjunction, or separately. On the other hand, the chromatic fantasias rely only on cadences; the thick counterpoint throughout each of the pieces precludes the use

of texture as a sectional delineator. However, in spite of these differences in procedure, five of the seven fantasias fit into the same formal archetype (P. 1, P. 2, P. 5, P. 6, P. 7). All of these works are delineated by sections, that are marked by cadences or textural changes, and end with a finale. This finale is marked by virtuoso passages in the form of rapid scalar passages, parallel sixths, or arpeggiations. The two exceptional works, P. 3 and P. 4, are both entitled "Farewell." In the case of P. 3, the thick texture carries to the end, and the piece is left without a finale. While large sections are marked by cadences, no change in the texture occurs. P. 4, with its slight changes in texture, lacks strong, dividing separators, and acts as one big section, governed by the cantus firmus in its top voice.

One of the most consistent characteristics of Dowland's fantasias is modality. First, Dowland limits his use of modes: of the twelve available to him, he restricts himself to forms of the dorian and ionian modes. He also limits his use of modes in his other music, adding forms of the mixolydian and aeolian modes to those listed above. In the diatonic fantasias, the mode and final are established in the first statement of the point and confirmed in the subsequent imitations and free counterpoint. Although

cadences occur on notes different from the final or tuba, the range and species of diapente and diatessaron remain consistent. This consistency is also indicative of the chromatic works, but Dowland, while working from a firmly established modality, obscures the mode in subtle ways. In the most obvious way, he stifles the expression of the mode through the use of chromatic points, that are imitated exactly at the fifth. In P. 3, he begins the first statement of the point on the supertonic, and imitates it with the tuba. Not only does this obscure the mode, it also delays the identification of the final. While a line accompanying the point may be diatonic, the ear is attracted to the chromatic line and misses the expression of the mode in the diatonic voice. Another way that modality is obfuscated is through the use of dissonances, that take attention away from the linear aspect and focus our attention on the dissonant sonorities of a work. Hence, while the eye may be able to see modally identifying characteristics of a chromatic fantasia, Dowland keeps the ear in suspense until the end of the piece. Perhaps this behavior is indicative of a breakdown in modal thinking and a beginning of more emphasis in the horizontal aspect. While this is not written about in the theoretical treatises of this time, it must be noted that this is a period marked by experimentation with

open-chord tunings on the lute. Such experimentation resulted in the D-minor tuning current in the eleven-course French lutes later in the seventeenth century. Moreover, some early seventeenth-century Italian and French lute music, by such composers as Piccini, Frescobaldi, and Gaultier, began to exhibit less emphasis on counterpoint and more interest in vertical sonorities, especially dissonances, which were sometimes left unresolved. However, in view of the lack of evidence in theoretical treatises, and Dowland's conservatism, as seen in his translation of Ornithoparcus' Micrologus, and his angry remarks about singers and lutenists in the preface to A Pilgrims Solace, more information would be necessary in order to firmly substantiate such a thesis.

While Dowland is not known as a particularly innovative composer, having avoided the new monodic style of his time, he took the conservative forms and infused in them new vitality.<sup>1</sup> These fantasias give credence to the belief that one does not have to be at the vanguard of new musical ideas in order to be a successful composer; one just has to know his craft well.

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1. Charles Burney recognizes Dowland's abilities as a lutenist, judging from documents available to him, but questions his abilities as a composer. See Charles Burney, A General History of Music, 2 vols., ed. Frank Mercer (New York: Dover, 1957), II, 116-20.

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